

**U.S. Department of Justice
Office of Community Oriented Policing Services (COPS Office)**

FY 2025 CTAS Purpose Area 1 New Grantee Orientation Training

Public Safety and Community Policing
Tribal Resources Grant Program (TRGP) - Hiring and Equipment/Training

March 4, 2026





About the COPS Office

The **Office of Community Oriented Policing Services (COPS Office)** is the component of the U.S. Department of Justice responsible for advancing the practice of community policing by the nation's state, local, territorial, and tribal law enforcement agencies through information and grant resources.

The COPS Office has been appropriated more than \$21 billion to advance community policing, including grants awarded to more than 13,000 state, local, territorial, and Tribal law enforcement agencies to fund the hiring and redeployment of approximately 141,000 sworn law enforcement positions.





Are you a new Purpose Area 1 awardee?

Presenters

Melissa Harrington
Lead Grant Program Specialist

Melissa.Harrington@usdoj.gov

(202) 305-5012

Matt Lysakowski
Senior Advisor for Tribal Affairs

Matthew.Lysakowski@usdoj.gov

(202) 598-0727

Funmi Okoli
Auditor

Funmi.Okoli@usdoj.gov

(202) 598-5994

Learning Objectives

- Learn how to successfully manage your Purpose Area 1 COPS TRGP grant(s)
- Understand reporting and compliance requirements
- Obtain information on available tribal resources

How Do I Accept My Award in JustGrants?

1. Your entity must first successfully set up your JustGrants account and enroll in Automated Standard Application for Payments (**ASAP**) to accept and manage your award.
2. The Entity Administrator must assign a Financial Manager, a Grant Administrator, and two Authorized Representatives for each award in JustGrants.

Note: When the Authorized Representative(s) access their JustGrants account, they can view any award(s) pending acceptance.

How Do I Accept my Award in JustGrants?

(continued)

- ✓ Select the award from “**My Worklist**”.
- ✓ The Authorized Representative must open and accept the information in each tab of the Award Package page.
 - ➔ Click “**Accept.**”
- ✓ Once accepted, the system displays a banner indicating award acceptance.

JustGrants Assistance

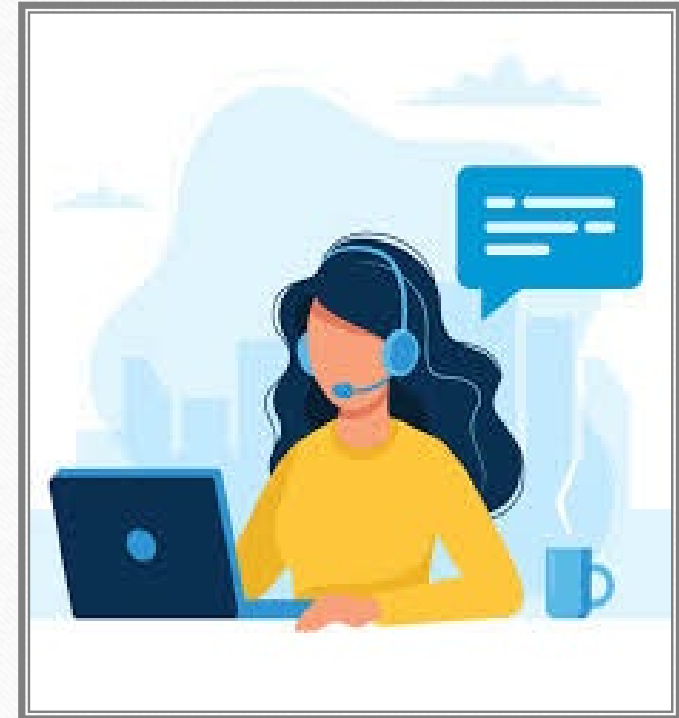
For technical assistance with JustGrants, please contact the service desk:

JustGrants.Support@usdoj.gov

Phone: 833-872-5175

7 AM – 9 PM ET Monday - Friday

9 AM – 5 PM ET Saturday, Sunday, and federal holidays



Automated Standard Application for Payments (ASAP)

ASAP is the system used for submitting payment requests and managing payment transactions.

For assistance with enrollment or drawdown requests, you may contact **ASAP**:

asaphelpdesk@fiscal.treasury.gov

855-868-0151

(Select option 2, then option 3.)



COPS
Community Oriented Policing Services
U.S. Department of Justice

ASAP Account in Suspend Status?

Common Reasons:

- Delinquent semiannual performance reports
- Delinquent quarterly federal financial reports (FFR)
- Expired SAM.gov registration
- Expired award (more than 120 days beyond grant end date)
- ASAP system is down for updates

ASAP Resources

- [ASAP Resources](#)
- [Funded Award Case Status Codes](#)
- [ASAP Enrollment Checklist](#)
- [DOJ User Training on ASAP](#)
- [ASAP FAQs](#)
- [ASAP User Roles](#)



FY 2025 TRGP Award Period of Performance

- **Hiring Awards:** 60 months/5 years
- **Equipment and Training Awards:** 36 months/3 years
 - **Funded Anti-Meth/Anti-Opioid Coordinators** fall under Equipment and Training Awards, which funds the position(s) for a period of 36 months

Hiring Award Requirements

- **Retention:** Recipients must commit to retain COPS-funded sworn officer position(s) with state and/or local funds for a minimum of 12 months following the conclusion of 60 months of federal funding for each position, over and above the number of locally-funded sworn officer positions that would have existed in the absence of the award.
- **Background Investigations:** To eliminate the risk of hiring officers with past convictions of domestic violence, sexual assault, and other serious crimes, a background investigation is required for all officers hired with TRGP-Hire funds.



Hiring Award Requirements (continued)

- **Officer Training:** Basic officer training is required for all officers hired under TRGP-Hire. Training must be completed within one year of hiring the officer and may be conducted at a Bureau of Indian Affairs (BIA), state, or local academy.
- **SRO-funded positions:** The funded SRO must complete a mandatory 40-hour Basic School Resource Officer Course conducted by NASRO. Additionally, a memorandum of understanding is required between the law enforcement agency and the school partner(s).

Hiring Award Requirements (continued)

Understaffed Agencies Operating Below Budgeted Strength

Awarded funds must be used in compliance with the nonsupplanting requirement and not used to supplant state, local, or Bureau of Indian Affairs funds that are already budgeted for sworn law enforcement officer positions.

Agencies may continue to implement the grant while experiencing vacancies and can hire officers to fill COPS-funded positions while they continue to fill locally funded vacancies.

Grant Award Modifications

Project Period
Extension

Programmatic

Financial



When Should a Modification be Requested?

- New project requirements;
- Requests for purchasing different allowable equipment or training than what was originally funded;
- New or modified requests for equipment that meets the \$10K threshold;
- To use cost savings to purchase additional equipment, training, or services allowable under the program in support of your project.

Tips for Modification Requests



- All requests must be approved in writing by the COPS Office.
- Be specific with item description, quantity, and costs (ex: training should include the date(s) and location; accessory package/kit/system must include what it comprises) and state the reason(s) for the request.
- If your agency was approved for indirect costs and the rate expired during the award period, you must submit the new rate agreement or approved one-time extension from your cognizant federal agency to the COPS Office for a modification approval.
- Financial modifications should reflect the entire award amount and must be submitted prior to the grant end date.

Project Period Extension Requests



Extensions can be submitted up until 30 days before the award expires.



Awards may be extended a maximum of 36 months beyond the initial award expiration date and are evaluated on a case-by-case basis.



Note: Extensions do not provide additional funding.

Project Period Extension Requests (continued)

- Grant funds must be obligated before the award end date.
- Grantees have up to 120 days after the award end date to draw down funds for obligations (equipment purchases, salaries and benefits, etc.) incurred prior to the award end date.

Quarterly Federal Financial Reporting (FFR)

- The purpose of the FFR is to reflect the actual cumulative federal expenditures incurred during the funding period.
- Your agency is required to submit quarterly FFRs using the Standard Form 425 (SF-425) within 30 days after the end of each calendar quarter for each active award.
- If you fail to submit the SF-425 by the deadline date, it will be considered delinquent, resulting in an automatic suspension of funds. You will not be able to make drawdowns from your ASAP account until the delinquent FFR is submitted.



Federal Financial Report (SF-425) Due Dates

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

Semiannual Programmatic Performance Reports

The purpose of the performance report is to describe project activities during the reporting period. The report is used to track your agency's progress in implementing the award and community policing strategies.

All COPS Office awardees are required to submit semiannual performance reports.

Agencies must submit a separate performance report for each award.

Awardees who fail to submit the performance report by the due date will be considered delinquent and will be unable to draw down funds until the report is submitted.

Semiannual Performance Report Due Dates

Reporting Period	Due Date
July 1 - December 31	January 30
January 1 - June 30	July 30



CTAS 2026 NOFO Resources

The FY 2026 CTAS funding opportunities is expected to be released in the spring; additional details will be provided as they become available. Following the publication of the NOFO, for programmatic and general assistance with the requirements, please contact the COPS Office Customer Care Center at 800-421-6700 or via email at tribalgrants@usdoj.gov.

The Customer Care Center's hours of operation are **Monday to Friday** from 9:00 a.m. to 5:00 p.m. ET, except U.S. Federal Government holidays.



CTAS 2026 NOFO Resources

(continued)

- Information regarding any future FY 2026 CTAS applicant webinars and trainings will be available at [Tribal Justice and Safety | Grants/CTAS | Funding Opportunities](#)

CTAS 2026 Purpose Area 1 Contact

Melissa Harrington

Lead Grant Program Specialist

Phone: 202-305-5012

E-mail: melissa.harrington@usdoj.gov



COPS
Community Oriented Policing Services
U.S. Department of Justice

COPS Office Points of Contact

For programmatic and administrative assistance, please contact your assigned Grant Manager.

For financial assistance, please contact your assigned Staff Accountant.

You can obtain the contact information for your Grant Manager or Staff Accountant by contacting COPS Office Customer Care at 800-421-6770 or AskCOPSRC@usdoj.gov.



Tribal Access Program for National Crime Information (TAP)



- Launched in 2015, TAP provides selected federally recognized tribes with access to national crime information systems for federally authorized criminal and non-criminal purposes. Currently, 153 Tribes and more than 500 tribal government agencies participate in TAP.
- Managed by the DOJ Chief Information Officer, this program is a collaboration among the Office of Tribal Justice, SMART, COPS, OVC, FBI CJIS, BIA, and tribes.
- TAP is composed of three elements: **Access**, **Technology**, and **Training**. Participation in TAP requires the approval of Tribal leadership.
- The program provides training, software and biometric/biographic kiosk workstations to process fingerprints, capture mugshots, and submit information to FBI Criminal Justice Information Services (CJIS) systems.

COPS Office Contact Information

- COPS Website: <https://cops.usdoj.gov/>
- COPS Customer Care Center Email: AskCopsRC@usdoj.gov
- COPS Customer Care Center: 1-800-421-6770
- Tribal Grants Email: tribalgrants@usdoj.gov

Stay Connected

The COPS Office produces hundreds of guides, white papers, and publications on the most successful proactive methods for improving public safety.

Visit <https://cops.usdoj.gov/> for the latest COPS Office updates and resources.



COPS Office
(@COPSOoffice)
/ X (twitter.com)



COPS |
Facebook



The COPS
Office –
YouTube



COPS OFFICE
on the
App Store
(apple.com)



COPS OFFICE
- Apps on
Google Play

Follow us on social media and download our apps

SUBSCRIBE TO EMAIL UPDATES

SUBSCRIBE TO CP DISPATCH



COPS
Community Oriented Policing Services
U.S. Department of Justice

Tribal Resources and Training and Technical Assistance / Collaborative Reform Initiative Technical Assistance Services

*CTAS New Recipient Orientation
March 4, 2026*



COPS
Community Oriented Policing Services
U.S. Department of Justice

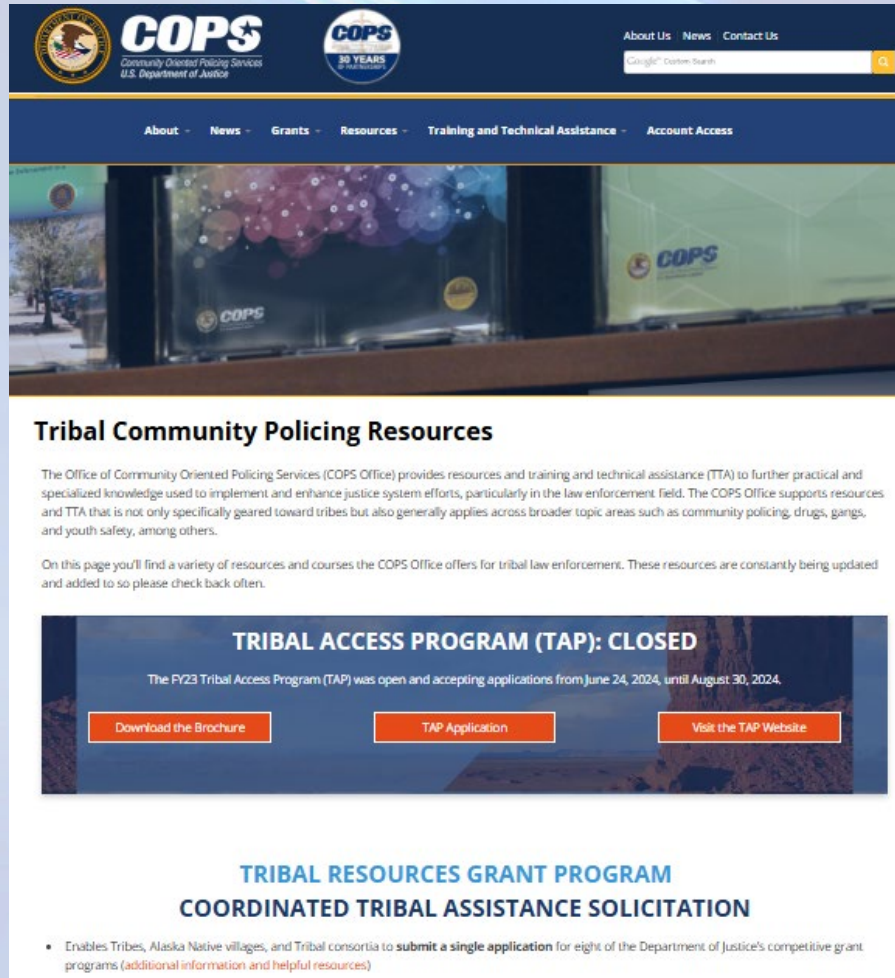
- Tribal Resources and Training and Technical Assistance

- COPS Training Portal

- Collaborative Reform Initiative programs
 - Technical Assistance Center (CRI-TAC)
 - Critical Response
 - Enhanced Training

Tribal Resources at COPS

- Tribal resources page on COPS' website:
<https://cops.usdoj.gov/tribalpolicing>



The screenshot shows the COPS website's tribal resources page. At the top, there is a navigation bar with the COPS logo, a search bar, and links for 'About Us', 'News', and 'Contact Us'. Below the navigation bar is a horizontal menu with links for 'About', 'News', 'Grants', 'Resources', 'Training and Technical Assistance', and 'Account Access'. The main content area features a large image of a COPS vehicle. Below the image is the section title 'Tribal Community Policing Resources'. The text describes the COPS Office's role in providing resources and training to tribes. A notice states that the Tribal Access Program (TAP) is closed, with a link to download the brochure, a link to the TAP application, and a link to the TAP website. At the bottom, there is a section for the 'TRIBAL RESOURCES GRANT PROGRAM COORDINATED TRIBAL ASSISTANCE SOLICITATION' with a bullet point explaining that it enables tribes to submit a single application for eight different grant programs.

FUNDING

TTA

ARTICLES

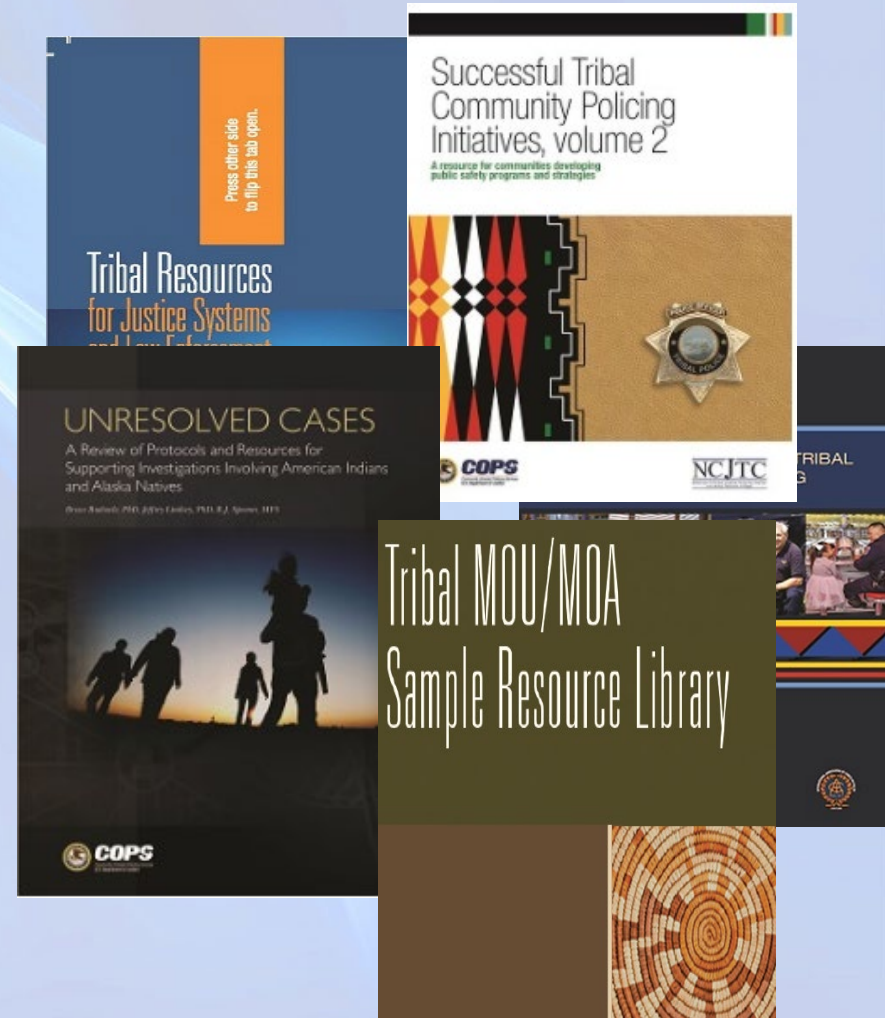
PUBS

VIDEOS

PODCASTS

Tribal Publications

- Unresolved Cases
- MOU/MOA Sample Resource Library Flash Drive
- Tribal Resources for Justice Systems and Law Enforcement Flash Drive
- Cross-Deputization in Indian Country
- Promising Practices in Tribal Community Policing, Vol. 1 and Vol. 2



Order publications at: <https://cops.usdoj.gov/tribalpolicing>



COPS Office Tribal Training and Technical Assistance

- COPS has several Tribal Training and Technical Assistance Projects on-going, including:
 - A project on formal agreements to support MMIP efforts with Western Community Policing Institute [MOU/MOA Library, E-learning course, Technical Assistance]
 - Updating COPS' PL 280 E-learning course on COPS' Training Portal with NCJTC
 - Providing assistance to tribes looking to develop Tribal Community Response Plans (TCRPs) to address missing person cases with NCJTC



WELCOME TO

The COPS Office Training Portal



COPS Office Approach to Training

- No cost to agencies or officers
- Timely and relevant
- Clear expected outcomes
- Evidence based training developed and reviewed by SMEs
- Standardized process for high-quality results
- Piloted trainings for direct input from intended audiences
- Measurable – both objective and subjective
- Strong partners (like NHTSA, FAA, etc.) and developers

Why eLearning?

- Flexibility
 - Budget
 - Personnel/Scheduling
 - Location
- More course options in less time
- Fundamental concepts (but not core skills)
- No pandemic/illness concerns
- Start a conversation (and not just with other LEOs)

The COPS Office Training Portal offers more than 30 online, on-demand trainings and resources – all for free (and we're adding more all the time!)

tribal policing Child & Youth Safety
Crime prevention **leadership**
Community Policing *drug awareness & enforcement*
legal Traffic Safety
Officer safety & wellness

Course Highlights

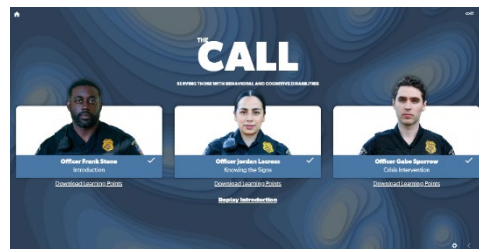
Problem oriented policing



Changing perceptions



The Call

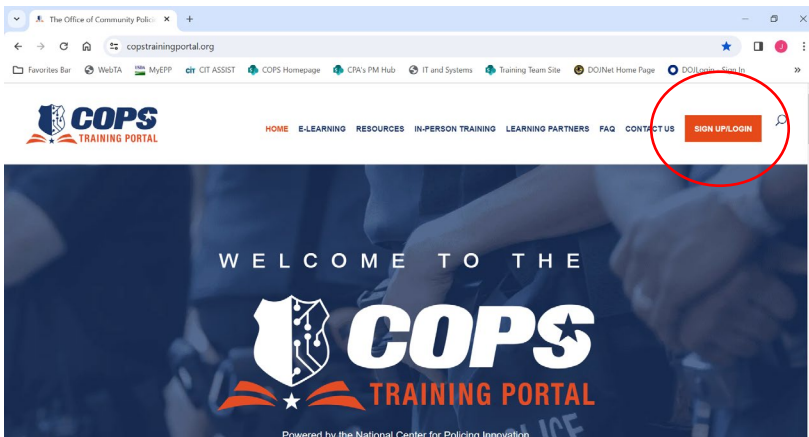


Tribal Policing



Access the COPS Training Portal

Just register at <https://COPStrainingportal.org!>



COPS Training Portal

Email

Password

By clicking here, I accept the Terms of Use and Privacy Policy.

Log in

Lost password?

Is this your first time here?

Please create an account to enroll and participate in any eLearning course or resource on demand.

Please note, the COPS Office Training Portal does not support international accounts at this time. International user accounts will be removed from the system.

Need technical support? Call us at 833-650-7910 or email us at info@COPStrainingPortal.org. This inbox is monitored during normal business hours, from 8 a.m. to 5 p.m. EST.

When creating an account, we recommend using the Google Chrome browser, as it works best with the COPS Training Portal.

Create new account



Register New U.S. Account

Password

Passwords must have at least:

- 8 characters
- 1 digit(s)
- 1 lower case letter(s)
- 1 upper case letter(s)
- 1 non-alphanumeric character(s) such as ' , - , or #

Email address

Email (again)

First name

Last name

Role/Position

Preferred Phone

State/Province

Organization/Affiliation

Enter Organization Name

Enter Organization City

Enter ORI

Security question

ERROR for site owner: Invalid domain for site key

Create my new account Cancel



Collaborative Reform Initiative

Goals

Build trust between police and the communities they serve

Improve effectiveness and efficiency in agency operations

Enhance officer safety and wellness

Build agencies' capacity for organizational learning and self-improvement

Promote community policing practices nationwide



Collaborative Reform Initiative

Examples of Technical Assistance (TA)

Technical Assistance Center (CRI-TAC)

- Training
- Executive consultation
- Peer exchange
- Policy review
- Strategic planning
- Resource referral
- Needs assessment (e.g., training, technology, recruitment)

Critical Response

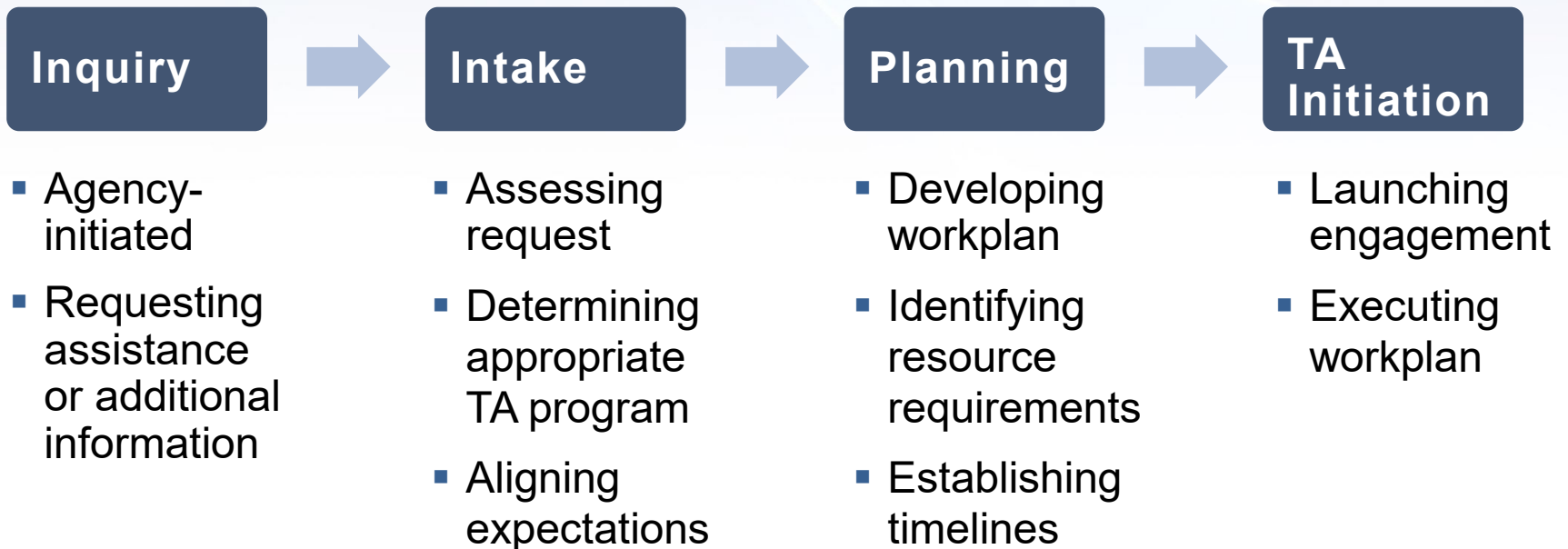
- Immediate delivery of TA
- Critical incident after-action review
- Issue-specific review of operations

Enhanced Training

- Specific topics
- Training in cohorts over 3-6 months
- Flexible scheduling
- Applied learning
- Access to expertise

Collaborative Reform Initiative

Intake Overview



Collaborative Reform Initiative

How it works

Collaborative Reform Initiative for Technical Assistance Center (CRI-TAC) advances the practice of community policing in law enforcement agencies by providing customized technical assistance to state, local, tribal, and campus agencies on a variety of topics.





Collaborative Reform Initiative: Technical Assistance Center (CRI-TAC)

CRI-TAC operating principles

By the field, for the field

- Partners from nine major law enforcement stakeholder associations
- Peer-based learning approach to organizational improvement
- Subject matter experts provided by IACP and partners

Agency- driven

- TA is designed in collaboration with requesting agencies
- Tailored, scalable solutions

Narrowly scoped

- Wide array of training and technical assistance topics
- Engagements intended to be shorter-term



Collaborative Reform Initiative: Technical Assistance Center (CRI-TAC)

Resource Referrals

Webinars

Informational Briefings

Training (in person/web-based)

Peer Exchanges

Virtual Coaching and Consultation

Meeting Facilitation

On-Site Consultation

Policy Assistance

Collaborative Reform Initiative: Technical Assistance Center (CRI-TAC)



More than
60 TA topics covering
public safety and
crime reduction



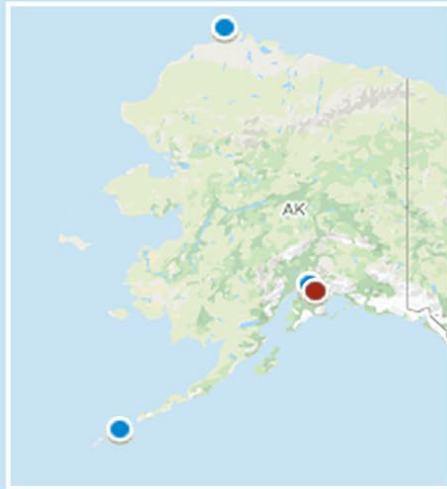
Collaborative Reform Initiative: Technical Assistance Center (CRI-TAC)

Volunteer Engagement for American Indian and Alaska Native Missing Persons Cases

- Collaboration with the COPS Office and Operation Lady Justice Task Force on training to support Tribal leaders and law enforcement in managing volunteers to support missing persons cases.
- Training components:
 - A workshop/meeting for Tribal leadership
 - An eight-hour training for Tribal members; Tribal, local, state, and federal law enforcement partners; community victim advocates; and other stakeholders engaged in missing persons volunteer program

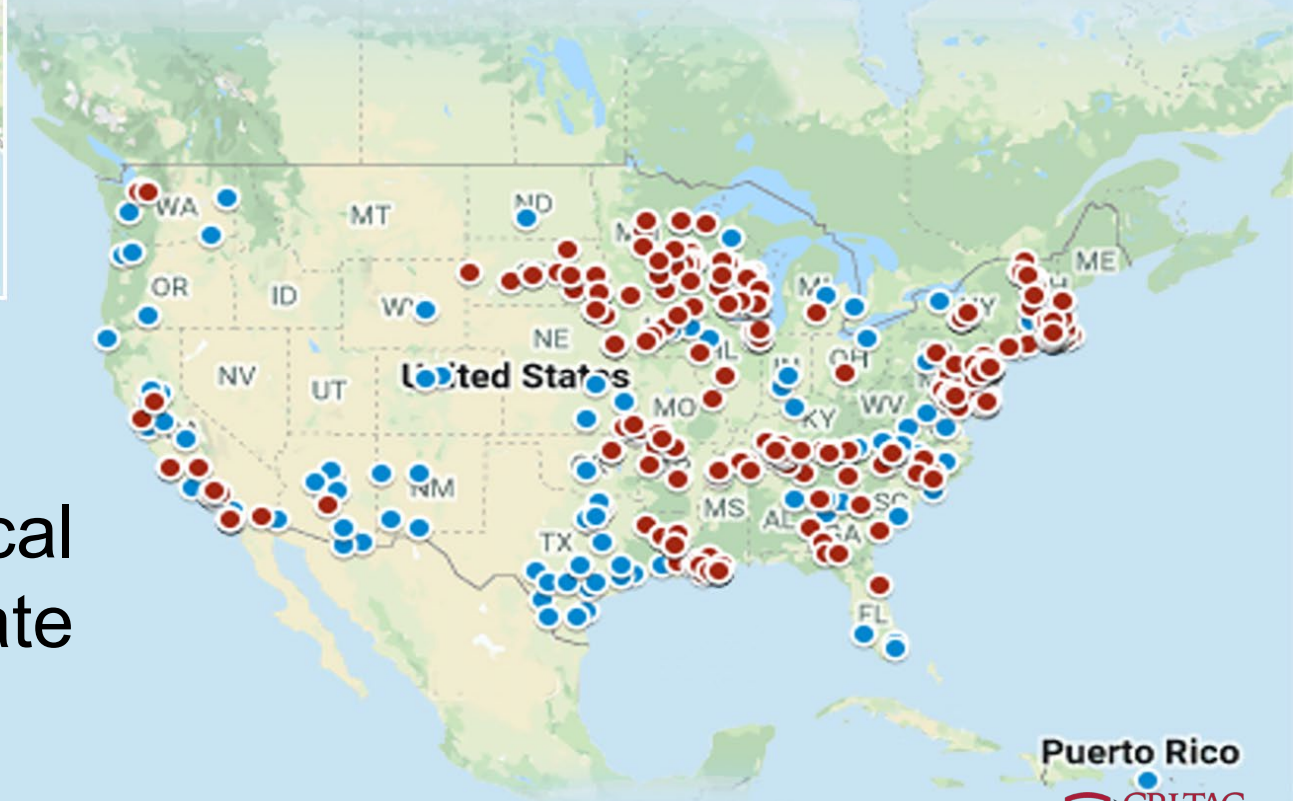


Collaborative Reform Initiative: Technical Assistance Center (CRI-TAC)



- Primary requestor
- Peer agency addition

890 agencies
provided technical
assistance to date



HI

Puerto Rico





Collaborative Reform Initiative: Critical Response

Critical Response Operating Principles

Timely

- When needed, can quickly deliver resources, expertise, and guidance to an agency in need

Incident- or issue-driven

- Narrowly focused on a specific incident or issue of concern to the agency and/or community it serves

Flexible

- Services offered are flexible depending upon the incident, issue, and needs of the agency and community



Collaborative Reform Initiative: Critical Response

Types of Technical Assistance

- Immediate delivery of technical assistance
- After-action reviews (AAR)
- In-depth topic review
- Data analysis



Collaborative Reform Initiative: Enhanced Training

Enhancing Training Features

Training in cohorts

- Peer learning in action over the course of 3-6 months

Flexible scheduling

- Shift-friendly training

Applied learning

- Interactive training, practical results

Access to expertise

- Ongoing support from industry leaders



Collaborative Reform Initiative: Enhanced Training

Training Topics Currently Under Development

- Communicating Agency Successes
- Effective Partnerships With Federal Law Enforcement Agencies
- Enhancing Your Agency's Image for Effective Recruitment
- Executive Leadership Coaching Sessions
- Enhancing Officer Wellness Through Supervision and Teamwork
- Crime Analysis Kickstart for Small and Medium Agencies
- Public Safety Problem Solving Workshops



Collaborative Reform Initiative

To request assistance, please visit
<https://cops.usdoj.gov/collaborativereform>



Q&A and Contact Information

Questions & Comments

Matthew Lysakowski

Senior Advisor for Tribal Affairs

COPS Office

145 N Street, NE

Washington, DC 20530

Ph. 202-514-6392

matthew.lysakowski@usdoj.gov

GRANT MONITORING & COMPLIANCE

FUNMI OKOLI

AUDITOR

GRANT MONITORING DIVISION

OFFICE OF COMMUNITY ORIENTED POLICING SERVICES (COPS)



GRANT MONITORING & COMPLIANCE

Mission

“The mission of the Grant Monitoring Division is to ensure awardees remain in compliance with the terms, conditions, and requirements of their grant award(s) to prevent waste, fraud, and abuse of Federal funds, and to ensure effective and efficient implementation of their award(s) to enhance their community policing efforts while reducing crime and the fear of crime to improve the quality of life and safety for their community.”

GRANT MONITORING & COMPLIANCE

Primary Goals

- Assess Awardees Compliance with the Regulations, Terms and Conditions for their COPS award(s)
- Review Community Policing Initiatives and Strategies
- Provide Customer Service and Technical Assistance

GRANT MONITORING & COMPLIANCE

➤ What are sources of authority used to determine compliance?

- The Public Safety Partnership and Community Policing Act of 1994, as applicable, which established the COPS Office;
- applicable rules, regulations, and policies issued by the U.S. Department of Justice, Office of Management and Budget (OMB), the Government Accountability Office (GAO), and the United States Treasury;
- the specific programmatic requirements established by the COPS Office.

GRANT MONITORING & COMPLIANCE

Application for the Award Program:

- Information submitted is used as a baseline for measuring accomplishments, demographic data, and community policing goals and objectives.

Award Owner's Manual:

- One of the most important reference guides on award implementation requirements.

Award Package and Special Conditions:

- The award package indicates your official award funding amount, the award number, the award terms and conditions, if applicable, the special award conditions or high risk conditions, and the award start and end dates.

GRANT MONITORING & COMPLIANCE

Approved Budget

- **Hiring Awards:** the approved budget displays the allowable amounts for approved salary and fringe benefits.
- **Non-Hiring Awards:** the approved budget displays the allowable amounts for each approved cost category that may consist of personnel, equipment, supplies, travel, training, consultants/contractors and/or indirect costs.

GRANT MONITORING & COMPLIANCE

❖ What are the ways that COPS awards are monitored?

- **On-site Review (Site Visit)** – Generally, a one-day site visit to conduct an administrative, financial, and programmatic review of active awards.
- **Enhanced Office Based Grant Review (EOBGR)** – A desk review that is conducted via video conference with awardees using interactive visual media to conduct an administrative, financial, and programmatic review of active awards.
- **Alleged Noncompliance Review (ANCR)** – referrals from internal or external sources of alleged or suspected noncompliance that require further investigation to make a determination of compliance.

GRANT MONITORING & COMPLIANCE

The 3 parts of the Site Visit:

1. **Pre-Site** – Notification and Preparation
2. **On-Site** – Conduct the Compliance Review
3. **Post-Site** – Resolve Noncompliance Issues and Issue Feedback Letter

GRANT MONITORING & COMPLIANCE

❖ Pre-Site – Notification and Preparation

- Awardee is notified 4-6 weeks in advance by email to arrange the date for the site visit and to obtain login information for the Monitoring portal.
- After the date has been set, the formal Site Visit Notification Letter, along with its attachments, is issued via email with instructions on the documentation preparation and how to log into the Monitoring portal to enter data and submit requested documentation.
- During this period, awardees are encouraged to contact the Grant Monitor with any preparatory questions.

GRANT MONITORING & COMPLIANCE

❖ **On-Site** – Conducting the Review - **What will be reviewed?**

- **Administrative Reviews** includes reviewing for extensions, budget modifications, consultant rates, sole source justifications, and special award conditions.
- **Financial Reviews** includes reviewing the general ledger for award expenditures, operating budgets, property inventory, payroll records, receipts, payment documents, purchase orders, invoices, proposals, sole source justifications, legislative minutes, and any previous budget modifications.
- **Programmatic Reviews** includes community policing reviews, changes to the problem area identified in the award application, performance report reviews, and a summary of the award progress.

GRANT MONITORING & COMPLIANCE

❖ On-Site – Exit Conference

- **Noncompliance** – Any noncompliance or other issues identified during the review may be resolved by the end of the site visit.
- Any unresolved noncompliance issues will be addressed in the feedback letter (issued within 45 calendar days of the visit) and the Grant Monitor will work with the awardee to reach resolution.

GRANT MONITORING & COMPLIANCE

Enhanced Office Based Grant Reviews (EOBGR)

❖ What are the parts of an office-based review?

- The EOBGR process contains the same elements of a site visit, except there is no travel required.
- The process for preparing documentation for the EOBGR is the same as required for a site visit.
- Awardees should expect to be available for about three to four hours, including anyone scheduled to be interviewed, between the hours of 9:00 a.m. to 5:00 p.m. (based on the awardee's local time zone). The COPS Office may modify the times as necessary to accommodate unanticipated changes.

GRANT MONITORING & COMPLIANCE

- ❖ Since the EOBR review is conducted remotely, awardees are required to gather and submit the award documentation to the COPS Office within 30 calendar days from the date of the formal EOBR notification letter.
- ❖ To safeguard timely delivery, awardees are encouraged to upload the requested documentation in the Monitoring portal to ensure documentation is received by the COPS Office by the due date shown in the EOBR notification letter.
- ❖ Awardees who fail to submit the required EOBR documentation by the due date are at risk for noncompliance. Awardees who fail to respond will be notified that grant award funds may be suspended until the documentation is provided.
- ❖ Teleconferencing and/or interactive media conferencing will be used to facilitate the EOBR review.

GRANT MONITORING & COMPLIANCE

Types of Noncompliance

❖ Unallowable Costs

- ❑ Any expenditures incurred that are **not approved under the award program** are considered unallowable;
- ❑ Any expenditure incurred **that might be allowable under the award program but were not listed on the approved budget** are unallowable costs.

❖ Unsupported Costs

- ❑ Any expended award funds in which the awardee lacks receipts or other supporting documentation verifying such incurred expenses. The burden is on the recipient to maintain all grant-related documentation.

GRANT MONITORING & COMPLIANCE

❖ Unallowable Costs: Key things to note

1. When requesting a budget modification, sole source approval, and/or contractor rate increase, **award funds MAY NOT be expended until written approval is received from the COPS Office.**

Be mindful that the COPS Office will never give verbal approval on any request.

2. Awardees that expend award funds before receiving written approval from the COPS Office are at risk for unallowable costs violation should the request be disapproved.
3. Awardees may not be reimbursed for any costs prior to the award start date.
4. Awardees may not expend any funds beyond the award end date.

GRANT MONITORING & COMPLIANCE

❖ Supplanting – Early Purchase and Early Hire

- The use of COPS funds to pay for personnel hired prior to the award start date.
- The use of COPS funds to pay for equipment and/or technology purchased prior to the award start date.
- The use of COPS funds to pay for other project costs incurred prior to the award start date.

Note: Where an agency can demonstrate that the early hire/purchase was in specific anticipation of receiving COPS funding, there is no violation. Additional information/documentation would be required from the recipient to confirm allowability.

GRANT MONITORING & COMPLIANCE

❖ Supplanting

- ❑ **Reduction-in-Force** – the reduction or elimination of local funding for any award funded item (i.e., personnel and/or equipment and technology) as a direct result of receiving COPS funding.
 - Awardees must maintain their budgeted sworn force strength levels as shown on their application throughout the implementation of one or more active COPS hiring awards.

Note: Where an agency can demonstrate that the reduction in force is unrelated to the receipt of COPS funding, there is no violation. Additional information/documentation would be required from the recipient to confirm allowability.

GRANT MONITORING & COMPLIANCE

❖ Supplanting – Failure to Fill Local Vacancies

- ❑ Delaying the hiring of new career law enforcement officers or civilians to fill locally-funded vacancies as a direct result of receiving COPS funding.
 - Awardees must backfill local vacancies as they occur while implementing any active hiring award(s).

Note: Where an agency can demonstrate that the delay in filling locally-funded vacancies is unrelated to the receipt of COPS funding, there is no violation. Additional information/documentation would be required from the recipient to confirm allowability.

GRANT MONITORING & COMPLIANCE

❖ Retention

- ❑ **Sworn Positions – (Hiring Awards Only)** – Failure to retain sworn positions with local funding for twelve (12) months following the completion of 60 months of award implementation for each position hired under the award.

GRANT MONITORING & COMPLIANCE

❖ Special Award Conditions

- ❑ Carefully review each new award package and Award Owner's Manual (AOM) for any special conditions that may apply to your award.

❖ Administrative Requirements

■ Sole Source

- ❑ Recipients are required to submit a sole source justification (SSJ) request to the COPS Office for noncompetitive procurements in excess of \$350,000 prior to purchasing equipment, technology, or services; obligating funding for a contract; or entering into a contract with award funds.
- ❑ Awardees that fail to obtain **prior written approval** from the COPS Office prior to expending grant award funds are at risk for having the expenditure(s) considered as unallowable and the need for the award funds to be repaid.

GRANT MONITORING & COMPLIANCE

❖ Consultant Rate

- ❑ Awardees must obtain **prior written approval** from the COPS Office before expending more than \$650 per day.
- ❑ Awardees that fail to obtain prior written approval from the COPS Office prior to expending grant award funds are at risk having any costs exceeding the \$650 per day rate deemed unallowable and the award funds will need to be repaid.
- ❑ Awardees must maintain accurate and detailed records to track the consultant rate expenditures.

GRANT MONITORING & COMPLIANCE

❖ Community Policing

- All awardees must implement their community policing strategy as indicated in their award application.
- Any significant changes in the scope of the community policing strategy must be discussed with the Grant Program Specialist/Grant Manager and receive **prior written approval** from the COPS Office **before expending award funds to implement these changes.**

GRANT MONITORING & COMPLIANCE

AUDIT LIAISON SECTION

- **Who conducts an audit?**

Any agency that receives funding from the Department of Justice (DOJ) may be randomly selected for an audit by the **DOJ Office of Inspector General (OIG)** to review accounting practices, accounting systems, policies and procedures for fiscal and inventory management, and other award documentation to identify fraud, waste, and abuse of Federal funding.

GRANT MONITORING & COMPLIANCE

AUDIT LIAISON SECTION

- **What is the difference between an audit and a compliance review?**
 - ❑ A compliance review is for the purpose of reviewing the awardee's compliance with the requirements, terms, and conditions of their COPS grant award(s) during implementation of the award(s).
 - ❑ An OIG audit may consist of one or more awards, from any DOJ agency (COPS, OVW, and OJP) and may be conducted during the award implementation or after the award(s) have been closed.

GRANT MONITORING & COMPLIANCE

AUDIT LIAISON SECTION

- **How is the audit conducted?**
 - ❑ The OIG initiates an audit by scheduling an entrance conference (site visit) with the awardee to conduct a review of the award(s) selected for the audit.
 - ❑ After the entrance conference, the OIG reviews the documentation and prepares a Draft Audit Report.

GRANT MONITORING & COMPLIANCE

AUDIT LIAISON SECTION

- The Draft Audit Report lists the recommendations (*findings of the audit*) that may be resolved by the awardee and closed before the release of the Final Audit Report.
- The awardee's response is coordinated with the COPS Office response to the Draft Audit Report.
- The response to the Draft Audit Report may also include repayment of questioned costs and/or submission of additional documentation that would demonstrate compliance and allow the OIG to close any recommendation(s) before the release of the Final Audit Report.

GRANT MONITORING & COMPLIANCE

AUDIT LIAISON SECTION

- ❑ After the Draft Audit Report is issued and a response is received by the awardee and the COPS Office, the OIG then releases the Final Audit Report with an OIG Audit number, in which the report is then made public.
- ❑ At this point, the awardee interacts solely with the COPS Office to develop a Corrective Action Plan and respond to all recommendations until the OIG officially closes the report.

GRANT MONITORING & COMPLIANCE

AUDIT LIAISON SECTION

➤ What are the types of audit recommendations?

- Noncompliance** with grant award requirements, terms or conditions
- Questioned Costs** – Unallowable, Unsupported, Excess Cash
- Inventory Requirements** – Maintaining inventory of award-funded equipment
- Lack of Internal Controls** – Failure to adhere to generally accepted accounting principles to prevent fraud, waste, or abuse of Federal funds
- Policy and/or Procedures** – Failure to adhere to or the absence of established agency policies or procedures that establishes reasonable guidelines to prevent waste, fraud, and abuse of Federal funds

GRANT MONITORING & COMPLIANCE

❖ Recordkeeping

- ❑ Award documentation including local supporting documentation and any other official records must be kept for a period of three (3) years from the date of last official action, i.e., award closeout, compliance resolution, audit closure.

GRANT MONITORING & COMPLIANCE

Questions?

Marcia O. Jackson, Assistant Director

Grant Monitoring Division

Office: (202) 532-5603

Marcia.Jackson@usdoj.gov

Funmi Okoli, Auditor

Grant Monitoring Division

Office: (202) 598-5594

Funmi.Okoli@usdoj.gov