



**COPS**

COMMUNITY ORIENTED POLICING SERVICES  
U.S. DEPARTMENT OF JUSTICE

# **FY 2021 COPS Office Community Policing Advancement (CPA) Programs - Appendices**

## **Appendix A. Blank SF-424**

This appendix contains a blank copy of form SF-424.

**Application for Federal Assistance SF-424**

**\* 1. Type of Submission:**

- Preapplication
- Application
- Changed/Corrected Application

**\* 2. Type of Application:**

- New
- Continuation
- Revision

\* If Revision, select appropriate letter(s):

\* Other (Specify):

\* 3. Date Received:

4. Applicant Identifier:

5a. Federal Entity Identifier:

5b. Federal Award Identifier:

**State Use Only:**

6. Date Received by State:

7. State Application Identifier:

**8. APPLICANT INFORMATION:**

\* a. Legal Name:

\* b. Employer/Taxpayer Identification Number (EIN/TIN):

\* c. Organizational DUNS:

**d. Address:**

\* Street1:

Street2:

\* City:

County/Parish:

\* State:

Province:

\* Country:

\* Zip / Postal Code:

**e. Organizational Unit:**

Department Name:

Division Name:

**f. Name and contact information of person to be contacted on matters involving this application:**

Prefix:

\* First Name:

Middle Name:

\* Last Name:

Suffix:

Title:

Organizational Affiliation:

\* Telephone Number:

Fax Number:

\* Email:

**Application for Federal Assistance SF-424**

**\* 9. Type of Applicant 1: Select Applicant Type:**

Type of Applicant 2: Select Applicant Type:

Type of Applicant 3: Select Applicant Type:

\* Other (specify):

**\* 10. Name of Federal Agency:**

**11. Catalog of Federal Domestic Assistance Number:**

CFDA Title:

**\* 12. Funding Opportunity Number:**

\* Title:

**13. Competition Identification Number:**

Title:

**14. Areas Affected by Project (Cities, Counties, States, etc.):**

Add Attachment

Delete Attachment

View Attachment

**\* 15. Descriptive Title of Applicant's Project:**

Attach supporting documents as specified in agency instructions.

Add Attachments

Delete Attachments

View Attachments

**Application for Federal Assistance SF-424**

**16. Congressional Districts Of:**

\* a. Applicant

\* b. Program/Project

Attach an additional list of Program/Project Congressional Districts if needed.

Add Attachment

Delete Attachment

View Attachment

**17. Proposed Project:**

\* a. Start Date:

\* b. End Date:

**18. Estimated Funding (\$):**

- \* a. Federal
- \* b. Applicant
- \* c. State
- \* d. Local
- \* e. Other
- \* f. Program Income
- \* g. TOTAL

**\* 19. Is Application Subject to Review By State Under Executive Order 12372 Process?**

- a. This application was made available to the State under the Executive Order 12372 Process for review on .
- b. Program is subject to E.O. 12372 but has not been selected by the State for review.
- c. Program is not covered by E.O. 12372.

**\* 20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes," provide explanation in attachment.)**

- Yes  No

If "Yes", provide explanation and attach

Add Attachment

Delete Attachment

View Attachment

**21. \*By signing this application, I certify (1) to the statements contained in the list of certifications\*\* and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances\*\* and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001)**

**\*\* I AGREE**

\*\* The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.

**Authorized Representative:**

Prefix:  \* First Name:   
Middle Name:   
\* Last Name:   
Suffix:

\* Title:

\* Telephone Number:  Fax Number:

\* Email:

\* Signature of Authorized Representative:  \* Date Signed:

## Appendix B. U.S. Department of Justice Certified Standard Assurances

On behalf of the Applicant, and in support of this application for a grant or cooperative agreement, I certify under penalty of perjury to the U.S. Department of Justice (“Department”), that all of the following are true and correct:

- (1) I have the authority to make the following representations on behalf of myself and the Applicant. I understand that these representations will be relied upon as material in any Department decision to make an award to the Applicant based on its application.
- (2) I certify that the Applicant has the legal authority to apply for the federal assistance sought by the application, and that it has the institutional, managerial, and financial capability (including funds sufficient to pay any required non-federal share of project costs) to plan, manage, and complete the project described in the application properly.
- (3) I assure that, throughout the period of performance for the award (if any) made by the Department based on the application--
  - a. the Applicant will comply with all award requirements and all federal statutes and regulations applicable to the award;
  - b. the Applicant will require all subrecipients to comply with all applicable award requirements and all applicable federal statutes and regulations; and
  - c. the Applicant will maintain safeguards to address and prevent any organizational conflict of interest, and also to prohibit employees from using their positions in any manner that poses, or appears to pose, a personal or financial conflict of interest.
- (4) The Applicant understands that the federal statutes and regulations applicable to the award (if any) made by the Department based on the application specifically include statutes and regulations pertaining to civil rights and nondiscrimination, and, in addition--
  - a. the Applicant understands that the applicable statutes pertaining to civil rights will include section 601 of the Civil Rights Act of 1964 (42 U.S.C. § 2000d); section 504 of the Rehabilitation Act of 1973 (29 U.S.C. § 794); section 901 of the Education Amendments of 1972 (20 U.S.C. § 1681); and section 303 of the Age Discrimination Act of 1975 (42 U.S.C. § 6102);
  - b. the Applicant understands that the applicable statutes pertaining to nondiscrimination may include section 809(c) of Title I of the Omnibus Crime Control and Safe Streets Act of 1968 (34 U.S.C. § 10228(c)); section 1407(e) of the Victims of Crime Act of 1984 (34 U.S.C. § 20110(e)); section 299A(b) of the Juvenile Justice and Delinquency Prevention Act of 2002 (34 U.S.C. § 11182(b)); and that the grant condition set out at section 40002(b)(13) of the Violence Against Women Act (34 U.S.C. § 12291(b)(13)), which will apply to all awards made by the Office on Violence Against Women, also may apply to an award made otherwise;
  - c. the Applicant understands that it must require any subrecipient to comply with all such applicable statutes (and associated regulations); and
  - d. on behalf of the Applicant, I make the specific assurances set out in 28 C.F.R. §§ 42.105 and 42.204.
- (5) The Applicant also understands that (in addition to any applicable program-specific regulations and to applicable federal regulations that pertain to civil rights and nondiscrimination) the federal regulations applicable to the award (if any) made by the Department based on the application may include, but are not limited to, 2 C.F.R. Part 2800 (the DOJ “Part 200 Uniform Requirements”) and 28 C.F.R. Parts 22

(confidentiality - research and statistical information), 23 (criminal intelligence systems), 38 (regarding faith-based or religious organizations participating in federal financial assistance programs), and 46 (human subjects protection).

- (6) I assure that the Applicant will assist the Department as necessary (and will require subrecipients and contractors to assist as necessary) with the Department's compliance with section 106 of the National Historic Preservation Act of 1966 (54 U.S.C. § 306108), the Archeological and Historical Preservation Act of 1974 (54 U.S.C. §§ 312501-312508), and the National Environmental Policy Act of 1969 (42 U.S.C. §§ 4321-4335), and 28 C.F.R. Parts 61 (NEPA) and 63 (floodplains and wetlands).
- (7) I assure that the Applicant will give the Department and the Government Accountability Office, through any authorized representative, access to, and opportunity to examine, all paper or electronic records related to the award (if any) made by the Department based on the application.
- (8) I assure that, if the Applicant is a governmental entity, with respect to the award (if any) made by the Department based on the application--
  - a. it will comply with the requirements of the Uniform Relocation Assistance and Real Property Acquisitions Act of 1970 (42 U.S.C. §§ 4601-4655), which govern the treatment of persons displaced as a result of federal and federally-assisted programs; and
  - b. it will comply with requirements of 5 U.S.C. §§ 1501-1508 and 7324-7328, which limit certain political activities of State or local government employees whose principal employment is in connection with an activity financed in whole or in part by federal assistance.
- (9) If the Applicant applies for and receives an award from the Office of Community Oriented Policing Services (COPS Office), I assure that as required by 34 U.S.C. § 10382(c)(11), it will, to the extent practicable and consistent with applicable law—including, but not limited to, the Indian Self-Determination and Education Assistance Act—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, as provided under 34 U.S.C. § 10382(c)(11).
- (10) If the Applicant applies for and receives a DOJ award under the STOP School Violence Act program, I assure as required by 34 U.S.C. § 10552(a)(3), that it will maintain and report such data, records, and information (programmatic and financial) as DOJ may reasonably require.

I acknowledge that a materially false, fictitious, or fraudulent statement (or concealment or omission of a material fact) in this certification, or in the application that it supports, may be the subject of criminal prosecution (including under 18 U.S.C. §§ 1001 and/or 1621, and/or 34 U.S.C. §§ 10271-10273), and also may subject me and the Applicant to civil penalties and administrative remedies for false claims or otherwise (including under 31 U.S.C. §§ 3729-3730 and 3801-3812). I also acknowledge that the Department's awards, including certifications provided in connection with such awards, are subject to review by the Department, including by its Office of the Inspector General.

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

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Date

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

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Date

## **Appendix C. U.S. Department of Justice Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; Drug-Free Workplace Requirements; Law Enforcement and Community Policing**

Applicants should refer to the regulations cited below to determine the certification to which they are required to attest. Applicants should also review the instructions for certification included in the regulations before completing this form. The certifications shall be treated as a material representation of fact upon which reliance will be placed when the U.S. Department of Justice (“Department”) determines to award the covered transaction, grant, or cooperative agreement.

### **1. LOBBYING**

As required by 31 U.S.C. § 1352, as implemented by 28 C.F.R. Part 69, the Applicant certifies and assures (to the extent applicable) the following:

- (a) No Federal appropriated funds have been paid or will be paid, by or on behalf of the Applicant, 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, or the extension, continuation, renewal, amendment, or modification of any Federal grant or cooperative agreement;
- (b) If the Applicant’s request for Federal funds is in excess of \$100,000, and 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 Applicant shall complete and submit Standard Form - LLL, “Disclosure of Lobbying Activities” in accordance with its (and any DOJ awarding agency’s) instructions; and
- (c) The Applicant shall require that the language of this certification be included in the award documents for all subgrants and procurement contracts (and their subcontracts) funded with Federal award funds and shall ensure that any certifications or lobbying disclosures required of recipients of such subgrants and procurement contracts (or their subcontractors) are made and filed in accordance with 31 U.S.C. § 1352.

### **2. DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS**

- A. Pursuant to Department regulations on nonprocurement debarment and suspension implemented at 2 C.F.R. Part 2867, and to other related requirements, the Applicant certifies, with respect to prospective participants in a primary tier “covered transaction,” as defined at 2 C.F.R. § 2867.20(a), that neither it nor any of its principals—
  - (a) is 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) has within a three-year period preceding this application been convicted of a felony criminal violation under any Federal law, or been convicted or had a civil judgment rendered against it for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, tribal, or local) transaction 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 its (or its principals') present responsibility;
  - (c) is presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, tribal, or local) with commission of any of the offenses enumerated in paragraph (b) of this certification; and/or
  - (d) has within a three-year period preceding this application had one or more public transactions (Federal, State, tribal, or local) terminated for cause or default.
- B. Where the Applicant is unable to certify to any of the statements in this certification, it shall attach an explanation to this application. Where the Applicant or any of its principals was convicted, within a three-year period preceding this application, of a felony criminal violation under any Federal law, the Applicant also must disclose such felony criminal conviction in writing to the Department (for OJP Applicants, to OJP at [Ojpcompliancereporting@usdoj.gov](mailto:Ojpcompliancereporting@usdoj.gov); for OVW Applicants, to OVW at [OVW.GFMD@usdoj.gov](mailto:OVW.GFMD@usdoj.gov); or for COPS Applicants, to COPS at [AskCOPSRC@usdoj.gov](mailto:AskCOPSRC@usdoj.gov)), unless such disclosure has already been made.
3. FEDERAL TAXES
- A. If the Applicant is a corporation, it certifies either that (1) the corporation has no unpaid Federal tax liability that has been assessed, for which all judicial and administrative remedies have been exhausted or have lapsed, that is not being paid in a timely manner pursuant to an agreement with the authority responsible for collecting the tax liability, or (2) the corporation has provided written notice of such an unpaid tax liability (or liabilities) to the Department (for OJP Applicants, to OJP at [Ojpcompliancereporting@usdoj.gov](mailto:Ojpcompliancereporting@usdoj.gov); for OVW Applicants, to OVW at [OVW.GFMD@usdoj.gov](mailto:OVW.GFMD@usdoj.gov); or for COPS Applicants, to COPS at [AskCOPSRC@usdoj.gov](mailto:AskCOPSRC@usdoj.gov)).
  - B. Where the Applicant is unable to certify to any of the statements in this certification, it shall attach an explanation to this application.
4. DRUG-FREE WORKPLACE (GRANTEES OTHER THAN INDIVIDUALS)
- As required by the Drug-Free Workplace Act of 1988, as implemented at 28 C.F.R. Part 83, Subpart F, for grantees, as defined at 28 C.F.R. §§ 83.620 and 83.650:
- A. The Applicant certifies and assures that it will, or will continue to, provide a drug-free workplace by—
    - (a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in its workplace and specifying the actions that will be taken against employees for violation of such prohibition;
    - (b) Establishing an on-going drug-free awareness program to inform employees about—
      - (1) The dangers of drug abuse in the workplace;
      - (2) The Applicant's policy of maintaining a drug-free workplace;
      - (3) Any available drug counseling, rehabilitation, and employee assistance programs; and
      - (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
    - (c) Making it a requirement that each employee to be engaged in the performance of the award be given a copy of the statement required by paragraph (a);



- (d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the award, the employee will—
  - (1) Abide by the terms of the statement; and
  - (2) Notify the employer in writing of the employee’s conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;
- (e) Notifying the Department, in writing, within 10 calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title of any such convicted employee to the Department, as follows:
  - For COPS award recipients - COPS Office, 145 N Street, NE, Washington, DC, 20530;
  - For OJP and OVW award recipients - U.S. Department of Justice, Office of Justice Programs, ATTN: Control Desk, 810 h Street, N.W., Washington, D.C. 20531.Notice shall include the identification number(s) of each affected award;
- (f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted:
  - (1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or
  - (2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency; and
- (g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).

5. LAW ENFORCEMENT AGENCY CERTIFICATION REQUIRED UNDER DEPARTMENT OF JUSTICE DISCRETIONARY GRANT PROGRAMS (“SAFE POLICING CERTIFICATION”)

If this application is for a discretionary award pursuant to which award funds may be made available (whether by the award directly or by any subaward at any tier) to a State, local, college, or university law enforcement agency, the Applicant certifies that any such law enforcement agency to which funds will be made available has been certified by an approved independent credentialing body or has started the certification process. To become certified, a law enforcement agency must meet two mandatory conditions:

- (a) the agency’s use of force policies adhere to all applicable federal, State, and local laws; and
- (b) the agency’s use of force policies prohibit chokeholds except in situations where use of deadly force is allowed by law.

For detailed information on this certification requirement, see <https://cops.usdoj.gov/SafePolicingEO>.

The Applicant acknowledges that compliance with this safe policing certification requirement does not ensure compliance with federal, state, or local law, and that such certification shall not constitute a defense in any federal lawsuit. Nothing in the safe policing certification process or safe policing requirement is intended to be (or may be) used by third parties to create liability by or against the United States or any of its officials, officers, agents or employees under any federal law. Neither the safe policing certification process nor the safe policing certification requirement is intended to (or does) confer any right on any third-person or entity seeking relief against the United States or any officer or employee thereof. No person or entity is intended to be (or is) a third-party beneficiary of the safe policing certification process, or, with respect to the safe policing certification requirement, such a beneficiary for purposes of any civil, criminal, or administrative action.

**6. COORDINATION REQUIRED UNDER PUBLIC SAFETY AND COMMUNITY POLICING PROGRAMS**

As required by the Public Safety Partnership and Community Policing Act of 1994, at 34 U.S.C. § 10382(c)(5), if this application is for a COPS award, the Applicant certifies that there has been appropriate coordination with all agencies that may be affected by its award. Affected agencies may include, among others, Offices of the United States Attorneys; State, local, or tribal prosecutors; or correctional agencies.

I acknowledge that a materially false, fictitious, or fraudulent statement (or concealment or omission of a material fact) in this certification, or in the application that it supports, may be the subject of criminal prosecution (including under 18 U.S.C. §§ 1001 and/or 1621, and/or 34 U.S.C. §§ 10271-10273), and also may subject me and the Applicant to civil penalties and administrative remedies for false claims or otherwise (including under 31 U.S.C. §§ 3729-3730 and 3801-3812). I also acknowledge that the Department’s awards, including certifications provided in connection with such awards, are subject to review by the Department, including by its Office of the Inspector General.

\_\_\_\_\_  
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

## **Appendix D. Blank SF-LLL, Disclosure of Lobbying Activities Form**

This appendix contains a blank copy of form SF-LLL and instructions for completing it.

# DISCLOSURE OF LOBBYING ACTIVITIES

Complete this form to disclose lobbying activities pursuant to 31 U.S.C.1352

Approved by OMB

4040-0013

## Review Public Burden Disclosure Statement

<b>1. * Type of Federal Action:</b> <input type="checkbox"/> a. contract <input checked="" type="checkbox"/> b. grant <input type="checkbox"/> c. cooperative agreement <input type="checkbox"/> d. loan <input type="checkbox"/> e. loan guarantee <input type="checkbox"/> f. loan insurance	<b>2. * Status of Federal Action:</b> <input type="checkbox"/> a. bid/offer/application <input checked="" type="checkbox"/> b. initial award <input type="checkbox"/> c. post-award	<b>3. * Report Type:</b> <input type="checkbox"/> a. initial filing <input checked="" type="checkbox"/> b. material change <b>For Material Change Only:</b> year <input type="text"/> quarter <input type="text"/> date of last report <input type="text"/>
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**4. Name and Address of Reporting Entity:**  
 Prime  SubAwardee  
\* Name   
\* Street 1  Street 2   
\* City  State  Zip   
Congressional District, if known:

**5. If Reporting Entity in No.4 is Subawardee, Enter Name and Address of Prime:**

<b>6. * Federal Department/Agency:</b> <input type="text"/>	<b>7. * Federal Program Name/Description:</b> <input type="text"/> CFDA Number, if applicable: <input type="text"/>
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<b>8. Federal Action Number, if known:</b> <input type="text"/>	<b>9. Award Amount, if known:</b> \$ <input type="text"/>
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**10. a. Name and Address of Lobbying Registrant:**  
Prefix  \* First Name  Middle Name   
\* Last Name  Suffix   
\* Street 1  Street 2   
\* City  State  Zip

**b. Individual Performing Services** (including address if different from No. 10a)  
Prefix  \* First Name  Middle Name   
\* Last Name  Suffix   
\* Street 1  Street 2   
\* City  State  Zip

**11.** Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when the transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

\* Signature:   
\* Name: Prefix  \* First Name  Middle Name   
\* Last Name  Suffix   
Title:  Telephone No.:  Date:

## Instructions for completion of SF-LLL, Disclosure of Lobbying Activities

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

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
2. Identify the status of the covered Federal action.
3. Identify the appropriate classification of this report. If this is a followup report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, State and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
5. If the organization filing the report in item 4 checks "Subawardee," then enter the full name, address, city, State and zip code of the prime Federal recipient. Include Congressional District, if known.
6. Enter the name of the federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitations for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application/proposal control number assigned by the Federal agency). Included prefixes, e.g., "RFP-DE-90-001."
9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.
10. (a) Enter the full name, address, city, State and zip code of the lobbying registrant under the Lobbying Disclosure Act of 1995 engaged by the reporting entity identified in item 4 to influence the covered Federal action.  
(b) Enter the full names of the individual(s) performing services, and include full address if different from 10(a). Enter Last Name, First Name, and Middle Initial (MI).
11. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

According to the Paperwork Reduction Act, as amended, no persons are required to respond to a collection of information unless it displays a valid OMB control Number. The valid OMB control number for this information collection is OMB No. 4040-0013. Public reporting burden for this collection of information is estimated to average

10 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (4040-0013), Washington, DC 20503.

## **Appendix E. 2 C.F.R. Part 200, Appendix II to Part 200— CONTRACT PROVISIONS FOR NON-FEDERAL ENTITY CONTRACTS UNDER FEDERAL AWARDS**

In addition to other provisions required by the Federal agency or non-Federal entity, all contracts made by the non-Federal entity under the Federal award must contain provisions covering the following, as applicable.

- (A) Contracts for more than the simplified acquisition threshold, which is the inflation adjusted amount determined by the Civilian Agency Acquisition Council and the Defense Acquisition Regulations Council (Councils) as authorized by 41 U.S.C. 1908, must address administrative, contractual, or legal remedies in instances where contractors violate or breach contract terms, and provide for such sanctions and penalties as appropriate.
- (B) All contracts in excess of \$10,000 must address termination for cause and for convenience by the non-Federal entity including the manner by which it will be effected and the basis for settlement.
- (C) Equal Employment Opportunity. Except as otherwise provided under 41 CFR Part 60, all contracts that meet the definition of “federally assisted construction contract” in 41 CFR Part 60-1.3 must include the equal opportunity clause provided under 41 CFR 60-1.4(b), in accordance with Executive Order 11246, “Equal Employment Opportunity” (30 FR 12319, 12935, 3 CFR Part, 1964-1965 Comp., p. 339), as amended by Executive Order 11375, “Amending Executive Order 11246 Relating to Equal Employment Opportunity,” and implementing regulations at 41 CFR part 60, “Office of Federal Contract Compliance Programs, Equal Employment Opportunity, Department of Labor.”
- (D) Davis-Bacon Act, as amended (40 U.S.C. 3141-3148). When required by Federal program legislation, all prime construction contracts in excess of \$2,000 awarded by non-Federal entities must include a provision for compliance with the Davis-Bacon Act (40 U.S.C. 3141-3144, and 3146-3148) as supplemented by Department of Labor regulations (29 CFR Part 5, “Labor Standards Provisions Applicable to Contracts Covering Federally Financed and Assisted Construction”). In accordance with the statute, contractors must be required to pay wages to laborers and mechanics at a rate not less than the prevailing wages specified in a wage determination made by the Secretary of Labor. In addition, contractors must be required to pay wages not less than once a week. The non-Federal entity must place a copy of the current prevailing wage determination issued by the Department of Labor in each solicitation. The decision to award a contract or subcontract must be conditioned upon the acceptance of the wage determination. The non-Federal entity must report all suspected or reported violations to the Federal awarding agency. The contracts must also include a provision for compliance with the Copeland “Anti-Kickback” Act (40 U.S.C. 3145), as supplemented by Department of Labor regulations (29 CFR Part 3, “Contractors and Subcontractors on Public Building or Public Work Financed in Whole or in Part by Loans or Grants from the United States”). The Act provides that each contractor or subrecipient must be prohibited from inducing, by any means, any person employed in the construction, completion, or repair of public work, to give up any part of the compensation to which he or she is otherwise entitled. The non-Federal entity must report all suspected or reported violations to the Federal awarding agency.
- (E) Contract Work Hours and Safety Standards Act (40 U.S.C. 3701-3708). Where applicable, all contracts awarded by the non-Federal entity in excess of \$100,000 that involve the employment of mechanics or laborers must include a provision for compliance with 40 U.S.C. 3702 and 3704, as supplemented by Department of Labor

regulations (29 CFR Part 5). Under 40 U.S.C. 3702 of the Act, each contractor must be required to compute the wages of every mechanic and laborer on the basis of a standard work week of 40 hours. Work in excess of the standard work week is permissible provided that the worker is compensated at a rate of not less than one and a half times the basic rate of pay for all hours worked in excess of 40 hours in the work week. The requirements of 40 U.S.C. 3704 are applicable to construction work and provide that no laborer or mechanic must be required to work in surroundings or under working conditions which are unsanitary, hazardous or dangerous. These requirements do not apply to the purchases of supplies or materials or articles ordinarily available on the open market, or contracts for transportation or transmission of intelligence.

- (F) Rights to Inventions Made Under a Contract or Agreement. If the Federal award meets the definition of “funding agreement” under 37 CFR §401.2 (a) and the recipient or subrecipient wishes to enter into a contract with a small business firm or nonprofit organization regarding the substitution of parties, assignment or performance of experimental, developmental, or research work under that “funding agreement,” the recipient or subrecipient must comply with the requirements of 37 CFR Part 401, “Rights to Inventions Made by Nonprofit Organizations and Small Business Firms Under Government Grants, Contracts and Cooperative Agreements,” and any implementing regulations issued by the awarding agency.
- (G) Clean Air Act (42 U.S.C. 7401-7671q.) and the Federal Water Pollution Control Act (33 U.S.C. 1251-1387), as amended—Contracts and subgrants of amounts in excess of \$150,000 must contain a provision that requires the non-Federal award to agree to comply with all applicable standards, orders or regulations issued pursuant to the Clean Air Act (42 U.S.C. 7401-7671q) and the Federal Water Pollution Control Act as amended (33 U.S.C. 1251-1387). Violations must be reported to the Federal awarding agency and the Regional Office of the Environmental Protection Agency (EPA).
- (H) Debarment and Suspension (Executive Orders 12549 and 12689)—A contract award (see 2 CFR 180.220) must not be made to parties listed on the governmentwide exclusions in the System for Award Management (SAM), in accordance with the OMB guidelines at 2 CFR 180 that implement Executive Orders 12549 (3 CFR part 1986 Comp., p. 189) and 12689 (3 CFR part 1989 Comp., p. 235), “Debarment and Suspension.” SAM Exclusions contains the names of parties debarred, suspended, or otherwise excluded by agencies, as well as parties declared ineligible under statutory or regulatory authority other than Executive Order 12549.
- (I) Byrd Anti-Lobbying Amendment (31 U.S.C. 1352)—Contractors that apply or bid for an award exceeding \$100,000 must file the required certification. Each tier certifies to the tier above that it will not and has not used Federal appropriated funds to pay any person or organization for influencing or attempting to influence an officer or employee of any agency, a member of Congress, officer or employee of Congress, or an employee of a member of Congress in connection with obtaining any Federal contract, grant or any other award covered by 31 U.S.C. 1352. Each tier must also disclose any lobbying with non-Federal funds that takes place in connection with obtaining any Federal award. Such disclosures are forwarded from tier to tier up to the non-Federal award.
- (J) See §200.323.
- (K) See §200.216.
- (L) See §200.322.

[78 FR 78608, Dec. 26, 2013, as amended at 79 FR 75888, Dec. 19, 2014; 85 FR 49577, Aug. 13, 2020]



# Appendix F. 2 C.F.R. Part 200, Appendix XII to Part 200— AWARD TERM AND CONDITION FOR RECIPIENT INTEGRITY AND PERFORMANCE MATTERS

## A. REPORTING OF MATTERS RELATED TO RECIPIENT INTEGRITY AND PERFORMANCE

### 1. General Reporting Requirement

If the total value of your currently active grants, cooperative agreements, and procurement contracts from all Federal awarding agencies exceeds \$10,000,000 for any period of time during the period of performance of this Federal award, then you as the recipient during that period of time must maintain the currency of information reported to the System for Award Management (SAM) that is made available in the designated integrity and performance system (currently the Federal Awardee Performance and Integrity Information System (FAPIIS)) about civil, criminal, or administrative proceedings described in paragraph 2 of this award term and condition. This is a statutory requirement under section 872 of Public Law 110-417, as amended (41 U.S.C. 2313). As required by section 3010 of Public Law 111-212, all information posted in the designated integrity and performance system on or after April 15, 2011, except past performance reviews required for Federal procurement contracts, will be publicly available.

### 2. Proceedings About Which You Must Report

Submit the information required about each proceeding that:

- a. Is in connection with the award or performance of a grant, cooperative agreement, or procurement contract from the Federal Government;
- b. Reached its final disposition during the most recent five-year period; and
- c. Is one of the following:
  - (1) A criminal proceeding that resulted in a conviction, as defined in paragraph 5 of this award term and condition;
  - (2) A civil proceeding that resulted in a finding of fault and liability and payment of a monetary fine, penalty, reimbursement, restitution, or damages of \$5,000 or more;
  - (3) An administrative proceeding, as defined in paragraph 5. of this award term and condition, that resulted in a finding of fault and liability and your payment of either a monetary fine or penalty of \$5,000 or more or reimbursement, restitution, or damages in excess of \$100,000; or
  - (4) Any other criminal, civil, or administrative proceeding if:
    - (i) It could have led to an outcome described in paragraph 2.c.(1), (2), or (3) of this award term and condition;

(ii) It had a different disposition arrived at by consent or compromise with an acknowledgment of fault on your part; and

(iii) The requirement in this award term and condition to disclose information about the proceeding does not conflict with applicable laws and regulations.

### 3. Reporting Procedures

Enter in the SAM Entity Management area the information that SAM requires about each proceeding described in paragraph 2 of this award term and condition. You do not need to submit the information a second time under assistance awards that you received if you already provided the information through SAM because you were required to do so under Federal procurement contracts that you were awarded.

### 4. Reporting Frequency

During any period of time when you are subject to the requirement in paragraph 1 of this award term and condition, you must report proceedings information through SAM for the most recent five year period, either to report new information about any proceeding(s) that you have not reported previously or affirm that there is no new information to report. Recipients that have Federal contract, grant, and cooperative agreement awards with a cumulative total value greater than \$10,000,000 must disclose semiannually any information about the criminal, civil, and administrative proceedings.

### 5. Definitions

For purposes of this award term and condition:

a. Administrative proceeding means a non-judicial process that is adjudicatory in nature in order to make a determination of fault or liability (*e.g.*, Securities and Exchange Commission Administrative proceedings, Civilian Board of Contract Appeals proceedings, and Armed Services Board of Contract Appeals proceedings). This includes proceedings at the Federal and State level but only in connection with performance of a Federal contract or grant. It does not include audits, site visits, corrective plans, or inspection of deliverables.

b. Conviction, for purposes of this award term and condition, means a judgment or conviction of a criminal offense by any court of competent jurisdiction, whether entered upon a verdict or a plea, and includes a conviction entered upon a plea of *nolo contendere*.

c. Total value of currently active grants, cooperative agreements, and procurement contracts includes—

(1) Only the Federal share of the funding under any Federal award with a recipient cost share or match; and

(2) The value of all expected funding increments under a Federal award and options, even if not yet exercised.

B. [Reserved]

[80 FR 43310, July 22, 2015, as amended at 85 FR 49582, Aug. 13, 2020]

## Appendix G. 41 U.S.C. § 4712 - Enhancement of contractor protection from reprisal for disclosure of certain information

### (a) Prohibition of reprisals.--

**(1) In general.**--An employee of a contractor, subcontractor, grantee, or subgrantee or personal services contractor may not be discharged, demoted, or otherwise discriminated against as a reprisal for disclosing to a person or body described in paragraph (2) information that the employee reasonably believes is evidence of gross mismanagement of a Federal contract or grant, a gross waste of Federal funds, an abuse of authority relating to a Federal contract or grant, a substantial and specific danger to public health or safety, or a violation of law, rule, or regulation related to a Federal contract (including the competition for or negotiation of a contract) or grant.

**(2) Persons and bodies covered.**--The persons and bodies described in this paragraph are the persons and bodies as follows:

**(A)** A Member of Congress or a representative of a committee of Congress.

**(B)** An Inspector General.

**(C)** The Government Accountability Office.

**(D)** A Federal employee responsible for contract or grant oversight or management at the relevant agency.

**(E)** An authorized official of the Department of Justice or other law enforcement agency.

**(F)** A court or grand jury.

**(G)** A management official or other employee of the contractor, subcontractor, or grantee who has the responsibility to investigate, discover, or address misconduct.

**(3) Rules of construction.**--For the purposes of paragraph (1)--

**(A)** an employee who initiates or provides evidence of contractor, subcontractor, or grantee misconduct in any judicial or administrative proceeding relating to waste, fraud, or abuse on a Federal contract or grant shall be deemed to have made a disclosure covered by such paragraph; and

**(B)** a reprisal described in paragraph (1) is prohibited even if it is undertaken at the request of an executive branch official, unless the request takes the form of a non-discretionary directive and is within the authority of the executive branch official making the request.

### (b) Investigation of complaints.--

**(1) Submission of complaint.**--A person who believes that the person has been subjected to a reprisal prohibited by subsection (a) may submit a complaint to the Inspector General of the executive agency involved. Unless the Inspector General determines that the complaint is frivolous, fails to allege a violation of the prohibition in subsection (a), or has previously been addressed in another Federal or State judicial or administrative proceeding

initiated by the complainant, the Inspector General shall investigate the complaint and, upon completion of such investigation, submit a report of the findings of the investigation to the person, the contractor or grantee concerned, and the head of the agency.

**(2) Inspector General action.--**

**(A) Determination or submission of report on findings.--**Except as provided under subparagraph (B), the Inspector General shall make a determination that a complaint is frivolous, fails to allege a violation of the prohibition in subsection (a), or has previously been addressed in another Federal or State judicial or administrative proceeding initiated by the complainant or submit a report under paragraph (1) within 180 days after receiving the complaint.

**(B) Extension of time.--**If the Inspector General is unable to complete an investigation in time to submit a report within the 180-day period specified in subparagraph (A) and the person submitting the complaint agrees to an extension of time, the Inspector General shall submit a report under paragraph (1) within such additional period of time, up to 180 days, as shall be agreed upon between the Inspector General and the person submitting the complaint.

**(3) Prohibition on disclosure.--**The Inspector General may not respond to any inquiry or disclose any information from or about any person alleging the reprisal, except to the extent that such response or disclosure is--

**(A)** made with the consent of the person alleging the reprisal;

**(B)** made in accordance with the provisions of **section 552a of title 5** or as required by any other applicable Federal law; or

**(C)** necessary to conduct an investigation of the alleged reprisal.

**(4) Time limitation.--**A complaint may not be brought under this subsection more than three years after the date on which the alleged reprisal took place.

**(c) Remedy and enforcement authority.--**

**(1) In general.--**Not later than 30 days after receiving an Inspector General report pursuant to subsection (b), the head of the executive agency concerned shall determine whether there is sufficient basis to conclude that the contractor or grantee concerned has subjected the complainant to a reprisal prohibited by subsection (a) and shall either issue an order denying relief or shall take one or more of the following actions:

**(A)** Order the contractor or grantee to take affirmative action to abate the reprisal.

**(B)** Order the contractor or grantee to reinstate the person to the position that the person held before the reprisal, together with compensatory damages (including back pay), employment benefits, and other terms and conditions of employment that would apply to the person in that position if the reprisal had not been taken.

**(C)** Order the contractor or grantee to pay the complainant an amount equal to the aggregate amount of all costs and expenses (including attorneys' fees and expert witnesses' fees) that were reasonably incurred by the complainant for, or in connection with, bringing the complaint regarding the reprisal, as determined by the head of the executive agency.

**(2) Exhaustion of remedies.**--If the head of an executive agency issues an order denying relief under paragraph (1) or has not issued an order within 210 days after the submission of a complaint under subsection (b), or in the case of an extension of time under paragraph (b)(2)(B), not later than 30 days after the expiration of the extension of time, and there is no showing that such delay is due to the bad faith of the complainant, the complainant shall be deemed to have exhausted all administrative remedies with respect to the complaint, and the complainant may bring a de novo action at law or equity against the contractor or grantee to seek compensatory damages and other relief available under this section in the appropriate district court of the United States, which shall have jurisdiction over such an action without regard to the amount in controversy. Such an action shall, at the request of either party to the action, be tried by the court with a jury. An action under this paragraph may not be brought more than two years after the date on which remedies are deemed to have been exhausted.

**(3) Admissibility of evidence.**--An Inspector General determination and an agency head order denying relief under paragraph (2) shall be admissible in evidence in any de novo action at law or equity brought pursuant to this subsection.

**(4) Enforcement of orders.**--Whenever a person fails to comply with an order issued under paragraph (1), the head of the executive agency concerned shall file an action for enforcement of such order in the United States district court for a district in which the reprisal was found to have occurred. In any action brought under this paragraph, the court may grant appropriate relief, including injunctive relief, compensatory and exemplary damages, and attorney fees and costs. The person upon whose behalf an order was issued may also file such an action or join in an action filed by the head of the executive agency.

**(5) Judicial review.**--Any person adversely affected or aggrieved by an order issued under paragraph (1) may obtain review of the order's conformance with this subsection, and any regulations issued to carry out this section, in the United States court of appeals for a circuit in which the reprisal is alleged in the order to have occurred. No petition seeking such review may be filed more than 60 days after issuance of the order by the head of the executive agency. Review shall conform to chapter 7 of title 5. Filing such an appeal shall not act to stay the enforcement of the order of the head of an executive agency, unless a stay is specifically entered by the court.

**(6) Burdens of proof.**--The legal burdens of proof specified in **section 1221(e) of title 5** shall be controlling for the purposes of any investigation conducted by an Inspector General, decision by the head of an executive agency, or judicial or administrative proceeding to determine whether discrimination prohibited under this section has occurred.

**(7) Rights and remedies not waivable.**--The rights and remedies provided for in this section may not be waived by any agreement, policy, form, or condition of employment.

**(d) Notification of employees.**--The head of each executive agency shall ensure that contractors, subcontractors, and grantees of the agency inform their employees in writing of the rights and remedies provided under this section, in the predominant native language of the workforce.

**(e) Construction.**--Nothing in this section may be construed to authorize the discharge of, demotion of, or discrimination against an employee for a disclosure other than a disclosure protected by subsection (a) or to modify or derogate from a right or remedy otherwise available to the employee.

**(f) Exceptions.--(1)** This section shall not apply to any element of the intelligence community, as defined in section 3(4) of the National Security Act of 1947 (**50 U.S.C. 401a(4)**).

**(2)** This section shall not apply to any disclosure made by an employee of a contractor, subcontractor, or grantee of an element of the intelligence community if such disclosure--

**(A)** relates to an activity of an element of the intelligence community; or

**(B)** was discovered during contract, subcontract, or grantee services provided to an element of the intelligence community.

**(g) Definitions.**--In this section:

**(1)** The term “abuse of authority” means an arbitrary and capricious exercise of authority that is inconsistent with the mission of the executive agency concerned or the successful performance of a contract or grant of such agency.

**(2)** The term “Inspector General” means an Inspector General appointed under the Inspector General Act of 1978 and any Inspector General that receives funding from, or has oversight over contracts or grants awarded for or on behalf of, the executive agency concerned.

**(h) Construction.**--Nothing in this section, or the amendments made by this section, shall be construed to provide any rights to disclose classified information not otherwise provided by law.

**(i) Repealed by Pub.L. 114-261, § 1(a)(3)(A)(ii), Dec. 14, 2016, 130 Stat. 1362**

## Appendix H. Intergovernmental review process, points of contact by state

Executive Order 12372 requires applicants from state and local units of government or other organizations or individuals providing service within a state to submit a copy of the application to the state single point of contact (SPOC), if one exists and if this program has been selected for review by the state. Before the application due date, you must contact your state SPOC to find out if this program has been selected for review and comply with the state's process under Executive Order 12372. The Catalog of Federal Domestic Assistance reference for this program is number 16.710, "Public Safety and Community Policing Grants."

A current list of state SPOCs is listed at <https://www.archives.gov/federal-register/codification/executive-order/12372.html>. States that are not listed have chosen not to participate in the intergovernmental review process and therefore do not have an SPOC.

# Appendix I. Federal Funding Accountability and Transparency Act (FFATA)—Reporting subaward and executive compensation award term

2 C.F.R. Part 170, Appendix A to Part 170—Award term

I. Reporting Subawards and Executive Compensation

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 equals or exceeds \$30,000 in Federal funds for a subaward to a non-Federal entity or Federal agency (see definitions in paragraph e. of this award term).
2. Where and when to report.
  - i. The non-Federal entity or Federal agency must report each obligating action described in paragraph a.1. of this award term to <http://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.* You must report the information about each obligating action that the submission instructions posted at <http://www.fsrs.gov> specify.

b. Reporting total compensation of recipient executives for non-Federal entities.

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 Federal award equals or exceeds \$30,000 as defined in 2 CFR 170.320;
  - 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 CFR 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 CFR 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 <http://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 <https://www.sam.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 non-Federal entity 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 CFR 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 <http://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. Federal Agency means a Federal agency as defined at 5 U.S.C. 551(1) and further clarified by 5 U.S.C. 552(f).
2. Non-Federal *entity* means all of the following, as defined in 2 CFR 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; and,
  - iv. A domestic or foreign for-profit organization
3. *Executive* means officers, managing partners, or any other employees in management positions.
4. 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 2 CFR 200.331).
  - iii. A subaward may be provided through any legal agreement, including an agreement that you or a subrecipient considers a contract.
5. *Subrecipient* means a non-Federal entity or Federal agency 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.
6. *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 CFR 229.402(c)(2)).

[85 FR 49526, Aug. 13, 2020]

## Appendix J. System for Award Management (SAM) and universal identifier award term

2 C.F.R. Part 25, Appendix A to Part 25—Award Term

### I. SYSTEM FOR AWARD MANAGEMENT AND UNIVERSAL IDENTIFIER REQUIREMENTS

#### A. Requirement for System for Award Management

Unless you are exempted from this requirement under 2 CFR 25.110, you as the recipient must maintain current information in the SAM. This includes information on your immediate and highest level owner and subsidiaries, as well as on all of your predecessors that have been awarded a Federal contract or Federal financial assistance within the last three years, if applicable, until you submit the final financial report required under this Federal 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 Federal award term.

#### B. Requirement for Unique Entity Identifier

If you are authorized to make subawards under this Federal 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 until the entity has provided its Unique Entity Identifier to you.
2. May not make a subaward to an entity unless the entity has provided its Unique Entity Identifier to you. Subrecipients are not required to obtain an active SAM registration, but must obtain a Unique Entity Identifier.

#### C. Definitions

For purposes of this term:

1. *System for Award Management (SAM)* means the Federal repository into which a recipient must provide information required for the conduct of business as a recipient. Additional information about registration procedures may be found at the SAM internet site (currently at <https://www.sam.gov>).
2. *Unique Entity Identifier* means the identifier assigned by SAM to uniquely identify business entities.
3. *Entity* includes non-Federal entities as defined at 2 CFR 200.1 and also includes all of the following, for purposes of this part:
  - a. A foreign organization;
  - b. A foreign public entity;
  - c. A domestic for-profit organization; and
  - d. A domestic or foreign for-profit organization; and
  - e. A Federal agency.
4. *Subaward* has the meaning given in 2 CFR 200.1.
5. *Subrecipient* has the meaning given in 2 CFR 200.1.

[85 FR 49525, Aug. 13, 2020]

## Appendix K. Sample budget narrative

This appendix contains a sample fictitious budget and budget narrative to assist with the development of your budget and budget narrative. This should only be used as a reference.

### Base salary and fringe benefits for civilian personnel—\$63,556.25

#### Program coordinator (Amanda Weinstein)

Amanda Weinstein will serve as the program coordinator. As the program coordinator, she will coordinate the project between all personnel and consultants, ensuring compliance with program requirements, and serving as the central point of contact for all project activities. Resume has been provided to demonstrate experience and knowledge (see attachment in section 13). Year 2 salary estimates are based on a 4 percent cost of living increase as determined by our institutional policy (see attachment in section 13).

*Year 1—\$40,560 x 35% = \$14,196*

- Social Security—6.2% x \$14,196 = \$880.15
- Medicare—1.45% x \$14,196 = \$205.84
- Health insurance—10.5% x \$14,196 = \$1,490.58
- Retirement—6.15% x \$14,196 = \$873.05
- Total fringe year 1 = \$3,449.62 (\$17,645.62 with salary)

*Year 2—\$42,182 x 35% = \$14,763.70*

- Social Security—6.2% x \$14,763.70 = \$915.35
- Medicare—1.45% x \$14,763.70 = \$214.07
- Health insurance—10.5% x \$14,763.70 = \$1,550.19
- Retirement—6.15% x \$14,763.70 = \$907.97
- Total fringe year 1 = \$3,587.58 (\$18,351.28 with salary)

*Total—\$35,996.90*

#### Research associate (Patrick Murphy)

Patrick Murphy will serve as the research associate. As the research associate, he will write and analyze all pre and post assessments and will assist in all evaluation strategies for the project including the training. Resume has been provided to demonstrate experience and knowledge (see attachment in section 13). Year 2 salary estimates are based on a 4 percent cost of living increase as determined by our institutional policy (see attachment in section 13).

Year 1—\$39,520 x 10% = \$3,952

- Social Security—6.2% x \$3,952 = \$245.02
- Medicare—1.45% x \$3,952 = \$57.30
- Health insurance—10.5% x \$3,952 = \$414.96
- Retirement—6.15% x \$3,952 = \$243.05
- Total fringe year 1 = \$960.33 (\$4,912.33 with salary)

Year 2—\$41,101 x 10% = \$4,110.10

- Social Security—6.2% x \$4,110.10 = \$254.83
- Medicare—1.45% x \$4,110.10 = \$59.60
- Health insurance—10.5% x \$4,110.10 = \$431.56
- Retirement—6.15% x \$4,110.10 = \$252.77
- Total fringe year 1 = \$998.76 (\$5,108.86 with salary)

Total—\$10,021.19

### Senior trainer (Kyle Morale)

Kyle Morale will serve as the senior trainer. He will develop and deliver the law enforcement trainings. He will serve as the lead trainer for the two pilot sites and will provide technical assistance when needed. Resume has been provided to demonstrate experience and knowledge (see attachment in section 13). Year 2 salary estimates are based on a 4 percent cost of living increase as determined by our institutional policy (see attachment in section 13).

- Year 1—\$65,770 x 5% = \$3,288.50
  - Social Security—6.2% x \$3,288.50 = \$203.89
  - Medicare—1.45% x \$3,288.50 = \$47.68
  - Health insurance—10.5% x \$3,288.50 = \$345.29
  - Retirement—6.15% x \$3,288.50 = \$202.24
  - Total fringe year 1 = \$799.10 (\$4,087.60 with salary)
- Year 2—\$68,401 x 5% = \$3,420.05
  - Social Security—6.2% x \$3,420.05 = \$212.04
  - Medicare—1.45% x \$3,420.05 = \$49.59
  - Health insurance—10.5% x \$3,420.05 = \$359.11
  - Retirement—6.15% x \$3,420.05 = \$210.33
  - Total fringe year 1 = \$831.07 (\$4,251.12 with salary)

Total—\$8,338.72

### Executive director (Susan Gold)

As the executive director of the organization, Susan Gold has final oversight and approval of all project deliverables. Year 2 salary estimates are based on a 4 percent cost of living increase as determined by our institutional policy (see attachment in section 13).

- Year 1— $\$181,397 \times 2\% = \$3,627.94$ 
  - Social Security— $6.2\% \times \$3,627.94 = \$224.93$
  - Medicare— $1.45\% \times \$3,627.94 = \$52.61$
  - Health insurance— $10.5\% \times \$3,627.94 = \$380.93$
  - Retirement— $6.15\% \times \$3,627.94 = \$223.12$
  - Total fringe year 1 =  $\$881.59$  ( $\$4,509.53$  with salary)
- Year 2— $\$188,653 \times 2\% = \$3,773.06$ 
  - Social Security— $6.2\% \times \$3,773.06 = \$233.93$
  - Medicare— $1.45\% \times \$3,773.06 = \$54.71$
  - Health insurance— $10.5\% \times \$3,773.06 = \$396.17$
  - Retirement— $6.15\% \times \$3,773.06 = \$232.04$
  - Total fringe year 1 =  $\$916.85$  ( $\$4,689.91$  with salary)

Total— $\$9,199.44$

## Travel— $\$6,635$

### Staff travel for pilot 1

An initial training will prepare the participants from the two pilot sites to use the program to implement these crime prevention strategies in their agencies and communities. Two staff members will conduct the pilot site training. As the location of each training has not been decided at this time, average costs have been used based on the GSA Federal Travel Regulations. Travel estimates are based on previous projects for similar work.

- Registration— $\$0$
- Lodging— $\$93/\text{night} \times 3 \text{ nights/trip} \times 2 \text{ people} = \$558$
- Per diem— $[(\$51/\text{day} \times 2 \text{ full days}) + (\$38.25/\text{travel day} \times 2 \text{ travel days})] \times 2 \text{ people} = \$357$
- Transportation— $[\$500 \text{ (airfare)} + \$50 \text{ (baggage)} + \$40 \text{ (ground transportation)} + \$60 \text{ (rental car)} + \$20 \text{ (fuel)}] \times 2 \text{ people} = \$1,340$ 
  - Airfare— $\$500$
  - Baggage fees— $\$50$
  - Ground transportation (estimated costs for cab fare to and from airport)— $\$40$
  - Rental car (shared between two participants)— $\$30/\text{day} \times 4 \text{ days} = \$120$  ( $\$60/\text{person}$ )
  - Fuel (shared between two participants)— $\$40$  ( $\$20/\text{person}$ )

Total staff travel for pilot 1— $\$2,255$

### Staff travel for pilot 2

An initial training will prepare the participants from the two pilot sites to use the program to implement these crime prevention strategies in their agencies and communities. Two staff members will conduct the pilot site training. As the location of each training has not been decided at this time, average costs have been used based on the GSA Federal Travel Regulations. Travel estimates are based on previous projects for similar work.

- Registration— $\$0$
- Lodging— $\$93/\text{night} \times 3 \text{ nights/trip} \times 2 \text{ people} = \$558$
- Per diem— $[(\$51/\text{day} \times 2 \text{ full days}) + (\$38.25/\text{travel day} \times 2 \text{ travel days})] \times 2 \text{ people} = \$357$

- Transportation—[\$500 (airfare) + \$50 (baggage) + \$40 (ground transportation) + \$60 (rental car) + \$20 (fuel)] x 2 people = \$1,340
  - Airfare—\$500
  - Baggage fees—\$50
  - Ground transportation (estimated costs for cab fare to and from airport)—\$40
  - Rental car (shared between two participants)—\$30/day x 4 days = \$120 (\$60/person)
  - Fuel (shared between two participants)—\$40 (\$20/person)

*Total staff travel for pilot 2—\$2,255*

## Focus group travel

A focus group will be held in Washington, D.C., around July 2019. Two staff members will attend. Average costs have been used based on the GSA Federal Travel Regulations. Travel estimates are based on previous projects for similar work.

- Registration—\$0
- Lodging—\$175/night x 2 nights/trip x 2 people = \$700
- Per diem—[((\$69/day x 1 full day) + (\$51.75/travel day x 2 travel days)] x 2 people = \$345
- Transportation—[\$500 (airfare) + \$40 (ground transportation)] x 2 people = \$1,080
  - Airfare—\$500
  - Ground transportation (estimated costs for cab fare to and from airport)—\$40

*Total staff travel for focus group—\$2,125*

## Equipment—\$0

## Supplies—\$1,920

### Office supplies

Based on previous awards for similar work, general office supplies (paper, pens, pencils, staplers, file folders) –cost approximately \$30 per month.

\$30 x 24 months = \$720

### Postage

Postage—training materials, technical assistance resources and other materials will be mailed to pilot sites in connection with project activities. The estimate is based on previous awards for similar work.

\$50 x 24 months = \$1,200

## Sub-Awards—\$14,625

### *Consultant (Sergeant Eric Matthews (ret.), Driscoll Township)*

Sergeant Matthews will provide his expertise on the law enforcement training development and review the promising practices guidebook. The rate of \$400 is based on Sgt. Matthews' annual salary of \$60,000. Resume has been provided to demonstrate experience and knowledge (see attachment in section 13).

$\$400/\text{day} \times 10 \text{ days} = \$4,000$

### *Participant travel for focus group*

Ten focus group participants will be brought in for the focus group meeting in Washington, D.C. around July 2019. The focus group participants will be geographically diverse, so the airfare is estimated. Travel estimates are based on previous projects for similar work.

- Registration—\$0
- Lodging— $\$175/\text{night} \times 2 \text{ nights}/\text{trip} \times 10 \text{ people} = \$3,500$
- Per diem— $[(\$69/\text{day} \times 1 \text{ full day}) + (\$51.75/\text{travel day} \times 2 \text{ travel days})] \times 10 \text{ people} = \$1,725$
- Transportation— $[\$500 \text{ (airfare)} + \$40 \text{ (ground transportation)}] \times 10 \text{ people} = \$5,400$ 
  - Airfare—\$500
  - Ground transportation (estimated costs for cab fare to and from airport)—\$40

*Total staff travel for focus group—\$10,625*

## Procurement Contracts—\$30,000

### Video creation contract

Ten roll call videos will be created as part of the training packages for the pilot sites. The contractor will be procured through free and open competition. The contract estimate is based on previous projects with similar work. \$30,000

## Other costs—\$624

### Phone

Local and long distance phone service will facilitate the delivery of technical assistance and help accomplish project tasks. Phone services are \$50 a month per staff line. The percentage of all staff on this project equals .52 FTE/year

$\$50/\text{month} \times .52 \text{ FTE} = \$26 \times 24 \text{ months} = \$624$

## Indirect costs—\$32,355.60

The organization's indirect cost is calculated at a rate of 32 percent of modified total direct costs (see indirect cost rate agreement attached to section 13). Modified total direct costs consist of all salaries and wages, fringe benefits, materials, supplies, services, travel and subgrants and subcontracts up to the first \$25,000 of each



subgrant or subcontract. Modified total direct costs shall exclude equipment, capital expenditures, charges for patient care, tuition remission, rental costs of off-site facilities, scholarships, and fellowships as well as the portion of each subgrant and subcontract in excess of \$25,000.

Indirect cost calculation— $\$101,111.25 \times 32\% = \$32,355.60$

Total direct base costs =  $\$63,556.25$  (salary/fringe) +  $\$1,920$  (supplies) +  $\$6,635$  (travel) +  $\$25,000$  (procurement contract) +  $\$4,000$  (sub-awards) =  $\$101,111.25$

Excludes =  $\$5,000$  (subcontract in excess of  $\$25,000$ );  $\$10,625$  (participant travel costs)

## Budget summary

Base salary and fringe benefits for civilian	\$63,556.25
Travel	\$6,635
Equipment	\$0
Supplies	\$1,920
Sub-awards	\$14,625
Procurement Contracts	\$30,000
Other costs	\$624
Indirect costs	\$32,355.60
<i>TOTAL BUDGET REQUEST</i>	<i>\$149,715.85</i>

## Appendix L. Conference and event guidance

### Conference and Event Approval, Planning, and Reporting FAQ

#### Prior Approval

**I. Approximately how long should it take to adequately complete the Conference & Events Submission form?**

The amount of time required to adequately complete the Conference & Events Submission Form will vary depending on the complexity of the proposed event. A small event (in terms of number of attendees, total cost, etc.) may require only an hour or two to complete the form because the event is basic/routine and data are not required in all of the available categories. On the other hand, a large event (in terms of number of attendees, multiple sessions occurring at the same time, etc.) may require several hours or days depending on the amount of required data (categories) and level of justification needed to support the event. Regardless of the size of any event, the supporting justification should be sufficient to support the agency's mission for conducting the event.

**II. Which types of events do not require prior approval?**

Currently there are six types of events that do not require prior approval:

1. Conferences held by grant recipients. (Note: Conferences held by cooperative agreement recipients do require prior approval.)
2. Law enforcement operational activities, including staging, surveillance, investigation, intelligence, and undercover activities.
3. Routine operational meetings (e.g., staff meetings or all-hands meetings) if held in a federal facility, if held by cooperative agreement recipients in a non-federal facility that does not charge for its use, and if there are neither costs to the DOJ for logistical conference planning nor government-provided food or beverages. In all three of these instances, the answer to all the questions on the Prior Approval Not Required Checklist must be "No." Site visits are considered routine operational meetings regardless of location so long as there are no costs to the DOJ for meeting rooms, logistical conference planning, or food and beverages.
4. Testing activities where the primary purpose of the event is to evaluate an applicant's qualifications to perform certain duties necessary to his or her job. This includes firearms and weaponry proficiency testing and certifications. A majority of the event must be devoted to administering and taking the test. Testing activities that are incidental to a training course or conference or are given upon its completion do require prior approval.
5. Video conferences and webinars where there are neither costs to the DOJ for logistical conference planning nor government-provided food or beverages.
6. Technical assistance visits where travel was made by an individual or a small group of project staff members to provide training or technical assistance to a particular entity; in this instance, the answer to all the questions on the Prior Approval Not Required Checklist must be "No."

**III. Where should time staff spent working on the conference that is not related to planning be captured?**

Time spent working on a conference by staff or contractors can be classified as either logistical planning time or programmatic planning time. Programmatic planning includes time spent on activities such as developing the conference content and agenda, identifying and recruiting subject matter experts, and preparing written materials. Logistical planning includes time spent on tasks such as selecting a venue, ordering and setting up audio-video equipment, securing hotel rooms, processing registrations, providing onsite support during the event, and undertaking other non-programmatic functions.

**IV. If a cooperative agreement recipient or contractor is able to obtain a no-cost site for the event, are we still required to look into other facilities and provide justification for not selecting the other facilities?**

Yes. Cooperative agreement recipients and contractors should compare three or more facilities in a location. Facilities being compared should have provided a cost estimate and be able to accommodate the event as detailed in the requirements. A desired hotel may offer an incentive of no overall facility cost (e.g., for meeting rooms or audio-visual equipment) but may not be economical in other cost comparison items such as the availability of lodging at per diem rates, travel distance for attendees, etc. Also, recipients and contractors should maintain written documentation justifying their decision to select the chosen location in the event of a future audit.

**V. Is there a timeframe after the COPS Office accepts a conference request that a cooperative agreement recipient or contractor can expect notification of approval?**

Each event request (meeting, conference, webinar, etc.) is unique in reference to how it will accomplish the COPS Office's mission. The key to any conference request moving through the review process depends on whether the package is complete. A complete package contains a detailed cost analysis and sufficient justification to support all categories within the package.

Example: An event is submitted for approval and consists of the following categories: printing and distribution, meals and incidental expenses (M&IE), lodging, transportation, and trainer or facilitator costs. The package contains a detailed cost analysis of each cost category (e.g., one trainer at \$450 per day x 2 days = \$900) and adequate justification explaining the purpose of the event and the role of the trainer. This package can move through the review process in a few days and allow ample time for travelers to make reservations, if the package was submitted within the required timeframe. However, if the trainer or facilitator's costs in the submitted package exceed the COPS Office's threshold and if supporting justification was not included, a delay may occur while this justification is being retrieved. To avoid delays in the approval process, all recipients and contractors should adhere to the timeframe requirements for the dollar amount of their proposed event.

**VI. Once an event is approved, how do we handle any increases or decreases in the amount of attendees originally proposed on the cost analysis spreadsheet submitted to the DOJ for approval?**

After receiving notification of approval from the COPS Office, all subsequent changes prior to the start day of the event should be sent to the [COPS Office Conference Costs email address](#), as appropriate. **Example:** If the COPS Office approved on 9/1/2019 an event scheduled for 12/15/2019, the cooperative agreement recipient or contractor should notify the COPS Office of any changes in attendees as soon as possible (preferably 30 days or more in advance). This scenario holds true for changes to the start and end date, location, and any other cost-related category.

**VII. Does the \$25 per person per day limit for meeting rooms and audio-visual costs also include service fees and taxes?**

Yes. The cost allowed for conference space and audio-visual equipment and services (fees and taxes) is limited to \$25 per day per attendee and is not to exceed a cumulative total cost of \$20,000. Total costs are defined as direct and indirect costs.

**VIII. What if there are multiple meetings occurring within the larger event offered to all the attendees? Is the \$25 per day per attendee limit applicable to each meeting? Example: A general session meeting contains all attendees and later breakout sessions are offered to the groups. Can each breakout session have its own \$25 per person per day limit?**

No. Despite the multiple meetings offered within the larger event, the COPS Office considers and approves this type of situation to be a single event.

**IX. Can we accept complimentary food and beverage?**

Yes. Complimentary food and beverages may be accepted if offered to everyone. **Example:** Hotel W offers a complimentary continental breakfast to all its overnight customers regardless of any status they may have with the hotel chain. This type of complimentary offer is considered a business strategy of the hotel to promote an increase in overnight stays. You are not required to reduce your M&IE by the value of the food and beverage it offered to all customers as noted in this example.

**X. Are the thresholds (\$8,750 for logistical planner, \$35,000 for programmatic planner, and \$20,000 for conference space and audio-visual equipment and services) a cumulative cost for the entire event or a per day cost?**

The cost allowed for conference space and audio-visual equipment and services (fees and taxes) is limited to \$25 per day per attendee and is not to exceed a cumulative total cost of \$20,000. The cost allowed for a logistical planner is the lesser of \$50 per attendee or \$8,750 per event. The cost allowed for a programmatic planner is the lesser of \$200 per attendee or \$35,000 per event.

**XI. To whom should I submit event requests?**

For all COPS Office events, the form should be sent to the [COPS Office Conference Costs email address](#). Please do not send questions or other correspondence to this email address. This mailbox should be used only for the submission of conference forms and supporting documentation (e.g., hotel contracts).

**XII. How far in advance do I have to submit an event for review and approval?**

Requests for conferences costing \$100,000 or less, and not exceeding any cost thresholds (conference space and audio-visual equipment and services, logistical conference planner, and programmatic conference planner), must be submitted to the COPS Office 90 calendar days in advance of the earliest of the following:

- Start date of the conference;
- Deadline for signing conference-related contracts; or
- Obligation of funds for conference costs (except for minimal costs required to assemble and submit the approval request).

Requests for conferences costing more than \$100,000, or exceeding any one cost threshold (conference space and audio-visual equipment and services, logistical conference planner, or programmatic conference planner), must be submitted to the COPS Office 120 calendar days in advance of the earliest of the following:

- Start date of the conference;
- Deadline for signing conference-related contracts; or
- Obligation of funds for conference costs (except for minimal costs required to assemble and submit the approval request).

If approval requests are submitted less than the required number of days in advance (as noted above), the COPS Office, in its sole discretion, may consider the late requests but cannot ensure the requests will receive a decision in time to avoid having to cancel the conference (particularly if any issues arise with specific items of cost in the request). Cancellation costs associated with conference requests that are submitted for late prior approval may be determined to be unallowable costs by the COPS Office.

**XIII. What are the most common mistakes made on the forms so that I can avoid them in the future and increase the likelihood of a quick review and approval decision for my event?**

The following are the most common mistakes found:

*Inaccurate calculation of daily per diem.* Daily per diem rates for locations across the nation can be found on the GSA website. Ensure the daily rate used in the calculations corresponds to the specific location and dates of the meeting. In addition, remember that travel days are reimbursed at a slightly lower rate than meeting days. The lower rates must be used for days of travel both before and after the event. Table 1 includes these lower rates:

**Table 1. Per diem rates**

Full per diem rate	Corresponding travel day rate (75%)
\$46.00	\$34.50
\$51.00	\$38.25
\$56.00	\$42.00
\$61.00	\$45.75
\$66.00	\$49.50
\$71.00	\$53.25

**EXCEPTION:** If your organization has its own formal, written travel policy, your event submissions can reflect that policy instead of the rates in the chart above. In these instances, state that you have a formal, written travel policy, and clearly explain the rates in the policy and how the corresponding numbers in your submission were derived.

*Insufficient explanation and justification of transportation costs.* Remember to break out and briefly describe and justify the transportation costs that are included. **Example:** If participants are flying to your event and the tickets are being paid for with DOJ funding, you should include the anticipated number of people flying multiplied by the estimated cost per ticket. If cars will be rented, you should include a brief justification for why rental cars are being used instead of another form of ground transportation, such as taxis or shuttles.

*Insufficient explanation and justification of audio-visual costs.* All audio-visual costs should be broken out and briefly described. The quantity of equipment to be rented (number of microphones, projectors, etc.) should be included, along with relevant costs and a brief justification for why the proposed equipment is required to conduct a successful meeting. A discussion of how the audio-visual services provider was selected should be included (for example, did you obtain three quotes?).

*Insufficient explanation and justification of printing costs.* Proposed printing costs for participant materials should also be itemized and briefly described. Specifically, it is important to articulate why printed materials are needed instead of making materials available electronically (at low or no cost) to attendees before or after the event.

*Insufficient explanation and justification of shipping costs.* Provide an itemization of these costs, along with a brief description of why the equipment and other materials being shipped are essential to hosting a successful conference.

*Insufficient explanation and justification of consultant costs.* The maximum daily rate for subject matter experts who are being reimbursed for their time is noted in the **Consultant Contractor Fact Sheet**. Describe all consultant costs in detail, and include a brief yet compelling justification for the proposed costs. Daily rates for subject matter experts above the maximum daily rate require prior approval by the COPS Office and DOJ. In cases where higher rates are included in the event submission, written documentation of prior approval is required and should be attached.

**XIV. Should I continue to exclude all food and beverage costs in my event submissions?**

Yes. The inclusion of food and beverage costs will delay the review process, and these costs are not likely to be approved. The only exception is when the location of the conference does not allow attendees to obtain food or beverages on their own or when this restriction would greatly disrupt the conference schedule. If you believe your event qualifies for such a rare exception, contact your Program Manager to discuss it before completing and submitting your form. If meals are included in your event submission, remember that attendees must subtract the meal costs from the M&IE reimbursement for the days on which the meals will occur.

**XV. Can you summarize what I can do to prevent follow-up questions about my submitted events that delay the review and approval process?**

As a general rule, explain how you derived every cost that you include in the conference submission form. For lines that do not provide space for you to add descriptive narrative, include your explanations and specific cost breakdowns in a separate tab or in a separate document that is submitted with the form. In addition, include the cooperative agreement or contract number on the form.

**XVI. What events qualify for the expedited review process?**

There is no expedited review process. Every effort is made to review all events as quickly as possible. Most delays result from a need for additional information. Event requests are prioritized for review by balancing the following three criteria:

1. The start date of the event;
2. The date the event submission was received by COPS Office; and
3. The overall cost and complexity of the event. For example, conferences requiring approval by the assistant attorney general's administration and the deputy attorney general (over \$100,000–\$250,000) typically take longer to process, as they must go through COPS Office and DOJ reviews, result in more questions, and are more likely to have issues related to cost thresholds.

## Reporting

**XVII. Where can I find the most updated version of the conference reporting form to use for my submissions?**

The most updated version of the conference reporting form can be found under the Training Resources for award recipients section on the COPS Office Training page at <https://cops.usdoj.gov/training>.

**XVIII. If I have a question about conference reporting, to whom should I send it?**

Send your questions to your designated Program Manager. They are great resources and will be happy to assist you.

**XIX. Are we expected to have our staff track their time hour for hour for time spent on the event for planning, etc., or are reasonable estimates adequate for cost reporting purposes?**

Post-event reports must contain actual costs, not estimates. These costs should include logistical and programmatic planner staff time spent on these activities and any contracted planner costs.

**XX. With conference cost reports now being due 30 days after the event, how should we handle costs for invoices that have not been received yet? Many invoices (such as for hotels) are not received within 30 days after the event. Should estimates be included on the cost report?**

All conference costs for events held by cooperative agreement recipients or contractors costing more than \$20,000, or where more than 50% of attendees are DOJ employees, must be reported within 45 calendar days after the last day of the event.

**XXI. On the DOJ Conference & Events Submission Form under "A. General Conference Information," is item 19, "Reporting Period," the period in which the actual cost of the event is being reported, or should this be based on the end date of the event?**

This reporting requirement is based on the end date of the event. All conference costs for events held by cooperative agreement recipients or contractors costing over \$20,000, or where more than 50% of attendees are DOJ employees, must be reported within 45 calendar days after the last day of the event. Example: A COPS Office–approved conference was conducted from 3/16/2019 through 3/20/2019. A completed Conference & Events Submission Form must be submitted, showing the prior approval amounts compared to the actual costs and explaining all variances greater than 10% or \$1,000. Reports should be emailed to the COPS Office Conference Cost email address at [COPS.Conferencelcosts@cops.usdoj.gov](mailto:COPS.Conferencelcosts@cops.usdoj.gov).

The following pages contain the conference reporting form template.



## Department of Justice-Sponsored Conference Request and Report

A **RED** cell indicates that your entry exceeds the DOJ meal threshold AND cannot be submitted unless within the meal threshold.

A **YELLOW** cell indicates that your entry exceeds the DOJ threshold, and additional justification must be provided.

A **GREY** box indicates that no entry is required.

JMD FINANCE STAFF USE ONLY:	
JMD Tracking Number	
Date Received	

COMPONENT USE ONLY:							
Component Internal Tracking Number <i>(Optional)</i> :							
CA/Contract Number							
CA/Contract Recipient				CA/Contract PoC Name			
CA/Contract PoC Phone				CA/Contract PoC Email			
	Request Cost per Attendee	#DIV/0!	Actual Cost per Attendee		COPS Average Cost per Attendee		DOJ Average Cost per Attendee

A. GENERAL CONFERENCE INFORMATION:	
1. Name of Requestor	
2. Component Name <i>(Drop Down)</i>	COPS - Office of Community Oriented Policing Services
3. Is this submission for a conference request or report? <i>(Drop Down)</i>	Conference Request
4. JMD Tracking # <i>(Report Only)</i>	
5. If this is a Re-Submission of a previously disapproved conference, indicate original JMD Tracking Number.	
6. Official Title of the Conference <i>(No Abbreviations)</i>	
7. Is this a blanket request? (Y/N) <i>(Drop Down) If "YES" Skip A9-13,A16 and Sections C,D,&amp; E1, If "NO" Skip A8</i>	No
8. If this is a Blanket Request, indicate for each: 1) Number of occurrences this fiscal year, 2) Locations, and 3) Start and End Dates	
9. Conference Start Date <i>(MM/DD/YYYY)</i>	
10. Conference End Date <i>(MM/DD/YYYY)</i>	



11. Location: Country <i>(Drop Down)</i>		
12. Location: State / Territory / Possession <i>(Drop Down)</i>		
13. Location: City		
14. Justification that conference is essential to accomplishing core mission		
15. Funding Appropriation Symbol		
16. Facility Name <i>(Specific)</i>		
17. Facility Type (Federal/Non-Federal) <i>(Drop Down)</i>		
18. Cooperative Agreement (Y/N) <i>(Drop Down)</i>		
<i>(Required when reporting actuals) (Drop Down)</i>		
	<b>Conference REQUEST Information</b>	<b>Conference REPORT Information</b>
20. Number of DOJ Federal Attendees		
21. Number of Other Federal Attendees		
22. Number of Non-Federal Attendees		
23. Total Number of Attendees <i>(Auto-populates)</i>	0	
24. Total number of attendees whose travel expenses are paid for by DOJ <i>(required)</i>		
25. Total Cost <i>(Auto-populates from entries below)</i>	\$0	
26. Predominately Internal Event held at a Non-Federal Facility (Y/N) <i>(Auto-populates based on Facility Type and Number of Attendees)</i>	PLEASE PROVIDE NUMBER OF ATTENDEES	

<b>Competitive Contracting:</b>	
<i>(Drop Down)</i>	
<i>(Drop Down)</i>	

*When REPORTING quarterly conferences, only complete the request information if JMD approved your request and you have a JMD tracking number*

B. TOTAL CONFERENCE COSTS:	Conference REQUEST Information				Conference REPORT Information				
	ESTIMATED DIRECT COST	ESTIMATED INDIRECT COST <i>(Funding from Cooperative Agreement)</i>	ESTIMATED TOTAL COST <i>(Auto-populates)</i>	% OF TOTAL COST <i>(Auto-populates)</i>	ACTUAL DIRECT COST	ACTUAL INDIRECT COST <i>(Funding from Cooperative Agreement)</i>	ACTUAL TOTAL COST <i>(Auto-populates)</i>	VARIANCE <i>(Between Actual and Estimate)</i> <i>(Auto-populates)</i>	VARIANCE JUSTIFICATION <i>(Provide justification if variance is &gt;\$1,000 and &gt;10% as indicated by a light yellow cell OR exceeds cost thresholds, as indicated by a bright yellow cell)</i>



COST CATEGORY:	NUMBER OF ATTENDEES	PER PERSON THRESHOLD (\$)	TOTAL JMD THRESHOLD (\$)
1. Conference Space & Audio-visual Equipment and Services	0	\$ 25	\$ -
2. Logistical Conference Planner	0	\$ 50	\$ -
3. Programmatic Conference Planner	0	\$ 200	\$ -

**F. JUSTIFICATION IF SUBMITTING CONFERENCE REQUEST FORM WITH ESTIMATED COSTS OVER THRESHOLD (Complete if cells turn YELLOW):**

1. Conference Space & Audio-visual Equipment and Services	
2. Refreshments	
3. Logistical Conference Planner	
4. Programmatic Conference Planner	

**G. JUSTIFICATION REQUIRED FOR CONFERENCES WITH MEALS (Complete if cells turn YELLOW):**

Government Provided Meals	
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**H. JUSTIFICATION FOR NON-FEDERAL FACILITY (Complete if cells turn YELLOW):**

Justification for Using a Non-Federal Facility <i>(Drop Down)</i>	
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**I. FACILITIES CONSIDERED**

NAME	FACILITY TYPE <i>(Drop Down)</i>	TOTAL EST. CONFERENCE COST	SELECTED (Y/N)	REASON FOR USE OR NON-USE
	0	\$ -	YES	



**Please answer the following questions below:**

Meeting/Event name:	
Meeting/Event date:	

Please select yes or no from the drop down:	Yes/No
1. Is the cost of the event greater than \$20,000?	
2. Are there meeting room costs?	
3. Are audio visual costs greater than \$25 per attendee or more than \$1000 in total?	
4. Are there any food and beverage costs?	
5. Did the request for the meeting come from multiple jurisdictions or agencies?	
6. Do the participants represent multiple agencies that are not co-located or joined by an agreement (e.g., task force with MOU)?	
7. Are there trinkets being purchased?	
8. Is there a formal published agenda?	
9. Are formal discussion or presentation panels planned?	
10. Are there logistical planning costs beyond incidental internal administrative costs necessary to arrange travel and lodging for a small number of individuals?	

***If any question is answered "yes", the event must be submitted for prior approval. If all answers are "no", the event does not require additional prior approval. The CCRPOC must sign the certification below and this documentation along with the original cost estimate must be maintained in the award files in accordance with the record documentation guidelines outlined in the Financial Guide.***

**CCRPOC Certification (only to be used if all answers are "no"):**

The CCRPOC for this award certifies that the answers to all the questions above are "no", thereby not requiring prior approval. The CCRPOC further certifies that actual costs charged to the cooperative agreement will not exceed \$20,000, including any applicable indirect costs.

\_\_\_\_\_

Typed CCRPOC Name:

--

Date:

--

**Please answer the following questions below to continue with your prior approval:**

One sentence describing the event:	
Purpose for the event:	
How the purpose ties to the COPS Office/DOJ Mission:	

<b>COPS Office Mission: To advance the practice of community policing by the nation's state, local, territorial, and tribal law enforcement agencies through information and grant resources.</b>
<b>DOJ Mission: To enforce the law and defend the interests of the United States according to the law; to ensure public safety against threats foreign and domestic; to provide federal leadership in preventing and controlling crime; to seek just punishment for those guilty of unlawful behavior; and to ensure fair and impartial administration of justice for all Americans.</b>

Brief discussion of how and why the venue (City, State and facility) was selected.

Answer:

Venue selection justification documents or venue selection matrix provided.

Intended audience (select all that apply "X")

<input type="checkbox"/>	Community based organizations/NPOs
<input type="checkbox"/>	Community Members/Volunteers/General Public
<input type="checkbox"/>	Corrections / Detention Personnel
<input type="checkbox"/>	Court Personnel
<input type="checkbox"/>	Crime Scene Investigators
<input type="checkbox"/>	Defense Attorneys
<input type="checkbox"/>	Educators
<input type="checkbox"/>	Faith-based Organizations
<input type="checkbox"/>	Financial Managers
<input type="checkbox"/>	Forensic Scientists
<input type="checkbox"/>	Grant Managers
<input type="checkbox"/>	Health services (medical, mental health, substance abuse treatment)
<input type="checkbox"/>	Industry
<input type="checkbox"/>	Judges
<input type="checkbox"/>	Law Enforcement
<input type="checkbox"/>	Probation /Community Corrections/Parole
<input type="checkbox"/>	Prosecutors
<input type="checkbox"/>	Tribal
<input type="checkbox"/>	Victim Advocates
<input type="checkbox"/>	Youth
<input type="checkbox"/>	Other – describe below
<div style="border: 1px solid black; height: 18px;"></div>	

Topic (select all that apply "X")

<input type="checkbox"/>	Corrections
<input type="checkbox"/>	Courts
<input type="checkbox"/>	Crime Prevention
<input type="checkbox"/>	Crime Scene Investigation
<input type="checkbox"/>	Drugs
<input type="checkbox"/>	Forensic Science
<input type="checkbox"/>	Grants Management (financial, administrative, programmatic)
<input type="checkbox"/>	Justice Systems
<input type="checkbox"/>	Juvenile Justice
<input type="checkbox"/>	Laboratory Operations
<input type="checkbox"/>	Law Enforcement
<input type="checkbox"/>	Standards
<input type="checkbox"/>	Technical Working Groups / Advisory Groups
<input type="checkbox"/>	Victims of Crime
<input type="checkbox"/>	Other – describe below
<div style="border: 1px solid black; height: 18px;"></div>	

**ESTIMATED EXPENSE JUSTIFICATION/COST CALCULATION SECTION**

**Conference/Meeting Space**

Justification	Item	Cost per Day	Number of Days	Total Direct Costs	Total Grantee Cost	Total Cost
				\$0	\$0	\$0
				\$0		
				\$0		
				\$0		
				\$0		
				\$0		

**A/V Equipment & Services**

Justification	Item	Cost per Day	Number of Days	Total Direct Costs	Total Grantee Cost	Total Cost
				\$0	\$0	\$0
				\$0		
				\$0		
				\$0		
				\$0		
				\$0		

**Printing and Distribution**

Justification	Item	Unit Cost	Quantity	Total Direct Costs	Total Grantee Cost	Total Cost
				\$0	\$0	\$0
				\$0		
				\$0		
				\$0		
				\$0		
				\$0		

**Gov't Provided Meals**

Justification	Item	Unit Cost	Number of Attendees	Number of Days	Total Direct Costs	Total Grantee Cost	Total Cost
	Breakfast				\$0	\$0	\$0
	Lunch				\$0		
	Dinner				\$0		
	Refreshment				\$0		

**M & IE**

Justification	Description	Per Diem Rate	Number of Travelers	Number of Days	Total Direct Costs	Total Grantee Cost	Total Cost
					\$0	\$0	\$0
					\$0		
					\$0		
					\$0		
					\$0		
					\$0		
<b>DOJ Attendee M&amp;IE</b>					\$0		\$0.00

**Lodging**

Justification	Description	Lodging Rate	Number of Travelers	Number of Nights	Total Direct Costs	Total Grantee Cost	Total Cost
					\$0	\$0	\$0
					\$0		
					\$0		
					\$0		
					\$0		
					\$0		
<b>DOJ Attendee Lodging</b>					\$0		\$0.00

**Transportation**

Justification	Description	Rate	Number of Travelers	Total Direct Costs	Total Grantee Cost	Total Cost
				\$0	\$0	\$0
				\$0		
				\$0		
				\$0		
				\$0		
				\$0		
<b>DOJ Attendee Transportation</b>				\$0		\$0.00

**Local Transportation**

Justification	Item	Cost/Rate	Number of trips, miles, vehicles, persons	Total Direct Costs	Total Grantee Cost	Total Cost
	Taxi			\$0.00	\$0	\$0
	Parking Fees			\$0.00		
	Shuttle Service			\$0.00		
	POV (mileage)			\$0.00		
				\$0.00		
<b>DOJ Attendee Local Transportation</b>				\$0		\$0.00

**Logistical Planner**

Justification	Item	Cost/Rate	hours/days	Total Direct Costs	Total Grantee Cost	Total Cost
				\$0.00		
				\$0.00		





**Hotel Selection Justification and Cost Breakdown**

Bid	Hotel	Total Cost	Availability	Food	Guest Room Rate per Night	Meeting Space Rental Fee + Service Fee	Microphones, Mixer, and Recording	Screen and Projector	Technician and Service Fee
1									
2									
3									

**Audio/Visual Cost Justification**

*If A/V estimate costs are above the threshold, use the space below to explain and/or justify the cost.*

**Itemized Travel Costs Paid or Reimbursed with Cooperative Agreement Funds**

*Only complete this form when submitting Conference Report Actuals.*

Name	Duty Station <i>(Departure and Return Location)</i>	Purpose/Role <i>(Participant, Facilitator, Logistical Coordinator, etc.)</i>	# of days	Total M&IE	Total Lodging <i>(Include tax)</i>	Common Carrier Transportation <i>(Air, Rail, or Bus)</i>	Baggage Fees*	Local Transportation <i>(Includes taxi, parking, rental car, POV)</i>	Total
									\$ -
									\$ -
									\$ -
									\$ -
									\$ -
<b>TOTAL</b>				\$ -	\$ -	\$ -		\$ -	\$ -

\* Although there is a separate column for "Baggage Fees" that expense should be added to the "Common Carrier Transportation" in the actuals report.

Complete this form only when submitting Actual Costs and if there are particular itemized expense in "Part B Total Conference Costs" of the Reporting Form exceeds the threshold or the allowable variance. Provide justification/explanation and calculations in the below form.

Expense Category	Cost	Reporting Form Variance Justification/ Explanation
Conference Meeting Space	\$0	
A/V Equipment and Services	\$0	
Conference Meeting Space and A/V Equipment and Services	\$0	Total will auto-populate
Printing and Distribution	\$0	
Gov't Provided Meals*	\$0	
Breakfast	\$0	
Lunch	\$0	
Dinner	\$0	
Refreshments*	\$0	
M&IE	\$0	
Lodging	\$0	
Transportation	\$0	
Local Transportation	\$0	
Logistical Conference Planner	\$0	
Programmatic Conference Planner	\$0	
Conference Trainer/Instructor/Presenter/Facilitator	\$0	Conference trainer/instructor/presenter/facilitator costs should be broken out in the "Conference Request Questions" sheet.
Other Costs	\$0	
Indirect Costs	\$0	
	\$0	
	\$0	
	\$0	
	\$0	
	\$0	
	\$0	
	\$0	
	\$0	
	\$0	
<b>Total:</b>	<b>\$0</b>	<b>Total will auto-populate</b>

## Glossary of Terms

The following information is provided to assist you with the completion of your COPS Office award program application forms. The list includes some of the most common terms that are used in the application forms. For additional assistance or clarification regarding any part of the application, please contact the COPS Office Response Center at 800-421-6770 or [AskCopsRC@usdoj.gov](mailto:AskCopsRC@usdoj.gov).

**allowable costs.** Allowable costs are costs that will be paid for by this award program.

**authorized officials.** The authorized officials are the individuals in your organization who have final authority and responsibility for all programmatic and financial decisions regarding your application and, if funded, your award. For law enforcement agencies, the listed law enforcement executive (usually chief of police, sheriff, etc.) and the government executive (usually mayor, board president, etc.) are your agency's authorized officials.

**authorized organizational representative (AOR).** A person authorized by your e-business POC to submit applications to Grants.gov. This privilege should be provided only to those individuals who currently have signature authority for submitting award applications. The name of the individual designated as an AOR will be populated by the Grants.gov system in award application package forms, which require signatures. An organization can assign as many AORs to use Grants.gov as necessary.

**award end date.** This is the date until which your agency is authorized to purchase items or hire positions that were approved by the COPS Office. If funded, the award end date is found on your award document. Recipients may not make any purchases or hire any positions after this date without written approval from the COPS Office.

**award number.** If awarded, the award number identifies your agency's specific award, and can be found on your award document. This number should be used as a reference when corresponding with the COPS Office. The COPS Office tracks award information based upon this number.

**award start date.** This is the date on or after which your agency is authorized to purchase items or hire positions that were approved by the COPS Office. If funded, the award start date is found on your award document. Recipients may not make any purchases or hire any positions prior to this date without written approval from the COPS Office.

**career law enforcement officer.** The COPS Office 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 award 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 all COPS Office programs is 16.710.

**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.** The federal agency that generally provides the most federal financial assistance to the recipient of funds. Cognizance is assigned by the Office of Management and Budget (OMB).

**community policing.** Community policing is a philosophy that promotes organizational strategies that 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 violent crime, nonviolent crime, and fear of crime.

**computing devices.** Computing devices are machines used to acquire, store, analyze, process, and publish data and other information electronically, including accessories (or “peripherals”) for printing, transmitting, and receiving, or storing electronic information.

**cooperative agreement.** A legal instrument of financial assistance between a federal awarding agency and a non-federal entity to carry out a public purpose authorized by a law of the United States that, consistent with 31 U.S.C. § 6302-6305, provides for substantial involvement between the federal awarding agency and the non-federal entity in carrying out the activity contemplated by the federal award.

**COPS Office.** The Office of Community Oriented Policing Services (COPS Office) is the office within the U.S. Department of Justice that, if awarded, is your grantor or awarding agency for your COPS Office award. The COPS Office is responsible for administering your award for the entire award period. You can reach the COPS Office at 800-421-6770.

**COPS Office finance staff.** Members of the COPS Office finance staff handle your agency’s financial and budgetary needs related to your application. A financial analyst is assigned to your state, and is available to answer any questions that you may have concerning the financial aspects of your award, if funded. To identify your state assigned financial analyst, please call the COPS Office Response Center at 800-421-6770, or visit the COPS Office web site at [www.cops.usdoj.gov](http://www.cops.usdoj.gov).

**Disallowed costs.** Disallowed costs means those charges that are determined to be unallowable, in accordance with the applicable Federal statutes, regulations, or the terms and conditions of the federal award.

**DUNS number.** DUNS stands for “data universal numbering system.” DUNS numbers are issued by Dun and Bradstreet (D&B) and consist of nine or thirteen digits. If your institution does not have one, call 866-705-5711 to receive one free of charge. You can also request your DUNS number online at [www.dnb.com/us](http://www.dnb.com/us).

**e-business point of contact (POC).** Your e-business POC is the person who will designate which staff members can submit applications through Grants.gov. When you register with SAM, your institution will be asked to designate an e-Business POC.

**equipment.** Equipment is tangible personal property (including information technology systems) having a useful life of more than one year and a per-unit acquisition cost that equals or exceeds \$5,000.

**federally recognized tribe.** Tribal entities that are recognized and eligible for funding and services from the Bureau of Indian Affairs 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 Office tribal award funds. For further information, contact: Bureau of Indian Affairs, Division of Tribal Government Services, MS-4631-MIB, 1849 C Street NW, Washington, DC 20240, 202-208-2475.

**grant.** A legal instrument of financial assistance between a federal awarding agency and a non-federal entity to carry out a public purpose authorized by a law of the United States that, consistent with 31 U.S.C. § 6302-6305, does not provide for substantial involvement between the federal awarding agency and the non-Federal entity in carrying out the activity contemplated by the federal award.

**Indian tribe.** For purposes of COPS Office awards, Indian tribe means a tribe, band, pueblo, nation, or other organized group or community of Indians, including an Alaska Native village (as defined in or established under the Alaska Native Claims Settlement Act (43 U.S.C. § 1601 et seq.)), that is recognized as eligible for the special programs and services provided by the United States to Indians because of their status as Indians. See 34 U.S.C. § 10389(3).

**indirect costs.** Indirect (facilities & administrative (F&A)) costs means those costs incurred for a common or joint purpose benefitting more than one cost objective, and not readily assignable to the cost objectives specifically benefitted, without effort disproportionate to the results achieved.

**institutions of higher education (IHE).** Institution of higher education is defined at 20 U.S.C. 1001.

**Local Area Unemployment Statistics (LAUS).** The Bureau of Labor Statistics' LAUS program provides monthly estimates of unemployment for communities. For more information and detailed instructions for looking up your local area's unemployment rate, please visit [www.bls.gov/lau/data.htm](http://www.bls.gov/lau/data.htm).

**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.

**M-PIN.** Password used by your e-business point of contact to designate which staff members can submit applications to Grants.gov.

**matching funds.** What a locality must contribute as a cash match toward total allowable project costs over the life of the program.

**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.

**modified total direct cost.** Modified total direct cost (MTDC) means all direct salaries and wages, applicable fringe benefits, materials and supplies, services, travel, and up to the first \$25,000 of each subaward (regardless of the period of performance of the subawards under the award). MTDC excludes equipment, capital expenditures, charges for patient care, rental costs, tuition remission, scholarships and fellowships, participant support costs and the portion of each subaward in excess of \$25,000. Other items may only be excluded when necessary to avoid a serious inequity in the distribution of indirect costs, and with the approval of the cognizant agency for indirect costs.

**nonfederal entity.** Nonfederal entity means a state, local government, Indian tribe, institution of higher education, or nonprofit organization that carries out a federal award as a recipient or subrecipient.

**nonprofit organization.** Nonprofit organization means any corporation, trust, association, cooperative, or other organization, not including institutions of higher education, that is operated primarily for scientific, educational, service, charitable, or similar purposes in the public interest; is not organized primarily for profit; and uses net proceeds to maintain, improve, or expand the operations of the organization.

**obligation of funds.** If this application is awarded, the COPS Office obligates federal funds when the award document is signed by the director or his or her designated official. For the recipient, award funds are obligated when monies are spent directly on purchasing items approved under the award. 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).

**OJP vendor number/EIN number.** This is your organization's nine-digit federal tax identification number assigned to you by the IRS. Your accounting/bookkeeping department should have this number.

If your EIN previously has been assigned to another organization within your jurisdiction, the Office of the Comptroller will assign a new OJP vendor number to you. The new assigned number is to be used for administrative purposes only, in connection with this award program, and should not be used for IRS purposes.

**ORI (Originating Agency Identifier) number.** This number is assigned by the FBI and is your organization's originating agency 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. When you contact the COPS Office with a question, you can use the ORI number, and we will be able to assist you. If you are a previous COPS Office award recipient, you may have been assigned an ORI number through the COPS Office if the FBI had not previously assigned your organization this identifier number.

**participant support costs.** Participant support costs means direct costs for items such as stipends or subsistence allowances, travel allowances, and registration fees paid to or on behalf of participants or trainees (but not employees) in connection with conferences, or training projects.

**primary law enforcement authority.** An agency with primary law enforcement authority is defined as the first responder to calls for service for all types of criminal incidents within its jurisdiction. Agencies are not considered to have primary law enforcement authority if they only respond to or investigate specific type(s) of crime(s); respond to or investigate crimes within a correctional institution; serve warrants; provide courthouse security; transport prisoners; and/or have cases referred to them for investigation or investigational support.

**program income.** Program income means gross income earned by the non-Federal entity that is directly generated by a supported activity or earned as a result of the Federal award during the period of performance.

**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.

**recipient.** The Uniform Guidance defines it as “Recipient means a non-Federal entity that receives a Federal award directly from a Federal awarding agency to carry out an activity under a Federal program. The term recipient does not include subrecipients. See also § 200.69 Non-Federal entity.” 2 C.F.R. § 200.86.

**research and development.** Research and development (R&D) means all research activities, both basic and applied, and all development activities that are performed by non-Federal entities. The term “research” also includes activities involving the training of individuals in research techniques where such activities use the same facilities as other research and development activities and where such activities are not included in the instruction function. “Research” is defined as a systematic study directed toward fuller scientific knowledge or understanding of the subject studied. “Development” is the systematic use of knowledge and understanding gained from research directed toward the production of useful materials, devices, systems, or methods, including design and development of prototypes and processes.

**school resource officer (SRO).** A career law enforcement officer, with sworn authority, deployed in community-oriented policing, and assigned by the employing police department or agency to work in collaboration with schools and community-based organizations to (a) address crime and disorder problems, gangs, and drug activities affecting or occurring in or around and elementary or secondary school; (b) deploy or expand crime prevention efforts for students; (c) educate likely school-age victims in crime prevention and safety; (d) develop or expand community justice initiatives for students; (e) train students in conflict resolution, restorative justice, and crime awareness; (f) assist in the identification of physical changes in the environment that may reduce crime in or around the school; and (g) assist in developing school policy that addresses crime and to recommend procedural changes.

**simplified acquisition threshold.** Simplified acquisition threshold means the dollar amount below which a non-Federal entity may purchase property or services using small purchase methods. Non-Federal entities adopt small purchase procedures in order to expedite the purchase of items costing less than the simplified acquisition threshold. The simplified acquisition threshold is set by the Federal Acquisition Regulation at 48 C.F.R. Subpart 2.1 (Definitions) and in accordance with 41 U.S.C. § 1908. Currently, the simplified acquisition threshold is \$250,000.

**subaward.** Subaward means an award provided by a pass-through entity to a subrecipient for the subrecipient to carry out part of a Federal award received by the pass-through entity. It does not include payments to a contractor or payments to an individual that is a beneficiary of a Federal program. A subaward may be provided through any form of legal agreement, including an agreement that the pass-through entity considers a contract.

**subrecipient.** Subrecipient means a non-Federal entity that receives a subaward from a pass-through entity to carry out part of a Federal program; but does not include an individual that is a beneficiary of such program. A subrecipient may also be a recipient of other Federal awards directly from a Federal awarding agency.



**supplanting.** COPS Office award funds may not be used to supplant (replace) state, local, or Bureau of Indian Affairs (BIA) funds that would be made available in the absence of federal COPS Office award funding. Program funds must be used to increase the amount of state, local, or BIA funds otherwise budgeted for the award purposes, plus any additional state, local, or BIA funds budgeted for these purposes.

**supplies.** Supplies means all tangible personal property other than those described under equipment. A computing device is a supply if the acquisition cost is less than the lesser of the capitalization level established by the non-Federal entity for financial statement purposes or \$5,000, regardless of the length of its useful life.

**System for Award Management (SAM).** Institutions applying for any type of award from the Federal Government must register with SAM. The SAM database is the repository for standard information about federal financial assistance applicants, recipients, and sub-recipients. Applicants must update or renew their SAM at least once per year to maintain an active status. Information about registration procedures can be accessed at [www.sam.gov](http://www.sam.gov).

**training.** The COPS Office defines training as the teaching and learning activities carried out for the primary purpose of helping members of an organization acquire and apply the knowledge, skills, abilities, and attitudes needed by a particular job or organization. Training is driven by specific goals and objectives; it is not a single event but rather an ongoing process that requires continuous self-reflection and evaluation. Guides, webinars, articles, conference presentations, tool kits, podcasts, videos, blogs, and newsfeeds (to provide a few examples) can serve as support material in trainings or as standalone materials to increase knowledge, but on their own are not defined as training by the COPS Office.