



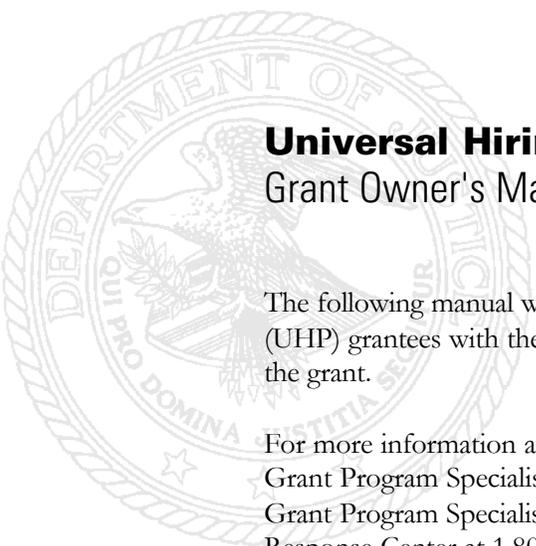
COPS

COMMUNITY ORIENTED POLICING SERVICES
U.S. DEPARTMENT OF JUSTICE

Universal Hiring Program

Universal Hiring Program Grant Owner's Manual





Universal Hiring Program Grant Owner's Manual

The following manual was created to assist COPS Universal Hiring Program (UHP) grantees with the administrative and financial matters associated with the grant.

For more information about your agency's UHP grant, contact your COPS Grant Program Specialist. For the name and telephone number of your Grant Program Specialist, please contact the U.S. Department of Justice Response Center at 1.800.421.6770.

U.S. Department of Justice
Office of Community Oriented Policing Services (COPS)
1100 Vermont Avenue, NW
Washington, DC 20530

COPS Office Internet web site: <http://www.cops.usdoj.gov>

February 2002



Table of Contents

Section	Page
Getting Started	v
I. Grant Acceptance, Terms, and Conditions	1
The Award Document	1
What is a Revised Budget?	2
Grant Conditions	2
Reasons for Grant Conditions	3
Review of Grant Conditions	3
1. Grant Owner’s Manual	3
2. Allowable Costs	4
3. Local Match	4
4. Supplementing, Not Supplanting.	5
5. Retention	6
6. Community Policing.	7
7. Assurances and Certifications.	8
8. Extensions.	8
9. Grant Modifications	9
10. Equal Employment Opportunity Plan (EEO).	10
11. Reports	11
12. Contracts With Other Jurisdictions	12
A. Contracting to provide law enforcement services	12
B. Contracting to receive law enforcement services	12
13. Evaluation	13
14. Employment Eligibility	14
15. Grant Monitoring Activities	14
Accepting the Grant Award	16
Who should sign the award for our agency?	16
When must the grant materials be returned?	16
Why might our agency be subject to sanctions or grant termination, and what are the possible sanctions?	17
What if we need to make programmatic changes to our grant?	18
What if we no longer wish to accept this award?	18



II. Accessing Grant Funds	19
Payment Methods	19
A. PAPRS - Phone Activated Paperless Request System	19
How do we set up a PAPRS account?	19
B. LOCES - Letter of Credit Electronic Certification System	20
Setting Up Your Account	21
How do we fill out the payment enrollment forms?	21
When should Financial Status Reports be filed?	21
Additional Payment Questions	22
Can we receive advances?	22
How often do we request reimbursement of costs?	23
Can we earn interest on our grant funds?	23
III. Meeting the Local Match	25
Matching Funds	25
What are some sources of matching funds?	25
When and how must the match be made?	25
Should I maintain records of the match?	25
Waivers	26
Can the matching requirement be waived?	26
How are waivers granted?	26
How are we notified if a waiver is granted?	27
How do we appeal the denial of a waiver?	27
IV. Financial Record Maintenance	29
Accounting Systems	29
What accounting systems are needed?	29
What records should be kept?	29
How long should documents be kept?	29
What if we have more than one grant?	30
Who may access our records?	30
V. Federal Audit Requirements	31
Audit Requirements	31
What are the regulations governing SAA requirements?	31
Who must have an SAA audit?	31
What is the role of the Office of the Inspector General?	32
On what basis are COPS grants selected for an OIG audit?	32



VI. Reports	33
Program Progress Reports	33
Department Initial Report	33
Department Annual Report	33
Financial Status Reports	33
How will grant funds be monitored?	33
How do we file Financial Status Reports?	34
Surveys About Hiring	34
Contact Points to Obtain Technical Assistance and Report Non-Compliance ..	35
VII. When The Grant Period Ends	37
Final Financial Status Reports	37
When should all of the grant monies be spent?	37
Final Progress Report	37
Retention	37
VIII. Conclusion	39
IX. Glossary of Terms	41
X. Appendix	47
A. List of Source Documents	47
B. Assurances and Certifications	49



Getting Started

Congratulations on receiving a grant from the U.S. Department of Justice, Office of Community Oriented Policing Services (COPS). Your agency's COPS Universal Hiring Program (UHP) grant provides funding directly to local, state and tribal jurisdictions for the hiring and deployment of career law enforcement officer positions into community policing roles.

This COPS UHP Grant Owner's Manual will assist your agency with the administrative and financial matters associated with your grant. It was developed by the COPS Office to ensure that all UHP grantees clearly understand and meet the requirements of their grants. Please do not hesitate to call the COPS Office through the U.S. Department of Justice Response Center at 1.800.421.6770 or visit www.cops.usdoj.gov if assistance is needed with the implementation of your grant.

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

For assistance, call the
U.S. Department of Justice
Response Center at
1.800.421.6770
or visit www.cops.usdoj.gov

I. Grant Acceptance, Terms, and Conditions

To officially accept and begin your Universal Hiring Program (UHP) grant, your agency needs to review, sign and return the original Award Document to:

**Universal Hiring Program Control Desk
U. S. Department of Justice/COPS Office
1100 Vermont Ave., NW
Washington, DC 20530**

Your agency will not be able to draw down grant funds until the COPS Office receives your original, signed Award Document and your budget/revised budget has been cleared by the COPS Finance Division. Signatures on the Award Document **must** be original – photocopies, faxed copies, stamps, and/or electronic signatures are not acceptable. For more information on drawing down grant funds, please see Section II, "Accessing Grant Funds."

The Award Document

The Award Document is the one-page, double-sided document indicating your official grant funding amount, the number of officer positions awarded, the grant number, the grant conditions, and the award start and end dates.

The Award Document is preprinted with your agency's law enforcement and government executives' names and addresses. If this information is incorrect or has changed, please complete the Change of Information Form included in your award packet, and mail it back with your signed Award Document.

Your grant number is in the following format: 2002-ULWX-0000 or 2002-UMWX-0000 for grants awarded in FY 2002, 2003-ULWX-0000 or 2003-UMWX-0000 for grants awarded in FY 2003, etc. The COPS Office tracks grant information based upon this number. Therefore, it is important to have your agency's grant number (and/or your agency's ORI number) readily available when corresponding with the COPS Office.

For grantees that received multiple UHP awards *prior to January 1, 2001*, please note that prior to that date, all UHP grants awarded to a particular agency were assigned the same grant number, regardless of the number of UHP grants awarded to that



agency (i.e. supplemental awards). For purposes of grant tracking and clarity, all UHP grants awarded on or after January 1, 2001 now receive a unique grant number (the change is not retroactive to grants made before that date). Please refer to the [Glossary of Terms](#) for additional explanation.

What is a Revised Budget?

In a small number of cases, a Revised Budget may be included in this mailing along with your Award Document and Financial Clearance Memorandum. The final grant amount on this document may differ from the estimated amount on your agency's original application request. The difference may be due to disallowed items, budget miscalculations and/or other changes to the budget. If you have any questions about the revision, please refer to your Financial Clearance Memorandum, which is included in your award package. If you need further assistance, please contact the COPS Finance Division. After you review and understand the Revised Budget page, please sign it, make a copy for your records and mail the original back to the COPS Office along with your signed Award Document and payment selection sheet.

Grant Conditions

The grant conditions are listed on the back of your agency's Award Document. By accepting this grant, you are entering into an agreement with the U.S. Department of Justice, Office of Community Oriented Policing Services (COPS). As part of that agreement, your agency acknowledges that it will comply with and abide by these conditions (and possibly additional conditions specific to your agency). The section that follows describes in detail each of the award conditions, their rationale and implications. It also addresses many commonly asked questions.

In special cases, a grant condition that your agency may receive will prevent draw down or access to your funds until it is satisfied. It should be clear to you when you review the Award Document and any corresponding grant conditions which, if any, would prevent draw downs until satisfied. However, if you have any questions about these conditions, please call your Grant Program Specialist.

Reasons for Grant Conditions

The requirements of your UHP grant are established within:

- The Public Safety Partnership and Community Policing Act of 1994 under which the COPS Office was established; and
- Applicable rules, regulations and policies issued by the U.S. Department of Justice, Office of Management and Budget (OMB), the General Accounting Office (GAO) and the United States Treasury.

A list of source documents for this booklet is provided in Appendix A. You may request copies of any source reference document from:

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

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

Review of Grant Conditions

By signing the Award Document to accept this UHP grant, your agency agrees to abide by the following grant conditions:

1. Grant Owner's Manual

The grantee agrees to abide by the terms, conditions and regulations as found in this COPS Universal Hiring Program Grant Owner's Manual and the Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments, 28 C.F.R. Part 66.

Why This Condition:

This Manual has been designed to inform you of the policies, procedures and regulations that apply to your grant. Your agency will be responsible for the information and rules contained in this Manual. More detailed guidance can be requested through your Grant Program Specialist.



What You Should Do:

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

2. Allowable Costs

The funding under this project is for the payment of salaries and approved fringe benefits over three years for new, additional sworn entry-level career law enforcement officer positions, hired on or after the award start date. The Financial Clearance Memorandum reflects the costs your agency is allowed to fund with the UHP award.

Why This Condition:

The Universal Hiring Program funds only entry-level salaries and benefits for the hiring or rehiring of new, additional career law enforcement officers hired on or after the award start date.

What You Should Do:

Refer to your Financial Clearance Memorandum for a listing of approved allowable costs. Salaries covered by UHP must be based on your agency's standard entry-level salary and benefits package under the laws or rules governing hiring by your agency. Salary and fringe benefit payments must be based on payroll records supported by time and attendance records or their equivalent. The types of records your agency must keep to document that you are following this grant condition are described in Section IV of this manual. Any portion of salaries and/or benefits above entry-level must be provided for by the grant recipient, in addition to the required local match. *Overtime, training, weapons, communication equipment and vehicles cannot be funded with your UHP award.* However, if you train your officers prior to swearing them in, grant funds may be applied to salaries and benefits paid to the new officers during training.

3. Local Match

Unless waived in writing by the COPS Office, grantees are required to contribute a Local Match of at least 25 percent towards the total cost of the approved grant project. The Local Match must be a cash match.

Why This Condition:

The Universal Hiring Program grant is a matching grant. Unless specifically waived in writing by the COPS Office, this type of grant requires grantees to contribute a local cash match towards the total cost of the approved project.

What You Should Do:

At the time of application, your agency submitted budget sheets reflecting the total project cost of hiring additional entry-level law enforcement officer(s) for three years. The COPS Finance Division reviewed your budget and has approved allowable costs, which are documented in the Financial Clearance Memorandum (FCM) accompanying your official grant Award Document. You should review the FCM carefully and note the federal share awarded as well as the local share that must be contributed in a cash match by your agency. For additional information and possible sources of funding for the local match, see Section III, "Meeting the Local Match" in this manual.

4. Supplementing, not Supplanting

UHP grant funds must be used to hire (after the award start date) one or more additional career law enforcement officer positions, beyond the number of officer positions that would be hired or employed by the grantee in the absence of the grant. Unless authorized in writing by the COPS Office, grant funds may not be applied to the salary or benefits of an officer hired prior to your UHP award start date.

Why This Condition:

The Public Safety Partnership and Community Policing Act of 1994 specifically states that federal funds under COPS programs may not be used to supplant, or replace, local or state funds (or funds supplied by the Bureau of Indian Affairs) which would be spent on law enforcement purposes in the absence of the COPS grant.

What You Should Do:

To meet this grant condition, your agency must ensure that:

- Each officer hired under UHP is newly hired on or after your grant award start date. You may not fill the UHP position(s) with any officer who was hired prior to the award start date, unless an exception is authorized in writing by the COPS Office.



- The officer(s) that your agency hires will bring your sworn force to a number over and above the number of officer positions that were budgeted (funded) as of the date of your UHP application, plus any additional officer positions budgeted with state or local funds during the grant period.
- During the life of your grant, your agency must continue to hire as many new, local funded officers as you would have if you had not received the grant. You may not cancel or postpone spending money in your budget that is committed to hiring other new officers.
- You must take positive and timely steps to fill any locally-funded vacancies that were created on or after your grant award date due to retirement, resignation or other reasons with new local funded officers.
- You do not reduce your local, state, or BIA funded sworn officer positions as a result of receiving UHP funds.

If your sworn officer budget is reduced at any time during the COPS grant period, or you are unable to fill local funded vacancies within your usual time frame, please contact the COPS Office immediately so that we may review your circumstances to determine compliance with this grant condition.

5. Retention

At the time of application, your agency committed to retaining each UHP officer position awarded for at least one full local budget cycle at the conclusion of thirty-six (36) months of federal funding for that position. The retention requirement cannot be satisfied through attrition. The COPS Office will monitor your retention efforts for each officer position awarded. Under the Universal Hiring Program, the retention requirement applies to the additional officer position(s) hired as the result of the UHP award.

Why This Condition:

The Public Safety Partnership and Community Policing Act of 1994 envisioned that the newly created sworn officer positions should be maintained by localities beyond the COPS funding period.

What You Should Do:

At the time of application, your agency submitted a signed retention plan. Your agency should take positive and timely steps to implement that plan. Please note that UHP grants fund the officer positions awarded and not the individual filling the grant position. Therefore, if

for any reason the officer originally filling a position funded by the UHP grant leaves your department during the retention period, your agency needs to take steps to back-fill that position with a newly hired officer. If your agency finds itself in circumstances that do not allow for retention, you must contact your Grant Program Specialist to inquire as to the proper course of action.

6. Community Policing

The COPS Office is responsible for determining the applicability of grant awards to the community policing activities that are identified in grant applications. Community policing activities to be executed by your agency were identified in your UHP grant application. Under the Universal Hiring Program, there must be an increase in the level of community policing activities that are being performed in your jurisdiction as a result of the grant.

Why This Condition:

Community policing is a policing philosophy that promotes and supports organizational strategies to address the causes and reduce the fear of crime and social disorder in communities. This is achieved through problem-solving tactics and community policing partnerships. It enhances police professionalism by providing officers with the skills, technology, and motivation to act in innovative ways to solve community crime-related problems.

What You Should Do:

Community policing activities to be executed by your agency were identified in your UHP grant application. Any subsequent changes to the community policing activities that were listed in your UHP application should be addressed in your progress reports. Your agency is not limited to those community policing activities outlined in your application - community policing activities may be amended as needed. However, major changes to the community policing activities identified in your UHP application must receive prior written approval from the COPS Office. Changes are "significant" if they deviate from the range of possible community policing activities identified and approved in your UHP application.



7. Assurances and Certifications

The grantee acknowledges and agrees to comply with the Assurances and Certifications that were signed and submitted as part of its UHP application.

Why This Condition:

Although the U.S. Department of Justice has made every effort to simplify the process of applying for and receiving grants, provisions of federal law require us to seek your certification regarding certain matters. Most of these assurances apply to all grants provided by the federal government.

What You Should Do:

Your agency signed the Assurances and Certifications forms at the time of application for your UHP grant. Your agency is responsible for reviewing and ensuring that the terms agreed to in the Assurances and Certifications are fulfilled. Additional copies of the Assurances and Certifications forms are contained in Appendix B of this manual. If you have any questions about them, please contact your Grant Program Specialist.

8. Extensions

The COPS Office does not offer extensions that provide additional funding for your UHP award. However, a no-cost time extension may be requested, which provides your agency with additional time to complete grant requirements and/or draw down allowable funding.

Why This Condition:

Under federal regulations, requests to extend the grant period require prior written approval. Without an approved extension, your funding will stop automatically at the end of the original grant period.

What You Should Do:

The COPS Office will mail an Extension Request Worksheet to your agency one to three months prior to the end date of your grant. This worksheet affords your agency a quick and simple opportunity to request an extension if it is needed. If needed, please complete this worksheet and mail or fax it back to:

Universal Hiring Program Control Desk
U. S. Department of Justice/COPS Office
1100 Vermont Ave., NW
Washington, DC 20530
Fax: 202.616.9788

If you did not receive or cannot locate this worksheet, please submit a written extension request on Department letterhead to the above address or fax number. Extension requests over 18 months will be approved on a case-by-case basis.

9. Grant Modifications

Occasionally, a change in your agency's fiscal situation or law enforcement needs necessitates a change in your UHP award. For instance, an agency is awarded 10 full-time positions, but due to fiscal constraints, must reduce their request to five full-time positions. In another example, an agency awarded four 20-hour positions may prefer to modify them to two full-time positions due to changing law enforcement needs.

Modifications are evaluated on a case-by-case basis. All modification requests must be approved, in writing, by the COPS Office, prior to their implementation. In addition, please be aware that the COPS Office will not approve any modification requests that result in an increase of federal funds.

Why This Condition:

Under federal regulations, requests to change or alter your grant award require prior written approval. Without prior written approval, you must continue to implement your grant as it was originally awarded and accepted by your agency.



What You Should Do:

If you wish to modify your grant award, you must submit a written request on your agency's letterhead referencing your grant number, the proposed changes, details of why the change is needed, etc. (for further information and complete requirements, contact your Grant Program Specialist). If your request is approved, you must wait until receiving the approval in writing before implementing the proposed changes to your grant award. The approval letter will be accompanied by a Modified Award Document reflecting the approved changes. To officially accept the modification, the Modified Award Document must be signed and returned to the COPS Office at the following address:

Universal Hiring Program Control Desk
U. S. Department of Justice/COPS Office
1100 Vermont Ave., NW
Washington, DC 20530

10. Equal Employment Opportunity Plan (EEOP)

Recipient agencies that meet certain criteria are required to maintain and submit an acceptable Equal Employment Opportunity Plan (EEOP) for review by the Office of Civil Rights, Office of Justice Programs. If you need help in preparing an EEOP, please consult the *Civil Rights Seven-Step Guide to the Design and Development of an Equal Employment Opportunity Plan* included in your grant award package.

Why This Condition:

The purpose of an Equal Employment Opportunity Plan (EEOP) is to ensure full and equal participation of men and women regardless of race or national origin in the work force of the recipient agency. EEOPs do not impose quotas or hiring requirements. The U.S. Department of Justice (DOJ) regulations regarding the requirements for an EEOP for federal grant recipients and the required contents of the document are fully explained in 28 C.F.R. 42.301 et seq.

What You Should Do:

U.S. DOJ regulations require you to prepare and maintain an EEOP if your organization:

- (i) Has 50 or more employees; and
- (ii) Received a total of \$25,000 or more in grants or subgrants; and
- (iii) Has three percent or more minorities in its service population. Even if there is less than three percent of minorities in the service population, the DOJ regulations require that the EEOP be written to focus on women.

If your agency meets the above criteria and received \$500,000 or more (or a total of \$1 million in grant funds during an 18-month period), you are required to submit the EEOP within 60 days of the grant award start date to:

Office of Civil Rights
Office of Justice Programs
810 7th Street, NW
Washington, DC 20531

If your agency meets the above criteria but your grant is for less than \$500,000 and you have received less than \$1 million in grant funds during an 18-month period, you must complete and return the one-page EEOP Certification form within 60 days of your grant award to advise us whether you have an EEOP in effect or whether you are exempt from this requirement. A blank copy of the EEOP Certification form can be found in the *Civil Rights Seven-Step Guide to the Design and Development of an Equal Employment Opportunity Plan*.

11. Reports

To assist the COPS Office in the monitoring of your award, your agency will be responsible for submitting programmatic progress reports and quarterly Financial Status Reports. As those reports become due, your Grant Program Specialist and COPS Staff Accountant can assist you if needed.



Why This Condition:

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

What You Should Do:

This grant condition is to make you aware of your responsibilities in assisting us with reporting requirements. These reports are discussed extensively in Section VI of this manual. To meet this condition, you will be required, at a minimum, to complete one Department Annual Report per year and four Financial Status Reports per year.

12. Contracts With Other Jurisdictions

- A. Contracting TO PROVIDE law enforcement services – Officers funded under this grant may only be involved in activities or perform services that exclusively benefit your agency and the population that it serves.

Why This Condition:

This grant is intended to benefit your community. Your agency must use the UHP grant funding to benefit your population exclusively, rather than "contracting out" the COPS-funded officer(s) to other jurisdictions.

What You Should Do:

The officer positions that have been funded under UHP cannot be contracted by your agency to other agencies unless they will benefit the population that you serve. For example, if your agency is a sheriff's department, your agency cannot contract your UHP position to a neighboring county. However, if your department directly provides law enforcement services to several towns in your county, you may contract with one of those towns to provide them with the services of your UHP officer.

- B. Contracting TO RECEIVE law enforcement services – If your agency receives police services through a contractual arrangement, your agency is responsible for ensuring compliance with all grant requirements.

Why This Condition:

If a grantee decides to use its UHP grant to contract for the services of an officer from another jurisdiction's police department or sheriff's office, the grantee must ensure that the activities of the officer(s) are in accordance with the terms and conditions of its UHP grant.

What You Should Do:

If your agency will contract with another department to fill the COPS-funded UHP position(s), you must ensure that the contract is in accordance with the terms and conditions of your UHP grant.

13. Evaluation

The COPS Office may conduct or sponsor national evaluations of the community policing activities of its grantees and other COPS-funded initiatives. The grantee agrees to cooperate with the evaluators.

Why This Condition:

The Public Safety Partnership and Community Policing Act of 1994 states that evaluations of the program may be carried out or commissioned by the Attorney General for the furtherance of the purposes of the Act. The COPS Office plans to conduct evaluations to determine what programs are working, how programs may be improved and why certain programs are working better than others.

Specifically, the COPS Office may assess the way in which your agency implements its community policing program. In some jurisdictions, COPS staff or evaluators may study the effectiveness of funded programs, projects and activities. Evaluators may collect information about the programs' effects on crime, victims of crime and the quality of life in communities. In addition, they may ask questions about how residents feel about community policing and how police feel about their work. This information will be useful to other communities and police agencies across the country.

What You Should Do:

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



14. Employment Eligibility

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

Why This Condition:

Under federal immigration law, all employers are required to take certain steps to ensure that persons that are hired are legally permitted to work in the United States. The Immigration and Naturalization Service Employment Eligibility Verification Form (I-9) outlines the types of documents that an employer should review to confirm that a new hire is eligible to be employed. The provisions of this law apply to employers regardless of whether or not they receive federal grant funding.

What You Should Do:

You do not need to submit any documentation to the COPS Office to satisfy this condition. Rather, you should complete and maintain the I-9 forms for all new employees under the guidelines set forth by the Immigration and Naturalization Service. For further information about this requirement, you may call 202.514.4316 or your local INS office.

15. Grant Monitoring Activities

The COPS Office performs various functions to ensure compliance with all grant requirements, to assess the implementation of community policing in awarded jurisdictions, and to provide technical assistance to grantees. Grant monitoring activities are routine during the grant period, and may occur up to three years following the end of the grant funding. These functions, and others, may require the production of grant-related documentation and other materials. The grantee agrees to cooperate with any such requests for information.

Why This Condition:

The Public Safety Partnership and Community Policing Act of 1994 states that evaluations of the program may be carried out or commissioned by the Attorney General for the furtherance of purposes of the Act. The COPS Office plans to monitor how closely grantees are adhering to COPS grant regulations and to develop the best technical assistance based on this feedback.

What You Should Do:

Your agency may be required to accommodate routine and non-routine efforts by the COPS Office to examine what your agency is doing with federal funds, both programmatically and financially. The most common ways are:

- 1) Site Visits – Your agency will be notified in writing in advance of any on-site review of your COPS grants. This review is generally performed over a one or two day period and also provides an opportunity for agency representatives to seek assistance on any grant implementation issues. A report is written following the visit and your agency is notified in writing of the results.
- 2) Office Based Grant Reviews (OBGRs) – Certain grants are selected for a review conducted at the COPS Office. Your agency would be contacted at the start of this review and our staff would attempt to correct any grant problems or deficiencies through telephone, fax, or written correspondence with your agency.
- 3) Allegations of Noncompliance – The COPS Office responds to allegations of noncompliance from citizens, labor associations, media, and other sources. Written complaints or allegations are reviewed by the COPS Office Monitoring and Compliance Division, which may inquire with your agency to determine compliance with grant conditions or federal regulations.

Grantees are responsible for remedying any grant noncompliance that is identified through these or other monitoring or auditing activities. Remedies for noncompliance may include, but are not limited to, repaying misused grant funds, voluntary withdrawal from or involuntary termination of remaining grant funds, and bars from receiving future COPS grants. To avoid findings of noncompliance, grantees are strongly encouraged to contact the COPS Office at any time during the life of a COPS grant with questions concerning grant requirements and also to produce all relevant documentation that may demonstrate grant compliance during these monitoring or other auditing activities. For more information, please contact the COPS Monitoring and Compliance Division at 1.800.421.6770 or 202.514.9202.

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



Accepting the Grant Award

After you have reviewed the conditions of your UHP award and your agency agrees with those conditions, you are ready to accept the award. At the bottom of the Award Document are signature spaces. The Director of the COPS Office has signed the Award Document indicating approval of your grant, an obligation of federal funds to your organization, and our commitment to the award. As stated at the beginning of this section, to officially begin your grant and draw down your funds, your **authorized officials** (i.e., the law enforcement and government executives) must sign the Award Document and return the **original** copy to:

**Universal Hiring Program Control Desk
U. S. Department of Justice/COPS Office
1100 Vermont Ave., NW
Washington, DC 20530**

Since COPS is required to have the original Award Document with original signatures in our files, faxed copies of the Award Document cannot be accepted.

Who should sign the award for our agency?

The "authorized officials" are the law enforcement and government executives who have **ultimate and final** responsibility for all programmatic and financial decisions regarding this grant as representatives of the legal grantee. These individuals must sign the Award Document. In some jurisdictions, police chiefs or sheriffs have the authority to accept grant awards. In others, the government representative, mayor or county executive may have this authority. However, COPS grants require that **both** the top law enforcement executive and the top government executive with such authority sign the Award Document. Typically, these are the same executives who signed the UHP application documents (if one or both of these individuals have changed, please complete a Change of Information form and submit it to the COPS Office). If you have any questions as to who should sign the award, please contact your jurisdiction's local legal advisor.

When must the grant materials be returned?

Please return the signed Award Document within 90 days of receipt. Grant funds will not be released until we have received your agency's signed Award Document, your budget has received final clearance, and any other relevant grant conditions particular to your agency have

been satisfied. Failure to submit your signed Award Document within the 90-day award acceptance period will result in a letter to your agency from the COPS Office, requesting the immediate submittal of the signed award. If the signed, original Award Document is not immediately returned after such notice, it may result in your UHP grant being withdrawn and the funds deobligated without additional notification. If you require an extension for accepting the award beyond the 90-day time frame, please submit a written request to your Grant Program Specialist. The COPS Office will review such requests on a case-by-case basis. The COPS Office reserves the right to deny requests to extend the 90-day award acceptance period.

Why might our agency be subject to sanctions or grant termination, and what are the possible sanctions?

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

- Are not substantially complying with the requirements of the Act, the guidelines or with other provisions of federal law;
- Are failing to make satisfactory progress toward the goals or strategies in your application;
- Are not adhering to grant agreement requirements or conditions;
- Are proposing substantial plan changes to the extent that, if originally submitted, would have resulted in the application not being selected for funding;
- Are not submitting reports (in a timely manner);
- Are filing false statements or certifications in connection with an application, periodic reports or other grant related documents; and/or
- Are providing other good cause for sanctions or termination. Good cause will be determined by the COPS Office.

In these instances, the COPS Office may:

- Temporarily withhold payments pending correction of the situation by you;
- Disallow all or part of the cost of the activity or action not in compliance;
- Wholly or partly suspend or terminate your grant award;
- Require that some or all of the grant amounts be remitted to the U.S. Department of Justice;
- Condition a future grant or elect not to provide future grant funds to your agency until appropriate actions are taken to ensure compliance;



- Withhold or bar your agency from obtaining future awards;
- Recommend civil or criminal enforcement; and/or
- Take other remedies that may be legally available.

In the event that sanctions are imposed or a grant is terminated, your agency will be notified in writing of our decision and the reason(s) for that decision. Your agency will also be afforded the opportunity to appeal the decision in writing before a sanction is imposed.

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

What if we need to make programmatic changes to our grant?

Your agency must seek and receive *prior written approval* if you plan to make major programmatic changes in your grant, including but not limited to:

- Changes in the number of officers to be hired under your UHP grant.
- Significant changes in your community policing plan.
- Salary and benefit changes.
- Changes in part-time or full-time employment.
- Changes to your retention plan.
- Extensions to the length of the standard three-year award period.

To make such changes, you are required to request prior approval in writing from the COPS Office. Please document your reason(s) for the proposed changes, how they will affect your programmatic activities, and any other information that will assist us in reviewing the changes. All change requests for your UHP grant should be sent, in writing, to your Grant Program Specialist. Upon reviewing your request, COPS may contact you for additional information or clarification. The COPS Office reserves the right to deny grant changes.

What if we no longer wish to accept this award?

If you have questions about accepting this grant, please contact your Grant Program Specialist to discuss your options by calling 1.800.421.6770. If your agency chooses not to accept this grant, you must notify us of your decision in writing. A completed Financial Status Report (Standard Form 269-A) should accompany any written request to withdraw, even if no funds have been drawn down.

II. Accessing Grant Funds

This section provides information about how your agency receives funds and gives answers to payment-related questions. Your award packet contains a number of financial documents containing all the information needed to set up your payment method. A Financial Guide to assist you with financial management and grant administration can be obtained by faxing a request to the Office of Justice Programs, Office of the Comptroller Customer Service at 202.353.9279, by calling the U.S. Department of Justice Response Center at 1.800.421.6770, or by downloading the guide from the Internet at www.ojp.usdoj.gov/FinGuide.

Payment Methods

For first-time grantees, there is currently only one method of payment available to you for accessing your federal grant funds – the Phone Activated Paperless Request System, or PAPRS for short. Existing grantees that are already using PAPRS for previously awarded grants must also use PAPRS for the UHP program. Only existing grantees that are currently using LOCES for previously awarded COPS grants can elect to continue to use LOCES for any new grants.

A. PAPRS – Phone Activated Paperless Request System

PAPRS replaces the paper form H-3 (Request for Payment) by enabling grantees to use their touch-tone telephone to request funds. Approved payment requests will be automatically scheduled for payment by the U.S. Treasury Department. The system also provides online information to grantees about the status of their requests.

If you do not have a touch-tone telephone, please contact the U.S. Department of Justice Response Center help line at 1.800.421.6770. If you need to request a reprinted PAPRS package, please contact the Office of the Comptroller, Customer Service Center at 1.800.458.0786.

How do we set up a PAPRS account?

If you are a new grantee to the COPS Office, you should receive a packet of financial-related documents shortly after COPS receives your signed Award Document. This packet will contain all of the information that your agency needs to set up your payment method. Your agency will receive a PAPRS user's manual under a separate



cover from the Office of the Comptroller, Accounting Division. Once you receive your Office of Justice Programs Vendor Number (which may or may not be the same as your taxpayer identification number) please use your PIN and Grant ID numbers and follow the directions in the user's manual to access your funds.

B. LOCES – Letter of Credit Electronic Certification System

Only existing grantees that are currently using LOCES for previously awarded COPS grants can elect to use LOCES for any new grants. LOCES is a modem communication system that allows recipients of COPS funds to electronically request payment from any of their grant funds and receive direct deposit to their bank accounts within 48 hours. You will need a computer with a dedicated modem to use this system.

1. To make requests for payments through LOCES, you must have a personal computer operating DOS 3.1 or higher. We also recommend you use at least a 28.8 baud modem.
2. Complete and return the LOCES Automation Survey form. Upon receipt, your LOCES software will be customized for your use and forwarded to you.
3. Complete an ACH Vendor/Miscellaneous Payment (SF 3881) enrollment form and forward to your bank.

A complete LOCES form and manual package may be requested by contacting COPS Finance Division at 1.800.421.6770. In addition, COPS Finance Division can provide technical assistance on using the LOCES system.

Setting Up Your Account

How do we fill out the payment enrollment forms?

In the packet of financial-related documents you received is an Automated Clearing House (ACH) Vendor/Miscellaneous Payment (SF 3881) enrollment form. The ACH Vendor/Miscellaneous Payment (SF 3881) enrollment form needs to be filled out regardless of the payment method. Prior to accessing your grant funds, your agency must mail the original form to:

Office of Justice Programs
Office of the Comptroller
810 7th Street, NW
Washington, DC 20531

The COPS Finance Division has filled out the "Agency Information" section of this form. Your agency must complete the "Payee/Company Information" section following the directions on the back of the form and also provide the grant number (printed on the Award Document). Then, your financial institution must complete the "Financial Institution Information" section and have the appropriate financial official sign the form.

If you are already a COPS Office grantee, you should already have selected one of the two payment methods and filled out an ACH Vendor/Miscellaneous Payment (SF 3881) enrollment form. If you have any questions, please call COPS Finance Division at 1.800.421.6770.

When should Financial Status Reports be filed?

After your agency returns the signed Award Document to the COPS Office, you are required to begin submitting quarterly Financial Status Reports (FSRs) using a Standard Form 269-A (SF-269A). This report reflects the actual monies spent and unliquidated obligations incurred by your agency. You will not be able to make draw downs from your grant account if the SF-269A for the most recent reporting quarter ended is not on file with the COPS Office.



For your first SF-269A submission, use the chart below to check to see when the most recent SF-269A reporting quarter ended and complete a SF-269A to cover the period from the award start date of your grant to that particular end date. You are required to submit a SF-269A even if you have not spent any money or incurred any costs during a reporting period.

<u>SF-269A Reporting Quarter End Date</u>	<u>Due Date</u>
03-31-YY	No later than 05-15-YY
06-30-YY	No later than 08-15-YY
09-30-YY	No later than 11-15-YY
12-31-YY	No later than 02-15-YY

Example:

Your award start date is 02-01-02 and your signed award was received and processed at the COPS Office on 04-15-02. If the current date is 04-15-02, your first SF-269A would be due no later than 05-15-02 and would cover the period 02-01-02 (award start date) through 03-31-02 (end date of the most recent reporting quarter). This SF-269A must be on file with the COPS Office so that you can successfully request a draw down of funds through PAPRS or LOCES.

For information on how to complete and where to submit your quarterly FSRs, see Section VI of the Grant Owner's Manual entitled "Reports."

Filing the Financial Status Report satisfies your responsibility to document federal and local expenditures made during that calendar quarter. However, to receive actual payment, you must request it through PAPRS or LOCES (see the section on payment methods).

Additional Payment Questions

Can we receive advances?

Yes. If you receive funds through electronic transfer, the period allowed is ten (10) days in advance.

In general, the concept of "minimum cash on hand" applies to COPS grants. This concept requires that your agency request funds based upon immediate cash disbursement needs. You should time your request for payment to ensure that federal cash on hand is the minimum that you need to make your immediate salary and fringe benefit payments. There should be no excess federal grant funds on hand, except for approved advances discussed above.

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

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

How often do we request reimbursement of costs?

There are no definitive guidelines on how often your agency should request reimbursements. However, note that reimbursement is only for actual salaries and approved benefits of officers hired under the Universal Hiring Program.

Can we earn interest on our grant funds?

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

- Your agency may keep interest earned on all advances of federal grant funds up to \$250 per fiscal year; and
 - Annually pay back interest earned (over and above \$250 per fiscal year) on advances of federal grant funds to the U.S. Department of Health and Human Services, Payment Management Systems, Rockville, MD 20852.
-



III. Meeting the Local Match

The COPS Universal Hiring Program provides up to 75 percent or \$75,000 (whichever is less) of the entry-level salary and approved fringe benefits for a newly hired law enforcement officer over a three-year grant period. UHP grantees are responsible for at least 25 percent of the total cost of salaries and approved fringe benefits, unless the local match requirement has been waived in whole or in part, and has been approved in writing by the COPS Office. The match must be a cash match, made from local, state or other non-COPS funds and may not be paid through reallocating funds already budgeted for law enforcement purposes.

Matching Funds

What are some sources of matching funds?

Sources for local match requirements may include:

- Program income funds from asset forfeitures.
- Funds from state or local governments that are committed to matching funds for your program.
- Funds from federal programs which specifically authorize their use as matching funds, such as the Housing and Community Development Act of 1974 or the Equitable Sharing Program.
- Funds contributed by private sources.

When and how must the match be made?

Matching contributions should be applied during the life of your grant in accordance with the Budget Information Worksheet submitted by your agency at the time of application. If a correction was made to your budget during review by the COPS Finance Division, you will have received a Revised Budget along with your Award Document and Financial Clearance Memorandum. In this instance, you should apply your local match as it is reflected on the Revised Budget. If you have any questions about adjusting your match differently than stated in your approved Revised Budget, please contact your COPS Staff Accountant at 1.800.421.6770.

Should we maintain records of the match?

Yes. Your agency should maintain records of your local share. These records should clearly show the source of the match, the amount of the match, and when the match was contributed. Such records must



be produced in the event of an audit or site visit. In addition, grantees are required to report their local match on the quarterly Financial Status Report SF-269A under "line B".

Waivers

Can the matching requirement be waived?

To maximize the number of communities that can take advantage of COPS grants, only a small portion of local match waiver requests are actually granted. Waiver requests are typically considered when a jurisdiction makes the request at the time of application. Applicants that are able to provide satisfactory documentation of *severe fiscal distress* (see below) may be granted waivers. Post-award waivers will be considered only under the most extreme circumstances.

How are waivers granted?

It is the burden of the jurisdiction to demonstrate extreme fiscal distress and its negative impact on the agency's ability to adequately provide law enforcement services to their jurisdiction. Waivers are evaluated on a case-by-case basis, and are based on an agency's ability to demonstrate severe fiscal distress *and* how it has adversely impacted law enforcement services. Any agency requesting a waiver of the local match must submit relevant documentation in order for their request to be reviewed. Items reviewed in a waiver request include:

- Budgetary imbalance or expenditure cutbacks resulting in significant reductions in other services provided by the applicant;
- Bankruptcy declaration by the applicant in a court of law, or the applicant has been placed into receivership by the state or federal government;
- Significant layoff of personnel within the applicant department;
- Significant downgrading of the applicant's bond rating due to fiscal distress;
- Loss of a major employer or job layoffs which have a significant economic impact on the applicant;
- Location within an area in which a declaration of major disaster has been made pursuant to the Robert T. Stafford Disaster Relief and Emergency Assistance Act; and/or
- Other circumstances demonstrating severe fiscal distress.



How are we notified if a waiver is granted?

Generally, the cover letter and Financial Clearance Memorandum in your grant award package will indicate whether your request for a waiver was granted. If your agency applied for a post-award waiver, you will also receive written notification of our decision. Under some circumstances, agencies that receive waiver approval will receive a Modified Award Document and budget clearance documents. If so, the Modified Award Document must be signed and returned to the COPS Office to accept the waiver. If your agency received a waiver and you have additional questions, please contact your Grant Program Specialist.

Please note that if your agency did receive a waiver, you are still required to retain any position(s) funded at the end of the three-year grant term, at local expense.

For more information, please refer to the Retention Condition discussed in this Manual.

How do we appeal the denial of a waiver?

If your agency's waiver request was denied and you would like to appeal the decision, please make your appeal to:

U.S. Department of Justice/COPS Office
Attn: Assistant Director for Grants Administration
1100 Vermont Avenue, NW
Washington, DC 20530



IV. Financial Record Maintenance

Under the UHP grant, your agency is required to establish and maintain accounting systems and financial records to accurately account for funds awarded and disbursed. These records must include both federal funds and all matching funds.

Accounting Systems

What accounting systems are needed?

Your agency needs to establish and maintain accounting systems and financial records to accurately account for the funds awarded. These records should include both the federal funds and the matching funds from state, local and private organizations.

Your accounting system should:

- Present and itemize approved costs of salaries and benefits and show the actual costs of salaries and benefits;
- Assure responsible use of grant funds;
- Assure that funds are spent in conformance with your grant conditions; and
- Be able to provide the necessary information for periodic review and audit.

What records should be kept?

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

Your agency must adequately safeguard grant funds and make sure that they are used for authorized purposes. Furthermore, your agency will be responsible for refunding expenditures disallowed by your grant.

How long should documents be kept?

All financial records, including payroll, time and attendance records, canceled checks and similar documents associated with your COPS UHP grant should be kept for at least three years from the date the

Records should be kept for at least three years from the date that the COPS Office officially closes the grant.



COPS Office officially closes the grant. If any litigation, claim, negotiation, audit or other action involving these records has been started before the end of the three-year period, the records should be kept until completion of the action. These records should be easily located and should be properly protected against fire or other damage.

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

What if we have more than one grant?

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

Who may access our records?

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

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



V. Federal Audit Requirements

Audit requirements

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

What are the regulations governing SAA requirements?

The Single Audit Act of 1984 established uniform guidelines for state and local governments receiving federal financial assistance. The 1984 Act was amended in July 1996 to reflect revised audit criteria and reporting requirements. The Office of Management and Budget Circular A-133, Audits of States, Local Governments and Non-Profit Organizations, provides additional guidelines regarding the implementation of SAA requirements.

Who must have an SAA audit?

Each non-federal entity that expends a total amount of federal awards equal to or in excess of \$300,000 in a fiscal year is required to have an SAA audit for that fiscal year. SAA audits are conducted annually unless a state or local government is required by constitution or statute, in effect on January 1, 1987, to undergo audits less frequently than annually. The primary objective of an SAA audit is to express opinions on the grantee's financial statements, internal controls, major and non-major grant programs, and compliance with government laws and regulations. Single audits may also address specific compliance issues with respect to COPS grant requirements.

If the U.S. Department of Justice is your Federal Cognizant Agency (see Glossary of Terms for definition), your Single Audit Act reports should be sent to the U.S. Department of Justice Clearinghouse at:

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



What is the role of the Office of the Inspector General?

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

On what basis are COPS grants selected for an OIG audit?

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

The COPS Monitoring and Compliance Division serves as the liaison between grantees and auditors in the conduct of OIG audits. The U. S. Department of Justice, Office of Justice Programs (OJP) serves as the liaison between grantees and auditors in the conduct of SAA audits. Questions and comments regarding OIG audits and SAA audits may be directed to the Department of Justice Response Center at 1.800.421.6770. Questions and comments regarding the administration of your UHP grant, not specifically related to an audit, should be referred to your Grant Program Specialist.



VI. Reports

Periodically, your agency will be asked to provide three types of reports: (1) Program Progress Reports; (2) Quarterly Financial Status Reports; and (3) surveys about your hiring status. Failure to submit complete reports, or submit them in a timely manner, may result in the suspension and possible termination of your agency's COPS grant funding or other remedial actions.

(1) Program Progress Reports

There are two types of program Progress Reports:

Department Initial Report— This report is required only once during the life of the grant. It will be mailed to you within 30 days after receiving your award packet, and must be returned within 45 days of receipt. Information gathered on the Department Initial Report includes your agency's training curriculum, police force demographics, baseline sworn force levels, and community policing activities.

Department Annual Report— This report is required annually during the life of the grant. It is required for each full or partial calendar year in which your agency's grant is active. The Department Annual Report is typically mailed in December of each year and must be completed and returned by mid-February of the following year (the exact return date will be specified in the Report). Similar to the Department Initial Report, information will be gathered on your agency's training curriculum, police force demographics, baseline sworn force levels, and community policing activities.

(2) Financial Status Reports

Your agency is required to submit quarterly Financial Status Reports (FSRs) using a Standard Form 269A (SF-269A). This report reflects the actual federal monies spent and unliquidated obligations incurred, local matching contributions, and the unobligated balance of federal funds.

How will grant funds be monitored?

The COPS Office and designated representatives from the Office of the Comptroller, Office of Justice Programs (OJP) monitor the financial aspects of your agency's grant through financial reports, meetings, telephone contacts, reports, audits, reviews of grant change



requests and special request submissions. In specific cases, information may be requested during an on-site visit.

How do we file Financial Status Reports?

The FSR is due at the COPS Office no later than 45 days following each calendar quarter. A chart showing the reporting quarter end dates and due dates is provided in the section of this manual entitled "Setting Up Your Account." A Helpful Hints Guide for Completing FSRs is available at the COPS web site (www.cops.usdoj.gov) or by calling the U.S. Department of Justice Response Center at 1.800.421.6770.

A blank copy of a SF-269A is included in your award package. Please make copies of the blank form (both sides) and retain them for future use. Fax completed forms to:

COPS Finance Division Control Desk: 202.616.9004
Alternative Fax: 202.514.2852

Or mail to:

U.S. Department of Justice/COPS Office
1100 Vermont Ave., NW
Attention: COPS Finance Division Control Desk
Washington, DC 20530

(3) Surveys About Hiring

The COPS Office will contact your agency by phone, fax, or letter up to two times per year to determine your grant progress, number of officers hired and deployed into community policing roles, and a timetable for when future hiring may occur.

Contact Points to Obtain Technical Assistance and Report Non-Compliance

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

- If you suspect violations of a criminal nature, please contact the Office of the Inspector General's Hotline at 1.800.869.4499.
 - If you suspect non-compliance (*not* criminal in nature) as it relates to the grant conditions listed in this manual, please contact the COPS Monitoring and Compliance Division at 202.514.9202.
 - If you have any questions and/or need assistance regarding your grant, please contact your COPS Grant Program Specialist at 1.800.421.6770.
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VII. When the Grant Period Has Ended

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

Normally, after the end of the grant period, your agency will be asked to submit final financial and program reports. These reports will be very similar to the reports discussed in Section VI.

Final Financial Status Report

The final Financial Status Report (SF-269A) for your grant is due to the COPS Office no later than 120 days after the end of the grant period. The final report should reflect the total amount of federal expenditures, the total amount of matching contributions, and the amount of unobligated funds, if any. Any unobligated or unspent funds will be deobligated from the award amount.

When should all of the grant monies be spent?

Grant funds must be obligated before the end of the grant period. Obligated funds cover monies spent and expenses for salaries and approved benefits that your agency has incurred but not yet paid. Your agency has up to 90 days after the end of the grant period to request reimbursement for funds obligated.

Final Progress Report

Normally, within 120 days of the end of your grant award period, the COPS Office will ask your agency to submit a final Progress Report. The final Progress Report and its instructions will be mailed to you towards the end of your grant period. It will request information similar to the Department Annual Report.

Retention

At the conclusion of federal funding, your agency should implement its plan, typically submitted at the time of application, to retain the additional COPS-funded officer position(s) as required by Grant Condition #5 (discussed on p. 6 of this manual). If you have any questions regarding the retention requirement, please contact your Grant Program Specialist.

VIII. Conclusion

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

COPS Universal Hiring Program Grant Owner's
Manual
U. S. Department of Justice
1100 Vermont Ave., NW
Washington, DC 20530

We will review your comments and make revisions as appropriate.

If you have any questions about your grant, please call the U.S. Department of Justice Response Center at 1.800.421.6770.

IX. Glossary of Terms

Allowable Costs

Allowable costs are costs that will be paid for by this grant program. The Universal Hiring Program funds salaries and approved fringe benefits for three years of new, additional sworn entry-level, or rehired officer positions. Upon review of your agency's submitted budget, any unallowable costs were removed and your total budget amount was revised accordingly. *Overtime, training (other than salaries and benefits paid during training), weapons, communication equipment, uniforms, vehicles and indirect costs are not allowable costs.* A copy of the Financial Clearance Memorandum from the COPS Finance Division identifying any relevant revisions is included in your grant award package.

Authorized Officials

The authorized officials are the individuals in your organization who have final authority and responsibility for all programmatic and financial decisions regarding this grant award. At the time of application, your agency listed the law enforcement executive (usually Chief of Police, Sheriff, etc.) and the government executive (usually Mayor, President of Council, etc.) for your agency. These executives are listed on your Award Document and are understood to be your authorized officials; if any of the executive information is incorrect, please submit the correct information to the COPS Office in writing.

Award Start Date

This is the date on or after which your agency is authorized to hire new officer positions under your Universal Hiring Program grant. The award start date is found on your grant Award Document. *Grantees may not hire grant-funded officers prior to this date without written approval from the COPS Office.*

Career Law Enforcement Officer

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

Catalog of Federal Domestic Assistance (CFDA)

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



Cognizant Federal Agency

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

COPS Finance Division

The COPS Finance Division handles your agency's financial and budgetary needs related to this UHP grant. A Staff Accountant is assigned to your state, and is available to answer any questions that you may have concerning the financial aspects of your grant. To identify your Staff Accountant, please call the U.S. Department of Justice Response Center at 1.800.421.6770, or visit the COPS web site at www.cops.usdoj.gov.

COPS Office

The Office of Community Oriented Policing Services (COPS) is the division of the U.S. Department of Justice that is the "grantor agency" for your UHP grant. The COPS Office is responsible for assisting your agency with the administration and maintenance of your grant for the entire grant period. You can reach the COPS Office at 1.800.421.6770.

Employer Identification Number (EIN)/Vendor Number

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

Grant Number

The grant number identifies your agency's specific UHP grant, and can be found on your grant Award Document. This number should be used as a reference when corresponding with the COPS Office.

Grant Program Specialist

COPS Grant Program Specialists are trained to assist you with implementing and maintaining your UHP grant. A Grant Program Specialist is assigned to your state, and is available to answer any questions that you may have concerning the administrative aspects of your grant. Your Grant Program Specialist can assist you with such matters as requesting an extension on your grant or modifying the grant award. To obtain the name and phone number of your Grant Program Specialist, please contact the U.S. Department of Justice Response Center at 1.800.421.6770, or visit the COPS web site at www.cops.usdoj.gov.

Matching Funds/Local Match

Under the Universal Hiring Program, the COPS Office provides up to 75 percent of the entry-level salary and approved fringe benefits of a new, additional career law enforcement officer position over three years, provided the position is hired on or after the award start date. The maximum that the COPS Office can pay per officer position over the three-year grant period is \$75,000. Grantees are responsible for a local match of *at least* 25 percent of the total cost of salaries and fringe benefits, unless a waiver of the local match is granted (see "Meeting the Local Match," Section III of this Manual, for more information). The match must be a cash match, and paid with state, local, or other non-COPS funds. Additionally, the source of your agency's local match may not be from any funds previously budgeted for law enforcement purposes.

Obligation of Funds

The COPS Office "obligates" federal funds when the grant Award Document is signed by the Director or his/her designated official.

For the grantee, grant funds are "obligated" when monies are spent directly on officer salaries under the UHP program. The term encumbrance is often times 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).



ORI Number (Originating Agency Identifier)

This number is assigned by the FBI, and it is your agency's unique identifier. The first two letters are your state abbreviation, the next three numbers are your county's code, and the final two numbers identify your jurisdiction within your county. It can be found on your grant Award Document. When you contact the COPS Office with a question, please reference your ORI number (and/or your grant number).

The Public Safety Partnership and Community Policing Act of 1994

The purposes of the Act are to:

- Substantially increase the number of law enforcement officers interacting with members of the community;
- 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; and
- 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.

The COPS Office is charged with fulfilling the mandates of this law.

Retention Period

After thirty-six (36) months of COPS funding, UHP grantees are required to retain each additional COPS-funded position awarded, using local funds. Each awarded position must be retained for at least one full local budget cycle (i.e., local fiscal year) after 36 months of funding have expired for that position. This time span is referred to as the "retention period." Please note that if your agency completes its three years of grant funding in the middle of a local budget cycle, your agency is required to retain the COPS-funded position(s) for the remainder of that budget cycle and through the next complete local budget cycle.

Supplanting

For the purposes of your COPS UHP grant, supplanting means replacing state or local funds which otherwise would have been spent on law enforcement purposes with federal COPS funds. Your agency is prohibited from supplanting throughout the three-year grant period.



This means that your agency may not use COPS funds to pay for any sworn officer positions (full-time, part-time, reserve or other) which, in the absence of the COPS program, would otherwise have been funded with state and/or local funds, or funds supplied by the Bureau of Indians Affairs (BIA - for Indian Tribal governments). COPS funds must instead be used to supplement, or increase, your law enforcement budget for sworn officer positions. As a general matter, in assessing the presence of supplanting, throughout the grant period we will expect you to hire new officers at a level consistent with recent historical practice and to take positive and timely steps to fill all vacancies in your sworn personnel resulting from attrition. You may not reduce your local, state or BIA funded sworn officer position(s) as a result of receiving a UHP grant. For additional information on supplanting, please review Grant Condition #3 in this Manual.

Supplemental Grant Award

Prior to Fiscal Year 2001, a Supplemental Grant Award was a new UHP grant award which added monies and officer positions to an agency's existing UHP grant under the same grant award number. For example, if your jurisdiction received a UHP grant in 1996 with a 96-UMWX-0000 grant number, and was then awarded a UHP Supplement in 1997, the COPS Office assigned the supplemental positions and monies under the same grant number as the 1996 award. However, for purposes of grant tracking and clarity, the COPS Office no longer issues Supplemental Grant Awards. Instead, all UHP grants awarded on or after January 1, 2001, including those awarded to agencies with prior UHP grants, now receive a unique grant number, regardless of the number of UHP grants previously awarded to an agency. [The change is not retroactive to grants made before January 1, 2001.]

X. Appendices

Appendix A – List of Source Documents

Primary Sources:

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

U.S. Department of Justice, Office of Justice Programs, Financial and Administrative Guide for Grants, OJP M 7100.1D: May 15, 1990

Additional Sources:

Code of Federal Regulations (CFR):

28 CFR Part 66 Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments

28 CFR Part 67 Government-wide Requirements for Drug-Free Workplaces (Grants)

28 CFR Part 69 Government-wide New Restrictions on Lobbying

31 CFR Part 205 Treasury Department Regulations Implementing for Cash Management Improvement Act of 1990

OMB Circular A-87 Cost Principles for State and Local Governments

OMB Circular A-33 Audits of Educational Institutions

Assurances for Universal Hiring Program (Included)

Executive Order 12547 "Non-Procurement Debarments and Suspension"

Executive Order 12372, 28 CFR, Part 30 "Intergovernmental Review of Federal Programs"



OMB Circular A-129 Managing Federal Credit Programs

4 CFR Parts 101-105 Department of Justice/General Accounting Office, "Joint Federal Claims Collections Standards"

5 CFR Part 1320 "Controlling the Paperwork Burden on the Public"

Executive Order 12291 "Regulations"

5 CFR Part 151 "Political Activities of State and Local Officials or Employees"



Appendix B – Assurances

Several provisions of federal law and policy apply to all grant programs. We (the Office of Community Oriented Policing Services) need to secure your assurance that you (the applicant) will comply with these provisions. If you would like further information about any of the matters on which we seek your assurance, please contact us.

By your authorized representative's signature, you assure us and certify to us that you will comply with all legal and administrative requirements that govern the applicant for acceptance and use of federal grant funds. In particular, you assure us that:

1. You have been legally and officially authorized by the appropriate governing body (for example, mayor or city council) to apply for this grant and that the persons signing the application and these assurances on your behalf are authorized to do so and to act on your behalf with respect to any issues that may arise during processing of this application.
2. You will comply with the provisions of federal law which limit certain political activities of your employees whose principal employment is in connection with an activity financed in whole or in part with this grant. These restrictions are set forth in 5 U.S.C. § 1501, et seq.
3. You will comply with the minimum wage and maximum hours provisions of the Federal Fair Labor Standards Act, if they apply to you.
4. You will establish safeguards, if you have not done so already, to prohibit employees from using their positions for a purpose that is, or gives the appearance of being, motivated by a desire for private gain for themselves or others, particularly those with whom they have family, business or other ties.
5. You will give the Department of Justice or the Comptroller General access to and the right to examine records and documents related to the grant.
6. You will comply with all requirements imposed by the Department of Justice as a condition or administrative requirement of the grant; with the program guidelines; with the requirements of OMB Circulars A-87 (governing cost calculations) and A-133 (governing audits); with the applicable provisions of the Omnibus Crime Control and Safe Streets Act of 1968, as amended; with 28 CFR Part 66 (Uniform Administrative Requirements); with the provisions of the current edition of the appropriate COPS grant owner's manual; and with all other applicable laws, orders, regulations or circulars.
7. You will, to the extent practicable and consistent with applicable law, seek, recruit and hire qualified members of racial and ethnic minority groups and qualified women in order to further effective law enforcement by increasing their ranks within the sworn positions in your agency.
8. You will not, on the ground of race, color, religion, national origin, gender, disability or age, unlawfully exclude any person from participation in, deny the benefits of or employment to any person, or subject any person to discrimination in connection with any programs or activities funded in whole or in part with federal funds.

These civil rights requirements are found in the non-discrimination provisions of the Omnibus Crime Control and Safe Streets Act of 1968, as amended (42 U.S.C. § 3789(d)); Title VI of the Civil Rights Act of 1964, as amended (42 U.S.C. § 2000d); the Indian Civil Rights Act (25 U.S.C. §§ 1301-1303); Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 794); Title II, Subtitle A of the Americans with Disabilities Act (ADA) (42 U.S.C. § 12101, et seq.); the Age Discrimination Act of 1975 (42 U.S.C. § 6101, et seq.); and Department of Justice Non-Discrimination Regulations contained in Title 28, Parts 35 and 42 (subparts C, D, E and G) of the Code of Federal Regulations.

A. In the event that any court or administrative agency makes a finding of discrimination on grounds of race, color, religion, national origin, gender, disability or age against you after a due process hearing, you agree to forward a copy of the finding to the Office of Civil Rights, Office of Justice Programs, 810 7th Street, NW, Washington, DC 20531.

B. Grantees that have 50 or more employees and grants over \$500,000 (or over \$1,000,000 in grants over an eighteen-month period), must submit an acceptable Equal Employment Opportunity Plan ("EEOP") or EEOP short form (if grantee is required to submit an EEOP under 28 CFR 42.302), that is approved by the Office of Justice Programs, Office for Civil Rights within 60 days of the award start date. For grants under \$500,000, but over \$25,000, or for grantees with fewer than 50 employees, the grantee must submit an EEOP Certification. Grantees of less than \$25,000 are not subject to any EEOP requirement.

9. You will insure that the facilities under your ownership, lease or supervision which shall be utilized in the accomplishment of the project are not listed on the Environmental Protection Agency's (EPA) list of Violating Facilities and that you will notify us if you are advised by the EPA indicating that a facility to be used in this grant is under consideration for listing by EPA.

10. If your state has established a review and comment procedure under Executive Order 12372 and has selected this program for review, you have made this application available for review by the state Single Point of Contact.

11. You will plan to retain each COPS-funded position with state and/or local (non-COPS) funds after the conclusion of your grant.

12. Your agency will not use COPS funds to supplant (replace) state, local, or Bureau of Indian Affairs funds that otherwise would be made available for the purposes of this grant.

I hereby certify compliance with the above assurances that govern the application and use of federal funds.

Signature of law enforcement executive or government executive

Date



Appendix B – Certifications

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

Although the Department of Justice has made every effort to simplify the application process, other provisions of federal law require us to seek your certification regarding certain matters. Applicants should read the regulations cited below and the instructions for certification included in the regulations to understand the requirements and whether they apply to a particular applicant. Signature of this form provides for compliance with certification requirements under 28 CFR Part 69, “New Restrictions on Lobbying,” and 28 CFR Part 67, “Government-wide Debarment and Suspension (Nonprocurement) and Government-wide Requirements for Drug-Free Workplace (Grants),” and the coordination requirement of the Public Safety Partnership and Community Policing Act of 1994. The certifications shall be treated as a material representation of fact upon which reliance will be placed when the Department of Justice determines to award the covered grant.

1. Lobbying

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

A. No federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a member of Congress, an officer or employee of Congress, or an employee of a member of Congress in connection with the making of any federal grant; the entering into of any cooperative agreement; and the extension, continuation, renewal, amendment or modification of any federal grant or cooperative agreement;

B. If any funds other than federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a member of Congress, an officer or employee of Congress, or an employee of a member of Congress in connection with this federal grant or cooperative agreement, the undersigned shall complete and submit Standard Form - LLL, “Disclosure of Lobbying Activities,” in accordance with its instructions;

C. The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subgrants, contracts under grants and cooperative agreements, and subcontracts) and that all sub-recipients shall certify and disclose accordingly.

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

As required by Executive Order 12549, Debarment and Suspension, and implemented at 28 CFR Part 67, for prospective participants in primary covered transactions, as defined at 28 CFR Part 67, Section 67.510 -

A. The applicant certifies that it and its principals:

(i) Are not presently debarred, suspended, proposed for debarment, declared ineligible, sentenced to a denial of federal benefits by a state or federal court, or voluntarily excluded from covered transactions by any federal department or agency;

(ii) Have not within a three-year period preceding this application been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (federal, state or local) transaction or contract under a public transaction; violation of federal or state antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(iii) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (federal, state or local) with commission of any of the offenses enumerated in paragraph (A)(ii) of this certification; and

(iv) Have not within a three-year period preceding this application had one or more public transactions (federal, state or local) terminated for cause or default; and

B. Where the applicant is unable to certify to any of the statements in this certification, he or she shall attach an explanation to this application.

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

As required by the Drug-Free Workplace Act of 1988, and implemented at 28 CFR Part 67, Subpart F, for grantees, as defined at 28 CFR Part 67, Sections 67.615 and 67.620 -

A. The applicant certifies that it will, or will continue to, provide a drug-free workplace by:

(i) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(ii) Establishing an on-going drug-free awareness program to inform employees about -

- (a) The dangers of drug abuse in the workplace;
- (b) The grantee's policy of maintaining a drug-free workplace;
- (c) Any available drug counseling, rehabilitation and employee assistance programs; and
- (d) The penalties that may be imposed upon employees for drug-abuse violations occurring in the workplace;



- (iii) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (i);
- (iv) Notifying the employee in the statement required by paragraph (i) that, as a condition of employment under the grant, the employee will -
 - (a) Abide by the terms of the statement; and
 - (b) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;
- (v) Notifying the agency, in writing, within 10 calendar days after receiving notice under subparagraph (iv)(b) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to: COPS Office, 1100 Vermont Ave., NW, Washington, DC 20530. Notice shall include the identification number(s) of each affected grant;
- (vi) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (iv)(b), with respect to any employee who is so convicted -
 - (a) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or
 - (b) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a federal, state or local health, law enforcement or other appropriate agency;
- (vii) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (i), (ii), (iii), (iv), (v) and (vi).

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

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

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

Section 67.630 of the regulations provides that a grantee that is a state may elect to make one certification in each federal fiscal year, a copy of which should be included with each application for Department of Justice funding. States and state agencies may elect to use OJP Form 4061/7.

Check if the state has elected to complete OJP Form 4061/7.

4. Coordination

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

Grantee Name and Address: _____

Application No. and/or Project Name: _____ Grantee IRS/Vendor Number: _____

Typed Name and Title of Law Enforcement Executive: _____

Signature: _____ Date: _____

As the duly authorized representative of the governing body, I hereby certify that I am binding the governing body to the above certifications, including the plan to retain. Elections of new officials will not relieve the governing body of its obligations under this grant.

Typed Name and Title of Government Executive: _____

Signature: _____ Date: _____



FOR MORE INFORMATION:

U.S. Department of Justice
Office of Community Oriented Policing Services
1100 Vermont Avenue, NW
Washington, D.C. 20530

To obtain details on COPS programs, call the
U.S. Department of Justice Response Center at 1.800.421.6770

Visit the COPS internet web site at the address listed below.

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