

Grant Monitoring Standards and Guidelines for All COPS Grants and Cooperative Agreements

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COPS

Community Oriented Policing Services
U.S. Department of Justice



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

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I. Purpose of the Updated Grant Monitoring Standards and Guidelines

This 2014 document contains updated information. It supersedes the Grant Monitoring Standards and Guidelines for Hiring and Redeployment, dated September 16, 2004.

The Office of Community Oriented Policing Services (COPS Office) Updated Grant Monitoring Standards and Guidelines for all COPS Office Grants (GMSG) is intended as a guide to provide grantees with an overview of the various grant programs implemented by the COPS Office. The GMSG will enable grantees to become familiar with the administrative, financial, and program-specific terms and conditions, special conditions, or other requirements that must be complied with to ensure grantees effectively implement COPS Office grant programs. The purpose of the GMSG is to broaden understanding of compliance requirements in an effort to proactively promote grantee awareness for potential noncompliance and to make grantees more successful in properly implementing their COPS Office grant programs.

The GMSG will address and provide an overview of

- the role of the COPS Office;
- the role of the COPS Office Grant Monitoring Division and Audit Liaison Function, including an overview of the purpose of a site visit, an enhanced office based grant review, and alleged non-compliance reviews;
- fundamental elements of key compliance areas for all COPS Office grant programs;
- the COPS Office Portal and how to use it to remain in compliance;
- a summary of COPS Office grant award programs and cooperative agreements, including any related specific terms, conditions, or other requirements that must be complied with to ensure grantees effectively implement the grant;
- performance indicators, measures, or standards that may help grantees determine whether they are meeting specific COPS grant program requirements;
- basic grants management and record-keeping tips to avoid noncompliance;
- resources that may be found online at the COPS Office website to provide greater understanding of COPS Office grant programs, community policing, problem solving, and a variety of publications that may help communities and law enforcement strengthen community policing.

I. Purpose of the Updated Grant Monitoring Standards and Guidelines

Grantees are encouraged to use this GMSG as a tool to remain in compliance, to work to identify potential noncompliance issues, and to reduce the likelihood of audit findings. The COPS Office is entrusted with providing sound financial stewardship of federal grant money. The COPS Office wants every grantee to succeed in the implementation of their grant awards.

We are partners, and our mutual support is required to facilitate your success in furthering community policing through the COPS grant programs. We seek to provide you with the best customer service and technical assistance to maximize the use of every grant dollar awarded. The COPS Office congratulates each grantee and looks forward to helping you successfully implement your grant award.

Grantees seeking assistance completing forms or further information regarding grant award programs or who have questions about the COPS Office may contact the COPS Office Response Center at 800-421-6770 or through e-mail at ask.COPS@usdoj.gov.

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Office of Community Oriented Policing Services
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Washington, DC 20530

Visit the COPS Office online: www.cops.usdoj.gov.

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II. Overview of the COPS Office

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

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

Rather than simply responding to crimes once they have been committed, community policing concentrates on preventing crime and eliminating the atmosphere of fear it creates. Earning the trust of the community and making those individuals stakeholders in their own safety enables law enforcement to better understand and address both the needs of the community and the factors that contribute to crime.

The COPS Office awards grants to state, local, territory, and tribal law enforcement agencies to hire and train community policing professionals, acquire and deploy cutting-edge crime fighting technologies, and develop and test innovative policing strategies. COPS Office funding also provides training and technical assistance to community members and local government leaders and all levels of law enforcement. The COPS Office has produced and compiled a broad range of information resources that can help law enforcement better address specific crime and operational issues, and help community leaders better understand how to work cooperatively with their law enforcement agency to reduce crime.

- Since 1994, the COPS Office has invested more than \$14 billion to add community policing officers to the nation's streets, enhance crime fighting technology, support crime prevention initiatives, and provide training and technical assistance to help advance community policing.
- To date, the COPS Office has funded approximately 125,000 additional officers to more than 13,000 of the nation's 18,000 law enforcement agencies across the country in small and large jurisdictions alike.
- Nearly 700,000 law enforcement personnel, community members, and government leaders have been trained through COPS Office-funded training organizations.
- To date, the COPS Office has distributed more than 8.57 million topic-specific publications, training curricula, white papers, and resource CDs.

COPS Office resources, covering a wide breadth of community policing topics—from school and campus safety to gang violence—are available, at no cost, through its online Resource Center at www.cops.usdoj.gov. This easy-to-navigate website is also the grant application portal, providing access to online application forms.

III. Overview of the COPS Office Grants Monitoring Division and Audit Liaison Function

Promoting responsibility to ensure that federal grant funds awarded to state, local, territorial, and tribal entities were administered properly, in 1997, Attorney General Janet Reno mandated that the COPS Office conduct compliance reviews for all COPS grantees. In response to this mandate, COPS formally established the Grant Monitoring Division (GMD). The mission of the GMD is to ensure effective stewardship of federal funds. This is accomplished by conducting site visits and enhanced office-based grant reviews, responding to referrals for alleged noncompliance, conducting review of financial and programmatic reporting, and resolving audits. The purpose of our monitoring activities is to provide technical assistance and customer service, ensure grantee compliance with terms and conditions of the grant program requirements, and review implementation of grantees' community policing programs.

Federal law requires that law enforcement agencies receiving federal funding from the COPS Office be monitored to ensure compliance with their grant conditions and other applicable statutory regulations. The COPS Office is also interested in tracking the progress of our programs and the advancement of community policing. Both aspects of grant implementation—compliance and programmatic benefits—are part of the monitoring process coordinated by the U.S. Department of Justice. Upon accepting a grant, each grantee agrees to respond to any requests for information.

The GMD uses the Grant Assessment Tool (GAT) to calculate risk factors for noncompliance and identifies those grantees considered to be most at risk. The GMD also uses the U.S. Department of Justice's High-Risk List for grantees funded through the COPS Office and other DOJ components to identify COPS Office grantees on the High-Risk List for site visits. Based on the GAT outcomes, GMD then develops a monitoring strategy to conduct compliance reviews using site visits and Enhanced Office-Based Grant Reviews (EOGBR) for grantees determined to be most at-risk. In addition to site visits and EOGBRs, GMD conducts Alleged Noncompliance Reviews (ANCR) that are referred from internal and external sources. In most cases, these noncompliance reviews are office-based; however, a site visit may be scheduled if warranted. The objective of the ANCR is to work with the grantees to bring them back into compliance.

III. Overview of the COPS Office Grants Monitoring Division and Audit Liaison Function

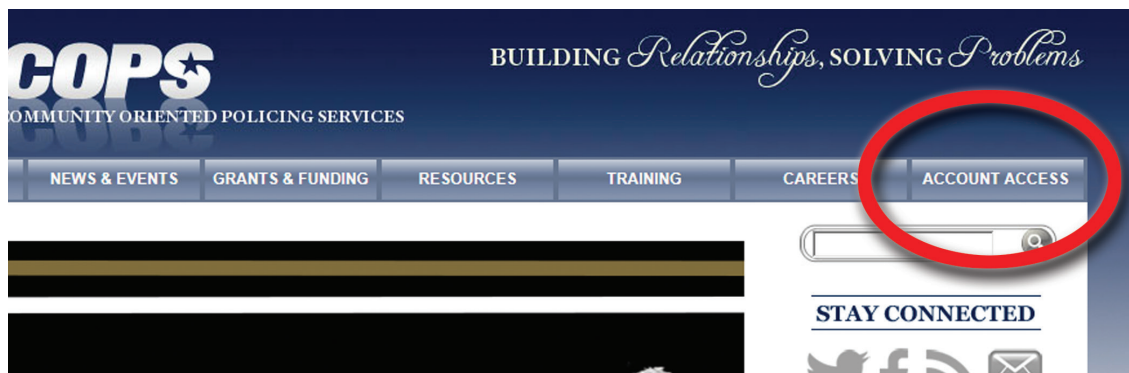
From 1997 through 2013, Grant Monitoring and Audit Liaison staff accomplished a lot. The GMD conducted more than 2,800 site visits and hundreds of office-based grant reviews. The GMD resolved nearly 4,800 compliance issues involving over 3,000 grantees. The Audit Liaison Section (ALS) closed more than 400 audits and 2,100 associated recommendations.

The audit liaison staff of the Grant Monitoring Division works directly with the U.S. Department of Justice, Office of Inspector General (OIG), acting as a liaison between the OIG and grantees to help resolve and close audit recommendations resulting from OIG audits of COPS Office grants. The ALS management analysts' responsibilities include responding to OIG draft audit reports, gathering relevant documentation to determine grantee compliance, facilitating closure of open audit recommendations, and ensuring that the grantee remedies violations as agreed to by the COPS Office and the OIG. Upon successful closure of all audit recommendations by the OIG, the COPS Office requests closure of the report.

IV. Overview of the COPS Office Portal at www.cops.usdoj.gov

Grantees may access the COPS Office Portal through the “Account Access” link located on the banner bar at the top right of the home page.

Figure 1. COPS Office website, “Account Access” link



Grantees may use the login screen shown below to gain access to the portal. Next, if your agency has not registered with the COPS Office Portal and you are the administrative contact for your agency, please click on the “click here” link to register prior to attempting to log in to the COPS Office Portal.

Figure 2. COPS Office login screen



IV. Overview of the COPS Office Portal at www.cops.usdoj.gov

Note: Internet Explorer 11 users should add the COPS Office website to the compatibility view settings in the browser by following the step-by-step instructions at www.cops.usdoj.gov/pdf/Compatibility-IE11.pdf or contacting the COPS Office Response Center at 800-421-6770.

Existing users: Please contact your agency's law enforcement executive for your new agency portal registration and login ID.

Otherwise, if you are registered, simply log in using your email address and password.

Figure 3. COPS Office login screen: e-mail address and password

AGENCY PORTAL LOGIN

COPS Management System
NEXGEN

Email Address:

Password:

[Reset Password?](#)

** If your agency has not registered with COPS and you are the administrative contact for your agency, click here to register your agency with COPS.*

Upon gaining access into the COPS Office Portal, grantees may select the appropriate topic from the left column, "Agency Portal Menu," to begin. Grantees will notice in the center column a brief explanation for each topic area. The right column will provide any messages for grantees.

Figure 4. COPS Office agency portal

ABOUT NEWS & EVENTS GRANTS & FUNDING RESOURCES TRAINING CAREERS LOGOUT

Agency: Community Oriented Policing Services (T112345)

AGENCY PORTAL MENU

- HOME
- ACCOUNT INFORMATION
- AGENCY INFORMATION
- AGENCY USERS
- AGENCY CONTACTS

AGENCY PORTAL HOME

Welcome, George!

Below is a short description of Agency Portal sections available from the Agency Portal Menu:

- Home** - This is where you will see any important news or messages regarding your agency.
- Account Information** - Change your user account information such as email address, phone number or password.
- Agency Information (Agency Moderators ONLY)** - Change your agency's information such as address or phone number.
- Agency Users (User Moderators ONLY)** - View/Add/Edit/Delete users for your agency, or modify permissions for these users.

AGENCY PORTAL MESSAGES

You have 0 messages waiting.

IV. Overview of the COPS Office Portal at www.cops.usdoj.gov

Grantees are required to keep their account information and agency contacts up to date at all times, especially when the law enforcement executive or government executive change as a result of elections or new appointments. By keeping agency contact information up to date, grantees help ensure that official correspondence will be received without unnecessary delays. Grantees who fail to keep agency contact information up to date risk potential noncompliance issues resulting from the non-delivery of important or time-sensitive messages that require immediate attention.

Currently, the COPS Office Portal is used for a variety of tasks for completing and submitting applications for new grant award programs, quarterly Federal Financial Reports (SF-425), progress reports, and other official documentation for administrative grants management. Some of these tasks include requests and approvals for grant modifications, budget modifications, sole source justifications, consultant rate changes, and other administrative requirements.

Since the COPS Office Portal is always adding new features, grantees are strongly encouraged to visit the COPS Office Portal on a regular basis to be aware of other types of documentation requirements that may be added for purposes such as pre-site visit forms, community policing assessments, and other similar documentation to facilitate completion and submission of on-line documents.

Grantees are also encouraged to note the links listed at the bottom of each page on the COPS Office Portal to access information about the COPS Office, including news and services, grants and funding, resources, and training. There are also other links listed for the U.S. Department of Justice that may be helpful for grantees.

Figure 5. COPS Office agency portal site map



As a reminder, grantees seeking assistance completing forms or who need further information regarding grant award programs or have questions about the COPS Office may contact the COPS Office Response Center at 800-421-6770 or through e-mail at ask.Cops@usdoj.gov.

V. Basic Grants Management and Record-keeping Tips

The COPS Office encourages grantees to establish sound basic grants management practices that promote ways to better manage their grants and help maintain accurate and complete administrative and financial recordkeeping. Many law enforcement agencies have sworn or civilian personnel assigned to manage grants that may possess a limited knowledge of grants management.

The purpose of this section is to offer grantees simple and direct approaches to enhance their ability to become better informed on the more essential aspects of basic grants management. The COPS Office wants grantees to be successful in implementing their grants. The COPS Office also wants to empower grantees with the ability to reduce potential noncompliance findings and to maximize every grant dollar awarded.

Grantees are strongly encouraged to review basic grants management practices and incorporate them as applicable to their agency or local government requirements. It is advised that grantees seek grants management training opportunities and take advantage of networking with other grantees to learn best practices in grants management. Grantees are also encouraged to reach out to their Grant Program Specialist for assistance.

These guidelines will cover general practices as they apply to the full grant life cycle (the pre-award, award, and post-award implementation). These are suggested guidelines. Each agency must determine how to incorporate the information with their current practices.

Types of awards

Grant

A grant is an award of financial assistance, the principal purpose of which is to transfer a thing of value from a federal agency to a recipient to carry out a public purpose of support or stimulation authorized by a law of the United States (see 31 U.S.C. 6101(3)). A grant is distinguished from a contract, which is used to acquire property or services for the Federal Government's direct benefit or use.

Cooperative agreement

A cooperative agreement is an award of financial assistance that is used to enter into the same kind of relationship as a grant; it is distinguished from a grant in that it provides for substantial involvement between the federal agency and the recipient in carrying out the activity contemplated by the award.

V. Basic Grants Management and Record-keeping Tips

Federal fiscal year

The federal fiscal year begins October 1 and ends on September 30. All grant awards from the COPS Office are dated no later than September 1 for the year in which the grant program is authorized.

COPS Office grant solicitations

The COPS Office will announce the open solicitation for grant programs during the federal fiscal year for which the grant program is authorized. The COPS grant funding opportunities may be found on the website at www.cops.usdoj.gov.

Preparing a grant file

Use a binder of sufficient size to keep all grant-related documents and other information developed while applying for, implementing, and closing out the grant award. Use alphabetical or numerical tabs to create distinct locations for the kinds of documentation being filed. Create a table of contents for each grant file that relates directly to the tabs used. Use this method for all grant awards to ensure that like documentation or other key information is kept in the same location in each binder for ready access and to help ensure accuracy and completeness.

The following is an example of a typical grant binder table of contents with associated tabs.

- A. Notice of funding or grant solicitation
- B. Approved grant abstracts and supplemental appropriations
- C. Signed application and attachment
- D. Application supporting documentation
 - Budget worksheet
 - List of verifiable sources used to obtain financial information to develop budget:
 - Current pay scale
 - Current fringe benefits—highest level of health coverage (family)
 - Current cost of annual and sick leave in fringe benefit allocation (do not double count)
 - Copies of current job announcements for sworn personnel historical budget allocation for backfilling sworn vacancies
 - Current locally budgeted sworn positions and supporting documentation (count only sworn from newest hired to highest law enforcement official such as sheriff, chief, commissioner, etc. that are part of the local police budget.)
 - Worksheets and other supporting information to document points of contact and other sources used to develop application

V. Basic Grants Management and Record-keeping Tips

- E. Grant award signed and unsigned
 - Grant award modification requests and COPS Office approvals
 - Special conditions to be implemented including required memoranda of understanding, partnership agreements, training requirements, or other special grant requirement that must be met
 - Future grant award period extension requests and COPS approvals
- F. Approved Financial Clearance Memorandum
 - Copy of the original approved Financial Clearance Memorandum (FCM)
 - Copy of the application budget and notes comparing the application to the FCM for adjustments or disallowed costs including actions taken to notify affected agency persons of these changes
 - Requests for budget modifications and COPS Office approvals for budget modifications (Please note: Grant funds may not be expended without prior approval from the COPS Office).
 - Sole source justification requests and COPS approval
 - Consultant rate increase requests and COPS approval
 - For tribal grantees ONLY: Copies of yearly approved indirect cost rates
- G. Federal Financial Reports (SF-425)

Quarterly financial reports should start with the first federal quarter being reported based upon the grant award start date. All COPS Office grant start dates will be dated no later than September 1 to obligate funding in the year Congress approved it prior to the next federal fiscal year. Therefore, grantees should always file the first SF-425 for the quarter ending September 30 (July 1 to September 30) for any portion of the quarter, regardless of whether or not expenditures have been made.

In general, tab G may be organized by assembling the SF-425 as the cover sheet for the quarter being reported, with copies of payroll spreadsheets; ledger accounts that specifically show grant expenditures and balances by cost category; copies of purchase orders and receipts that reflect allowable costs related to the quarter being reported; or other documentation such as sole source justifications, bid quotes, state contracts that allow purchases using the quoted price, and any applicable requests for consultant rate increases.

Depending on the number of years the grant award is authorized, there should be a corresponding number of quarters for the grant award—i.e., two-year grants should have eight quarterly financial reports, three-year grants should have twelve quarterly financial reports, etc.

V. Basic Grants Management and Record-keeping Tips

Therefore, under tab G, each quarterly documentation profile may appear as follows:

- SF-425
 - Supporting financial documentation that supports the drawdown request
 - Purchase orders, receipts, and copies of COPS Office-approved sole source justification requests and consultant rate requests, or copies of state contracts from which purchase was made
 - General ledger or account ledger information that shows the movement of grant funding
 - Payroll account information, as applicable, for salary and fringe benefits, overtime (if allowed), and other personnel costs
 - Drawdown documentation that corresponds to the SF-425 expenditures being reported
 - Other pertinent documentation related to expenditures or drawdowns for the quarter
- H. Quarterly progress reports required unless otherwise noted in the Grant Owner's Manual
- I. General correspondence
- General letters, emails, faxes, scanned documents
 - Specific requests for grant award extensions and modifications (tab E)
 - Budget modification requests, sole source requests, consultant rate requests (tab F)

Pre-award guidelines

Local authority to apply for federal funding

For new grant awards that precede the start of a local government's fiscal year, a grant abstract is submitted for approval within the local government process to anticipate the obligation of local revenue in the upcoming fiscal budget. This process normally covers expenditures during the grant award until quarterly reimbursements replace the local dollars expended. Notification is made in this process to the local executive office, local budget office, finance office, law enforcement agency expected to receive the award, and other local government offices as necessary to prepare for the award.

For grants that are awarded during a local government's fiscal year, typically, a supplemental appropriation is submitted for approval within the local government process to obligate funds for the remainder of the local fiscal year to allow the implementation of the grant. For the upcoming fiscal year, a grant abstract or other similar document is used to approve and allow the balance of the award to be incorporated in the next fiscal year to continue implementation.

Copies of this information should be kept for review by monitors or auditors.

V. Basic Grants Management and Record-keeping Tips

Application preparation

- Keep an electronically signed copy of the application in the grant binder.
- Ensure electronic signatures are obtained where necessary throughout application.
- Verify all information used on application.

Budget preparation

- Always use valid sources for developing grant budgets.
- Always seek to obtain bid quotes or other reliable means to determine costs.
- Network with internal government offices to determine points of contact for obtaining information.
- Network with external local government counterparts to develop best practices for budget development.
- Arrange to meet with budget, financial, and payroll staff to find solutions to tracking salary and fringe benefits based on the grant requirements and to set up grant budget accounts to track expenditures during the award period.
- Keep funding for each COPS Office grant award separate from other grant award funding to avoid commingling funds.
- Establish a point of contact with support staff in the legislative council to obtain council minutes that discuss approvals for grant funding, potential budget cuts that may adversely affect grant implementation, or the passage of measures that may impact the implementation of the grant award.
- Keep copies of council minutes and official and other communication (emails, faxes, and scanned documents) in the grant binder.
- Keep copies of locally budgeted and actual sworn staffing records to demonstrate the level of staffing at the time of the application.
- Keep copies of the government budget roll-up account and detailed account for the law enforcement agency that shows the level of funding at the time of application.

Active award guidelines

- Upon grant approval, convene a meeting with the key individuals who will be implementing the grant to discuss the timeline for grant implementation.
 - Changes to the original grant award must be discussed with the Grant Program Specialist. The Grant Program Specialist will help determine if the COPS Office must receive a request to approve changes to the scope of the original project.
 - Please note that grant modifications require prior approval from the COPS Office before expending grant funds.

V. Basic Grants Management and Record-keeping Tips

- Upon implementation of the grant award, always review bid quotes and other financial information to ensure the quotes remain valid.
- Be mindful of any cost savings from purchases to consider for future budget modifications.
- Consult with the Grant Program Specialist to determine the need for budget modifications (as necessary) to keep grant implementation on track.
- Continue to network with internal government offices and points of contact to ensure financial reports and reimbursements are completed under the terms and conditions of the award.
- Continue to network with external local government counterparts to develop best practices for grant budget development.
- Continue to meet with budget, financial, and payroll staff as necessary to adjust tracking salary and fringe benefits and other grant-related expenditures as allowed and approved by the FCM.
- Provide copies of the application budget and FCM as necessary to budget, financial, and payroll staff and other grant managers to ensure they are aware of what costs are allowable.
- Interact with human resources or personnel to obtain hiring lists of individuals to plan for grant-funded and locally funded positions.
- Monitor general ledgers and account ledgers developed with budget, finance, and payroll to ensure COPS Office grant funding remains separate from other grant funding to avoid commingling funds.
- Continue to interact with support staff in the legislative council or executive staff to obtain council minutes that discuss approvals for grant funding, potential budget cuts that may adversely affect grant implementation, or other passage of measures that may impact the implementation of the grant award.
- Continue to collect copies of council minutes and both official and other grant-related communication information (emails, faxes, and scanned documents) in the binder.
- Continue to obtain copies of locally budgeted and actual sworn staffing records at the start of each fiscal year to demonstrate the staffing levels for each year of the grant.
- Provide copies of the budget and detailed accounts for the law enforcement agency at the start of the fiscal budget cycle to demonstrate the level of funding for each year of the grant.
- Provide copies of progress reports as required by the Grant Owner's Manual.
- Contact your Grant Program Specialist when there is a question about the best way to proceed with grant implementation.

V. Basic Grants Management and Record-keeping Tips

Post-award guidelines

- During the last quarter of the original active grant award period, the COPS Office will send out a notification to each grantee offering a no cost extension opportunity to extend the grant award period. Grantees may request up to one half of the original grant period without timeline and explanation to continue grant implementation. No grant funds may be expended beyond the grant award end date.
- Grantees requesting greater than an 18-month grant extension must contact the COPS Office to obtain guidance.
- Grantees have 90 days from the grant award end date to file the final SF-425.
- After the award end date, the COPS Office will notify the grantee that the grant award closeout process will begin.
- Grantees must keep all grant records for three years following the most recent applicable date:
 - The date of official closure of the grant
 - The date of closure of the most recent compliance finding
 - The date of closure of an audit
- A grant may be closed and still be audited or have a compliance review. The Grant Monitoring Division strategically plans to conduct a series of site visits and enhanced office-based grant reviews (EOBGR) beginning each October 1 through September 30 for each federal fiscal year. Because of the timing for scheduling the site visits and EOBGRs, grants selected to be reviewed may have award end dates that may expire prior to the compliance review. The GMD is mandated by the U.S. Department of Justice Office of Justice Programs, Office of Office of Audit, Assessment, and Management (OAAM) to review 10% of the total amount of COPS Office grant funding for all active grant awards during each Federal fiscal year. To maintain the integrity of the selection process and to meet the 10% threshold of grant funds, it is sometimes necessary to select grants that have an award end date in October, November, or December that may not be reviewed until the following year (up through August).
- The COPS Office Grant Monitoring Division (GMD) will coordinate with the COPS Office Grants Administration Division (GAD) to suspend the closure of the grant award until such time as the compliance matter is resolved. The grantee must retain grant records for three years after the date of the compliance notification letter from GMD.

V. Basic Grants Management and Record-keeping Tips

- The Office of the Inspector General (OIG) also conducts reviews of COPS Office grants that may be either active or may be officially closed, but still eligible for an audit because the grant has been closed for less than three years. The OIG may still consider conducting an audit of a closed grant separately or in conjunction with other active grants.
 - The audit liaison staff will coordinate with the Grants Administration Division (GAD) to suspend the closure of the grant award until such time as the audit is officially closed by the Office of Inspector General (OIG). The grantee must retain grant records for three years from the date of the notification of closure of the audit.

Researching grants

The following federal websites are provided to research grant funding opportunities and learn about the grant programs being offered. Each federal fiscal year, U.S. Department of Justice agencies begin posting grant solicitations on these websites. The websites are also helpful in learning about the kinds of grant programs each agency offers, along with criteria for eligibility requirements to apply for funding. Interested law enforcement agencies should visit these sites regularly, because grant solicitations may be announced at any time during the federal fiscal year.

- U.S. Department of Justice Grant Resources
www.usdoj.gov/10grants/index.html
- Office of Community Oriented Policing Services (COPS Office)
www.cops.usdoj.gov
- Office of Justice Programs (OJP)
www.ojp.usdoj.gov
- Bureau of Justice Assistance (BJA)
www.ojp.usdoj.gov/bja
- Bureau of Justice Statistics (BJS)
www.ojp.usdoj.gov/bjs
- Office of Juvenile Justice Delinquency Prevention (OJJDP)
ojjdp.ncjrs.org
- National Institute of Justice (NIJ)
www.ojp.usdoj.gov/nij
- Office for Victims of Crime (OVC)
www.ojp.usdoj.gov/ovc

V. Basic Grants Management and Record-keeping Tips

Catalog of Federal Domestic Assistance (CFDA)—www.cfda.gov

The online Catalog of Federal Domestic Assistance provides access to a database of all federal programs available to state and local governments (including the District of Columbia); federally recognized Indian tribal governments; governments of territories (and possessions) of the United States; domestic public, quasi-public, and private profit and nonprofit organizations and institutions; specialized groups; and individuals. After you find the program you want, contact the office that administers the program and find out how to apply.

Grants.gov—www.grants.gov

[Grants.gov](http://www.grants.gov) allows organizations to electronically find and apply for competitive grant opportunities from all federal grant-making agencies. [Grants.gov](http://www.grants.gov) is the single access point for more than 900 grant programs offered by the 26 federal grant-making agencies.

Keys to a successful grant proposal

Remember: A successful grant proposal is one that meets the following criteria:

- It is thoroughly researched and planned including reasonable budget costs, timeline to implement, and applicability to need. In particular, input from all internal departments to address proper implementation requirements should be considered.
- It illustrates the importance of seeking support from internal and external stakeholders. Sharing information and being transparent within the law enforcement agency and with the external stakeholders will build greater trust and understanding among those that will be most impacted by the grant implementation.
- It is practical in determining the approach to achieve desired outcomes to maximize use of both grant-funded and non-grant-funded resources. Don't suggest outcomes that are beyond the scope of the grant or that cannot be achieved within the grant award period.
- It is accurately and completely assembled, including correct official signatures, assurances, and other pertinent information specific to the agency applying.
- It is logical and well written, concisely addressing goals and objectives. Avoid verbosity that clouds the scope of the grant and focus on the strategies to determine sound goals and objectives. Provide input from stakeholders and partnerships that include their participation and support of the grant program.
- It provides for measurement of outcomes consistent with the purpose and scope of the grant. Realistic goals and objectives will help to identify meaningful and substantive outcomes based on effective strategies that will help to ensure successful grant implementation.

VI. Overview of Compliance Areas and Review

The common compliance areas for all COPS Office grants includes allowable costs, community policing, local source and matching funds, financial and programmatic reporting, retention, and supplanting. In addition to these common compliance areas, some COPS Office grant programs are supplemented with other specific conditions or requirements. These areas are based upon the particular grant program to ensure grantees meet these conditions. COPS Office grant awards are legally binding agreements between the Federal Government and the grantee. By signing the grant award document, the awarded agency agrees to abide by the terms, conditions and requirements of the award. Each COPS Office grant award is signed by two primary officials, the government executive and the law enforcement executive. These two officials have the legal mandate to obligate their local, state, territorial, or tribal government to the terms, conditions, and requirements of the grant. More importantly, all official contact from the COPS Office with a grantee is through the government executive or the law enforcement executive, regardless of whoever else may be listed as a point of contact.

The government executive may be the governor, mayor, county executive, county manager, town manager, or an authorized designee of one of these positions. Tribal government executives may be the president or chairman of a tribal nation or reservation. The law enforcement executive may be the police commissioner, director of public safety, chief of police, or sheriff. During the life of the grant award, these officials may leave and be replaced; however, the grant award is still binding until it is closed. It is important to note that when these positions experience turnover, the grantee needs to access the COPS Office portal to update the agency contact information to help ensure that official correspondence will be received without delay. It is equally important to note that grantees who fail to keep agency contact information up to date risk potential noncompliance issues resulting from the non-delivery of important or time-sensitive messages (please see Section IV "Overview of the COPS Office Portal" on page 6 of this manual for further discussion regarding the importance of accurate agency contact information).

Common compliance areas

- **allowable costs.** The Financial Clearance Memorandum (FCM), included in the grant award package, specifies the amount of grant funds awarded to an agency. Grantees should carefully review the FCM, which contains the final officer salary and fringe benefit categories and amounts for which the grantee agency was approved. Please note that the salary and fringe benefit costs requested in any grant

VI. Overview of Compliance Areas and Review

program application may be adjusted or removed. Grantees may only be reimbursed for the approved cost categories that are documented within the FCM, up to the amounts specified in the FCM. Grantees may not use grant funds for any costs that are not identified as allowable in the FCM.

- **questioned costs.** Used to describe any costs identified as unallowable or unsupported in an audit finding. There is no noncompliance for questioned costs; it is simply a broad term used to generally indicate identified noncompliance for unallowable costs or unsupported costs.
- **unallowable costs.** Used to describe any costs that were not approved in the FCM or through an approved budget modification. Unallowable costs may also refer to excess drawdown of grant funds otherwise known as excess cash on hand.
- **unsupported costs.** Used to describe costs that may be allowable but do not have receipts or other documentation to support these grant-related costs.
- **community policing.** A philosophy that promotes organizational strategies that support the systematic use of partnerships and problem-solving techniques to proactively address the immediate conditions that give rise to public safety issues such as crime, social disorder, and fear of crime. Each COPS Office Hiring Program grant application requires grant applicants to submit a community policing plan that includes an overview of current community policing strategies being implemented and those community policing strategies that will be implemented as a result of receiving grant funding. The plan is subject to COPS Office approval to be eligible for funding. For COPS Hiring Program grants awarded since FY 2011, the community policing requirement also requires that grantees identify specific crime/disorder problem(s) originally identified in the approved community policing plan and strategies to address the problem(s).
- **local source and matching funds.** The requirement for matching funds may change from year to year for both hiring and non-hiring grant programs. The grant application guide for each grant program solicitation will specify if a local match is required. When local matching funds are required, grantees must contribute a local match towards the total cost of the approved grant project unless waived in writing by the COPS Office. The local match must be a cash match from funds not previously budgeted for law enforcement purposes and must be paid during the grant award period. For hiring grants, the local match contribution must be made on an increasing basis during each year of the three-year grant period with the federal share decreasing accordingly.

VI. Overview of Compliance Areas and Review

- **reporting.** To assist the COPS Office in monitoring awards, grantees will be responsible for submitting periodic programmatic progress reports and quarterly financial reports. Failure to submit required reports by the date due will result in a noncompliance violation.
 - **quarterly Federal Financial Reports (SF-425)** are required 30 days following the end of the quarter being reported: October 1 through December 31: SF-425 due on January 30th; January 1 through March 31: SF-425 due on April 30; April 1 through June 30: SF-425 due on July 30; July 1 through September 30: SF-425 due on October 30.
 - **program reports** are generally required on a quarterly basis unless otherwise specified in the grant award and Grant Owner's Manual (GOM).
- **retention.** At the time of grant application, grantees commit to retain all sworn officer positions awarded under the CHP or CHRP grant with state or local funds for a minimum of 12 months following the conclusion of 36 months of federal funding for each position over and above the number of locally funded sworn officer positions that would have existed in the absence of the grant. Grantees may not satisfy the retention requirement by using CHP or CHRP-funded positions to fill locally funded vacancies resulting from attrition. Remember, the retention requirement aims to increase (above the locally funded baseline) the number of sworn officer positions engaged in community policing activities.
 - **addendum to COPS Office retention policy on retention exemptions for recipients of the Tribal Resources Grant Program hiring grants (TRGP-Hiring).** When TRGP-Hiring grantees are unable to retain their grant-funded position(s), they may apply for a retention exemption and the COPS Office will conduct a standard compliance review of the retention requirement. If the grantees are exempted from the retention requirement, they will be notified of the opportunity to apply for continuation funding for the exempted grant position(s) through the next TRGP funding announcement in the Coordinated Tribal Assistance Solicitation (CTAS). The eligibility for tribal grantees seeking a continuation of TRGP hiring grant funding will be only for the positions that were exempted, and if the tribal grantee is approved for continuation funding, this funding will only be allowed on a one-time basis per grantee. If the tribal grantee has successfully demonstrated qualification for a retention exemption and is denied continuation funding, the one-year restriction from applying for and being awarded new grant funded positions with retention requirements will remain in effect per current compliance protocol. If the tribal grantee cannot demonstrate qualifying for an exemption from the retention requirement, per current compliance protocol the tribal grantee will be ineligible to apply for or receive any COPS Office grant funding for three years from the date of the notice of noncompliance for failure to retain, and the tribal grantee will also be ineligible for consideration for continuation funding.

VI. Overview of Compliance Areas and Review

- **supplanting.** State, local, and tribal governments must COPS Office funds to supplement, and not supplant, state, local, or BIA funds that are already committed or otherwise would have been committed for grant purposes (hiring, training, purchases, or activities) during the grant period. In other words, grantees may not use grant funds to pay for any item or cost funded under the grant if that item or cost was otherwise budgeted with state, local, or BIA funds from one area within the law enforcement budget to another as a result of receiving grant funds. For example, grantees who have budgeted funds to pay for new computer equipment may not reallocate those funds to pay for any other law enforcement cost as a result of receiving grant funds for the same computer equipment.

There are generally five types of supplanting that are reviewed for compliance:

1. **supplanting by reduction in force.** Occurs when a grantee reduces or eliminates the number of locally funded (locally budgeted) sworn positions while receiving COPS Office hiring funding during the active grant award period. COPS Office hiring grant funding is used to supplement, not supplant (or replace) local funds.
2. **supplanting by vacancy.** Occurs when a grantee hires COPS Office-funded positions and fails to take active and timely steps to backfill the locally funded vacancies. COPS Office grantees must take active and timely steps through their standard recruiting and hiring procedures to fill vacancies arising in their locally funded sworn officer (depending on the type of grant) positions. Any delay in filling locally funded vacancies must not be a direct result of receiving COPS Office grant funds.
 - A situation independent of the grant may prevent the grantee from adhering to historical practices, such as a local hiring freeze, a pending litigation, or an officer's deployment to military leave, and may result in a delay in filling locally funded vacancies. If grantees deviate from their standard hiring procedures in these or other cases, documentation should demonstrate the reasons for the deviation. If, after reviewing all pertinent documentation, the grantee has demonstrated that the delays occurred for a reason unrelated to the COPS grant, a supplanting violation has not occurred.
 - If grantees do not have formal documented procedures for hiring and recruiting, historical practices may be used as evidence of standard procedures. In the situation where grantees have continued to follow those historical practices for filling vacancies in locally funded positions during the period of the grant, the nonsupplanting requirement is met.

VI. Overview of Compliance Areas and Review

For grantees without formal written guidelines, the following items are examples of information that could be considered in evaluating active recruiting and timely filling of vacant locally funded positions:

- If the grantee typically hires replacement law enforcement officers from a civil service list of certified candidates, confirmation from the grantee or a civil service official showing that the grantee followed historical practices in requesting, reviewing, or interviewing from the list during the grant period
- If the grantee hires replacements to coincide with state, local, or law enforcement agency training academies, verification from the grantee or an academy official showing that the grantee followed similar practices after the grant award start date
- If the grantee claims that high turnover rates make it difficult to fill all vacancies quickly, evidence prior to the grant period showing that the high turnover rates reflect the grantee's historical hiring and attrition patterns
- If the grantee is filling both COPS Office-funded positions and locally funded positions, both should be filled at approximately the same rate. If a grantee fills COPS Office-funded vacancies at an unreasonably faster rate, it must justify that its reasons for doing so are unrelated to the receipt of COPS Office grant funding

The existence of locally funded vacancies (of any number) during the grant period is not, by itself, a violation of grant requirements, as long as the grantee can demonstrate that it is taking active and timely steps to fill those vacancies or that delays in filling the positions are unrelated to the receipt of COPS Office grant funds.

Grantees experiencing a delay in filling locally funded vacancies may contact the COPS Office to request written guidance on whether the delay complies with the nonsupplanting requirement.

3. **supplanting early hire.** Occurs when a grantee hires sworn positions before the grant award start date without prior approval from the COPS Office and subsequently draws down reimbursement for salary and fringe benefits.
4. **supplanting early purchase.** Occurs when a grantee purchases items before the grant award start date without prior approval from the COPS Office and subsequently draws down reimbursement for salary and fringe benefits.
5. **supplanting local funds previously budgeted.** Occurs when local budgets are approved prior to a COPS Office grant award, and the local funds are not used as originally intended because the COPS Office funding was used to supplant (replace) local funding. Local budgets must be implemented as approved, while COPS Office funding must be used to supplement, not supplant, local budgets. **Please be advised that grantees may not use COPS Office funding for the same item or service also funded by another U.S. Department of Justice award.**

VI. Overview of Compliance Areas and Review

Terms, conditions, and requirements

Every COPS Office grant award has terms, conditions, and requirements, including any special conditions that are listed numerically on the back side of the grant award. Generally, these terms, conditions, and requirements are applicable to all grantees; however, in some instances, there may be exceptions based on the amount of the grant award, the type of grant award, and the manner in which it will be implemented (on a contractual, subrecipient, or other basis). Before any grant funds may be expended, the grant award must be signed by the government executive and the law enforcement executive and received by the COPS Office within 90 days.

The COPS Office wants every grantee to be successful in the implementation of their grant award. Grantees should always contact their Grant Program Specialist (GPS) to seek guidance or clarification for any of the terms, conditions, requirements, or special conditions to ensure they adhere to these standards. You may contact your GPS at 800-421-6770 or ask.COPS@usdoj.gov.

In addition to the terms, conditions, and requirements of each grant award, there may be special conditions or other additional requirements to meet to ensure that collaborative partnerships or task forces are formally established, that training requirements are met, or that the primary grant award recipient implements standards for subrecipients to ensure compliance.

All federal grant awards are governed by the Office of Management and Budget (OMB) Super Circular (www.omb.gov/Supercircular), which describes precisely what every grantee must do to properly implement their grant awards. Grantees are encouraged to familiarize themselves with this circular as it applies to their government or non-government entity.

Compliance violations, nonviolations, and remedies

A compliance review may originate from a variety of sources including site visits, enhanced office-based grant reviews, and internal and external referrals. The compliance review process for COPS Office grants involves four key elements:

1. Identifying the general area of noncompliance
2. Rule that governs the area of compliance
3. Analyzing the facts
4. Conclusion of finding and remedy

Compliance reviews are handled exclusively by the Grant Monitoring Division (GMD). The GMD receives referrals that are evaluated by the Alleged Noncompliance Review Desk (ANCR) to determine the validity of the allegation and to assign it to GMD staff. Once a compliance issue has been identified and assigned, the Grant Monitoring Specialist (GMS) contacts the grantee to request documentation related to the nature of noncompliance. The GMS then conducts an internal review of COPS Office documentation and related grant files. The general

VI. Overview of Compliance Areas and Review

rule for each compliance area is also reviewed. The GMS analyzes the information to determine compliance, substantial compliance, or noncompliance. If the grantee is in compliance, the COPS Office sends a letter documenting the determination. The COPS Office instructs grantees to keep a copy of the letter in their grant file(s). If the grantee is in noncompliance, the COPS Office notifies the grantee of the violation.

Violation and nonviolation are findings that result from compliance review. Compliance and noncompliance are determinations that consider the finding. In limited circumstances, some compliance reviews may result in noncompliance but warrant a finding of a non-violation. In these instances, the COPS Office will make a nonviolation finding based upon adequate supporting documentation and the grantee's explanation. The most important thing to remember is that in order for the COPS Office to make a valid nonviolation compliance determination the grantee must adequately demonstrate that the noncompliance did not occur as a result of receiving COPS Office grant funding and would have occurred even in the absence of the grant.

A violation finding leads to a noncompliance determination when a grantee fails to adhere to any of the terms, conditions or requirements of the rule that governs the standard for compliance. The remedy for any violation will result in one of three actions to bring the grantee back into compliance:

1. Repayment of grant funds
2. Provision of adequate documentation
3. Combination of repayment of grant funds and adequate documentation

Once a grantee repays grant funds or provides adequate documentation to remedy the compliance violation, a letter is sent to the grantee advising that the compliance issue has been resolved and the matter is closed. In cases where the grantee disagrees with the noncompliance violation, including the facts surrounding the compliance issue, the grantee may appeal the compliance violation to the COPS Office Legal Division for resolution. Once a compliance issue has been appealed to the Legal Division by the grantee, the GMS who conducted the compliance review provides the compliance file to the Legal Division and is no longer involved in the matter. During the appeal, the Legal Division is solely responsible for working with the grantee to remedy and close the compliance issue.

VII. Overview of Administrative Requirements

The administrative grant requirements are similar to compliance in that failure to adhere to these requirements may lead to noncompliance issues. Every grant award package contains the congratulatory notification, grant award, grant terms and conditions, applicable special conditions, the Financial Clearance Memorandum (FCM), and the Grant Owner's Manual (GOM) for the specific grant program. Throughout the life of the grant award, grantees may need to contact their Grant Program Specialist (GPS) to coordinate changes to the grant award or budget modifications to ensure effective and efficient grant implementation. It is imperative that each grantee work closely with their respective GPS to ensure that all administrative requirements are met in an accurate, complete and timely manner to avoid potential noncompliance findings and to maximize the use of grant funds to successfully implement their grants.

One of the most important things to remember while implementing a grant award is to document required actions. Whenever there is a significant need to modify the grant award, the scope of the grant, or the grant budget, each request must be completed in the COPS Office Portal. The modification may be discussed over the phone, but the COPS Office does not acknowledge a phone call as a formal request. Typically, the GPS will provide guidance on how to submit the request and will acknowledge the permissibility of making the modification, but until the grantee submits a request via the COPS Office Portal, the modification will not be approved. Once received by the COPS Office, the GPS will begin working on the request.

It is important for grantees to remember that modification-dependent grant funds may not be expended until the COPS Office has formally approved the modification. Grantees who expend funds without prior approval from the COPS Office risk having to repay grant funds for unallowable costs, which will impact the continued implementation of the grant.

The most common modification requests include the following:

- **budget modifications.** These are the most common requests and generally involve moving grant funds from one budget category to another to address changes in the amount of the grant award, the scope of the grant program or project, cost savings realized, or other mitigating factors that will impact the grant implementation. Grantees must not expend any grant funds related to a budget modification until they receive prior written approval from the COPS Office.
- **grant award modifications.** These typically change the number of officers funded or change the hiring category of an officer (new hire, pre-award layoff, or post-award layoff) or the amount of the grant award.

The COPS Office requires prior approval for other administrative requirements, such as sole source justification requests, consultant rate changes that exceed the daily limit, and grant award end date extensions. As with modifications, these items require prior approval from the COPS Office.

VIII. Overview of Site Visits and Enhanced Office-Based Grant Reviews

Site visits and enhanced office-based grant reviews (EOBGR) are the two primary functions conducted by GMD to proactively review grants for compliance. Site visits consist of traveling from Washington, D.C. to meet with state, local, territorial, and tribal grantees to conduct compliance reviews of grants and community policing activities and to provide customer service and technical assistance to grantees. Grantees selected for a site visit are usually notified by phone to arrange a mutually convenient date for the site visit (generally four to six weeks in advance to accommodate travel arrangements). In many instances, the Grant Monitoring Specialist is arranging site visits with other grantees in the geographical area for the same week. Once the site visit dates have been confirmed, a confirmation letter is sent to the grantee along with the one-day agenda and related grant worksheets (to complete ahead of the site visit). Prior to the site visit, grantees are encouraged to communicate with the Grant Monitoring Specialist regarding any questions or concerns.

Site visits

Site visits may be conducted solely by the COPS Office or in conjunction with the Office of the Chief Financial Officer (OCFO). The OCFO is a component of the Office of Justice Programs (OJP) and conducts monitoring reviews on COPS grants as well as OJP grants. The COPS Office and the OCFO will coordinate to conduct joint site visits with selected grantees.

Typically, site visits take one day, and the agenda will involve an entrance interview to explain the purpose of the site visit and review of specific grants. The grantee is provided examples of the COPS Office problem oriented policing (POP) guides. In addition, grantees are also provided publications that are developed by the COPS Office in conjunction with other DOJ components, criminal justice practitioners, law enforcement professionals and organizations, and academic institutions to advance community policing.

After the entrance interview, the Grant Monitoring Specialist (GMS) conducts an administrative, financial, and programmatic review of the agency's grants. The Grant Monitoring Specialist works with the grantee to identify noncompliance or to provide technical assistance to avoid noncompliance. Typically, when the grant review is concluded, the Grant Monitoring Specialist may begin to conduct community policing interviews with law enforcement members, community and business leaders, school officials and school resource officers, and other interested individuals who are working with the law enforcement agency to conduct community policing or problem-solving activities. The GMS will also visit communities and locations where community policing is being implemented, such as schools, neighborhood watch meetings, and business establishments. During the exit interview, the GMS will recap the compliance reviews, meetings, and community visits.

VIII. Overview of Site Visits and Enhanced Office-Based Grant Reviews

Enhanced office-based grant reviews

The purpose of the EOBGR is to serve as a supplemental activity in support of our overall grant monitoring strategy. It is intended to provide grant monitoring oversight to agencies without traveling to meet them. The Grant Monitoring Specialist will notify the grantee to make arrangements for the EOBGR, followed by the official notification letter and an agenda.

During this initial phone call, a second mutually convenient date will be arranged with the grantee to conduct a videoconference or teleconference within seven days of receipt of the requested documentation. Grantees will also be instructed in the notification letter to arrange for community members and law enforcement members to be available for interviews during the videoconference or teleconference. Within 30 days from the date of EOBGR notification, grantees must provide the requested documentation for review seven days prior to the date of the videoconference. The time limitations allow the Grant Monitoring Specialist sufficient time to review the documentation prior to the videoconference or teleconference date. Grantees who fail to comply with the request in a timely manner may be subject to a notice of noncompliance for failure to provide documentation. This may result in one or more actions to suspend or freeze grant funding until such documentation is provided.

Upon completion of the documentation review, the Grant Monitoring Specialist will initiate the videoconference or teleconference to conduct an administrative, financial, and programmatic review of the grants. When this portion is completed, the grantee will coordinate community policing interviews. At the conclusion of the videoconference or teleconference, an exit interview will recap compliance and community policing reviews and provide grantees with guidance for any follow-up actions.

IX. Overview of COPS Office Hiring Grant Programs

Grant Owner's Manual

All COPS Office hiring and non-hiring grants have a Grant Owner's Manual (GOM) included with the grant award package. The GOM is a necessary resource for all grant managers and persons responsible for implementing the administrative, financial, and programmatic requirements of each grant. Every COPS Office grant program has a specific GOM for each year of the active grant program. Each GOM is vetted annually by the COPS Office to ensure the content is accurate and consistent with the scope of the grant program for each new round of funding and incorporates the latest changes or updates for each specific hiring or non-hiring grant program.

All grantees should familiarize themselves with the terms, conditions, special conditions, and requirements of the grant award before accepting and signing it. Once the grantee accepts, signs, and returns the grant award, the GOM provides guidance and other key information that will significantly assist with implementing the grant award(s) successfully.

As a resource, the GOM is an excellent guide to provide an in-depth understanding of

- grant acceptance, terms, and conditions;
- compliance requirements;
- administrative requirements;
- access to grant funds;
- financial record maintenance;
- federal audit requirements;
- requirements for financial and progress reports;
- community policing activities;
- requirements for the end of the grant period.

If the GOM does not provide requested information, grantees should seek assistance by contacting their Grant Program Specialist. Grantees may seek further information regarding grant award programs or answers to questions about the COPS Office by contacting the COPS Office Response Center at 800-421-6770 or through e-mail at ask.Cops@usdoj.gov.

IX. Overview of COPS Office Hiring Grant Programs

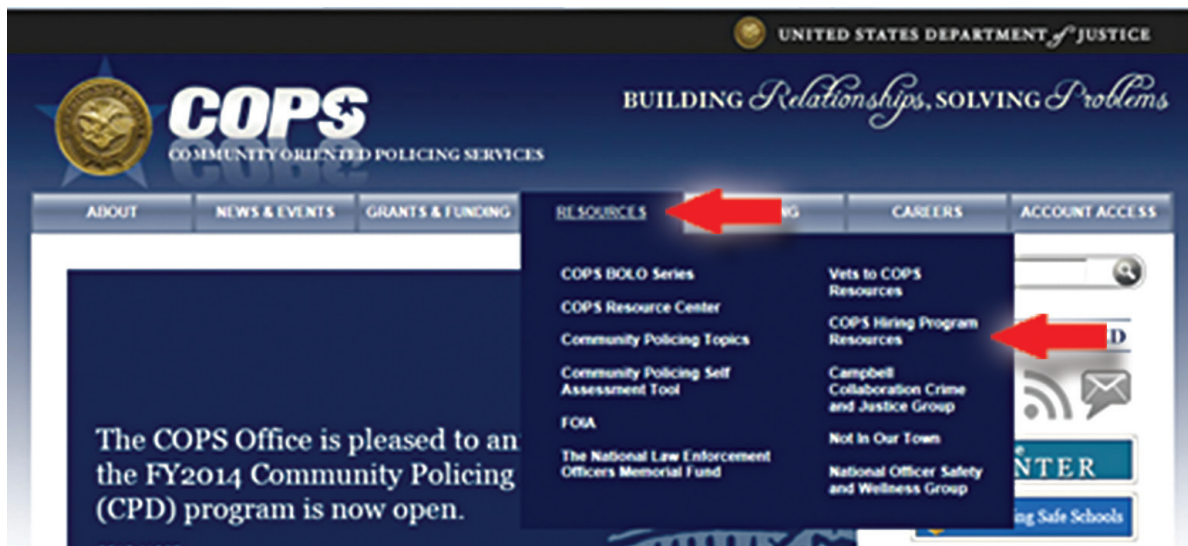
Accessing the Grant Owner's Manual on the Internet

To access the Grant Owner's Manual for any of the COPS Office grant award programs, go to the COPS Internet website, www.cops.usdoj.gov. On the COPS home page, locate "Resources" on the banner bar and roll the cursor over "Resources" to open the drop-down window. From the list shown, select, "COPS Hiring Program Resources" and open the link. When the page opens, locate the search window and type "Grant Owner's Manual" or the acronym, "GOM," in the field and press enter. When the next page appears, select the appropriate GOM based on the grant year and grant program.

PLEASE NOTE: Grant requirements have the potential to change from year to year, so make sure to select the correct GOM based on the appropriate grant year and grant program. Example: If you have a CHP 2012 grant award, do not use the CHP 2011 GOM for reference.

Go to "Resources", then select "COPS Hiring Program Resources" and click on the link.

Figure 6. COPS hiring program resources



IX. Overview of COPS Office Hiring Grant Programs

Next, type "Grant Owner's Manual" or the acronym, "GOM," into the search field, and press "enter."

Figure 7. Searching for the Grant Owner's Manual



Figure 8. GOM search results



IX. Overview of COPS Office Hiring Grant Programs

As a reminder, grantees should read the back of their grant award and subsequent pages as well as the Financial Clearance Memorandum and other grant award documents for important conditions or requirements that must be met. The GOM references much of the information in these documents.

Grantees should become familiar with the GOM and refer to it regularly to address questions regarding administrative, financial, or programmatic requirements. Grantees should also use the grant FAQs.

If the GOM or other resources do not fully address grant award concerns or questions, grantees should seek assistance by contacting their Grant Program Specialist. Grantees may also seek further information regarding grant award programs or questions about the COPS Office by contacting the COPS Office Response Center at 800-421-6770 or through e-mail at ask.Cops@usdoj.gov.

Basic requirements for all hiring grants

All current COPS Office CHRP, CHP, and Tribal Resources Grant Program-Hire (TRGP-Hiring) grants have the same basic requirements, such as the definition of a career law enforcement officer, the time requirements for grant implementation and retention, and the limitation on what is approved for allowable salary and fringe benefit costs. Each new hiring grant program may introduce additional year-specific special conditions or requirements specific to the grant award. Requirements may include local match, hiring veterans, school resource officer hiring and deployment requirements, and programmatic requirements to track community policing efforts. It is important to become familiar with both the general requirements and the year-specific requirements of any COPS Office hiring grant program. Grantees should refer to the GOM specific to each hiring grant program for more detailed information.

The following topics address requirements that are generally common to all COPS hiring grant programs:

Career law enforcement officer

All persons hired under a COPS Office hiring grant as a sworn law enforcement officer must meet the definition of a career law enforcement officer as defined by the COPS statute. 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, or public agency to engage in or supervise the prevention, detection, or investigation of criminal law violations. 42USC §3796dd-8(1).

Allowable and unallowable costs for hiring grants

Allowable costs will be paid for by the grant program. The only allowable costs under the COPS CHRP, CHP, and TRGP-Hiring (*but also see other special allowable costs under TRGP-Hiring Grants section*) hiring grants are approved entry-level salaries and fringe benefits as described in the

IX. Overview of COPS Office Hiring Grant Programs

grant application and approved in the grant award document for the year in which the grant was given. Allowable costs will be clearly identified and authorized in the approved budget and the Financial Clearance Memorandum (FCM) and defined in the specific grant year for each Grant Owner's Manual (GOM).

COPS Office hiring grant funding is based on an agency's entry-level full-time sworn officer salary and approved fringe benefits at the time of grant application or updated grant application. Any additional costs for higher than entry-level salaries and fringe benefits are the responsibility of the grantee agency. Any approval from the COPS Office must be made via COPS Office Portal and must be approved *before* expending any grant funds related to the modification request.

Grantees may not modify salary using fringe benefits or increase fringe benefits using salary. Any modification request for fringe benefits will not result in an increase in grant funding. An approved modification request will move fringe benefit costs from one fringe benefit category to another.

Grantees must not calculate annual leave, vacation, or disability (sick) leave costs simultaneously under both salary and fringe benefit costs to avoid inflating actual costs. Grantees who fail to separate these costs appropriately may be found in noncompliance. Resolution of the non-compliance issue may result in the repayment of grant funds or a reduction in award amount.

Unallowable costs under the COPS Office CHRP and CHP grants are any items other than allowable entry-level salaries and fringe benefits as described in the grant application. Unallowable costs are also the disallowed fringe benefits in the original grant application. Unallowable costs and reductions are identified on the Financial Clearance Memorandum (FCM) or other grant award documents.

Therefore, requests for equipment, training, uniforms, and vehicles are not permitted under the COPS Office CHRP and CHP hiring programs. Unallowable costs also include, but are not limited to, the following:

- Salaries and fringe benefits of existing locally funded officers unless those officers are currently scheduled to be laid off on a specific future date
- Salaries and fringe benefits over and above an agency's entry-level salary and fringe benefits for officers
- Salaries and fringe benefits for civilian/non-sworn personnel
- Salaries and fringe benefits for part-time officer positions
- Salaries and fringe benefits for furloughed officers
- Overtime costs
- Ammunition

IX. Overview of COPS Office Hiring Grant Programs

- Assault weapons
- Construction/renovation costs
- Dogs (K-9)
- Office equipment (copiers, fax machines, etc.)
- Office furniture (desks, chairs, file cabinets, etc.)
- Supplies (stamps, paper, pencils, pens, stationery, etc.)
- Office rental space
- Phone lines/utilities/voice-mail system
- Vehicle leasing or rental agreements
- Vehicle fuel, parts, services, maintenance, registration, title, licenses
- Prisoner transport vehicles

36 months of implementation for each sworn position funded

All COPS Office hiring grants are three-year grants, and each position awarded must be implemented for 36 months. The COPS Office tracks the positions awarded, *not the officers who staff those positions*. Therefore, the grantee must accurately track the officers hired under the grant by position to ensure that when grant-funded positions are vacated during the 36-month period, the grantee takes active and timely steps to backfill vacancies to ensure that each position remains on track to be fully implemented for 36 months.

In addition, during the grant award period, grantees may need to backfill locally sworn positions and grant-funded positions simultaneously. In some cases, the grantee needs to determine whether to backfill a local vacancy over a grant-funded vacancy. For multiple vacancies occurring at one time, it may be to the advantage of the grantee to consider backfilling local and grant-funded vacancies at a 1:1 ratio. Essentially, this means that for every local backfill position hired, the grantee may wish to hire a grant-funded backfill position to ensure keeping the grant on track for completing 36 months in a timely manner while also addressing local vacancies. Overall, *the key is for grantees to take active and timely steps to backfill local vacancies to avoid possible supplanting issues.*

Retention for 12 months for each sworn position funded

Under the COPS Office hiring programs, retention is defined as using local funds to continue employing the additional officer position(s) awarded under the COPS Office hiring grant for 12 months at the conclusion of the 36-month funding period for each position. The additional

IX. Overview of COPS Office Hiring Grant Programs

positions must be retained over and above all locally funded sworn officer positions that would exist in the absence of the grant. Retention therefore may not be achieved by absorbing COPS officers into locally funded vacancies through attrition.

Again, grantees will need to continue to maintain budgeted and actual staffing levels to avoid supplanting during this retention period, especially if there are still grant-funded positions remaining to complete 36-months of grant implementation. *The key is for grantees to take active and timely steps to backfill local vacancies to avoid possible supplanting issues.*

Grant award modification for new hire and rehire positions (CHRP and CHP)

If a grantee's ability to hire has changed since submitting the grant application or the grant award, specifically the need to change the type of hiring grant award from new hire to rehire or rehire to new hire, *grantees must first contact their Grant Program Specialist before expending any grant funds to avoid noncompliance.*

In the case of new hires specifically for sworn entry-level or laterally transferred officers, the COPS statutory nonsupplanting requirement mandates that CHRP, CHP, and TRGP-Hiring funds *must be used to supplement (increase) the grantee's law enforcement budget for sworn officer positions and may not supplant (replace) state, local, or Bureau of Indian Affairs funds that a grantee would otherwise have spent on sworn officer positions in the absence of the grant.*

Community policing strategy for all COPS Office hiring grants

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

The CHRP and CHP grant programs are designed to assist agencies in creating and preserving sworn officer jobs and to increase their community policing capacity and crime prevention efforts. This is achieved through problem-solving techniques and community policing partnerships. It enhances police professionalism by providing officers with the skills and motivation to act in innovative ways to solve community crime-related problems.

Each grantee law enforcement organization may be monitored or audited to ensure that it is initiating or enhancing community policing in accordance with their proposed plan. The COPS Office may also use this information to understand the needs of the field and potentially provide for training, technical assistance, problem solving, and community policing implementation tools.

IX. Overview of COPS Office Hiring Grant Programs

Community policing activities to be implemented or enhanced by each grantee were identified in the grant application. It is important to remember that community policing needs may change during the life of the grant, and consequently it may be necessary to change the community policing plan identified in the grant application. Each grantee has developed a community policing plan for the grant with specific reference to a crime or disorder problem and the following elements of community policing:

- problem solving — the grantee's plan to assess and respond to the problem(s) identified
- community partnerships — support-related governmental and community initiatives that complement the grantee's proposed use of grant funding
- organizational transformation — how the grantee will use the funds to reorient its mission to community policing or enhance its involvement in and commitment to community policing

Before any community policing plan changes are implemented by the grantee, the grantee must submit them to the COPS Office for approval. Grantees should first contact their Grant Program Specialist to discuss any changes to the original community policing plan. All newly hired, additional, or rehired officers (or an equal number of redeployed veteran officers) funded under CHP *must engage in community policing activities.*

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Hiring grants

The following section provides an overview for COPS Office hiring grant programs by year and specific requirements that are unique to those hiring programs. Please note that as new requirements are introduced, they may become standard for future grant awards.

COPS Hiring Recovery Program (CHRP) 2009–2010 (American Recovery and Reinvestment Act)

* **Special note:** All CHRP award funds must be expended by May 31, 2015. Grantees should check their most recent grant award extension approval letter for their latest CHRP grant award end date. No CHRP grant award will be extended beyond May 31, 2015. Any CHRP awarded funds not properly obligated and drawn down by August 31, 2015 will be forfeited. Grantees who fail to fully implement the required 36 months for any positions awarded will no longer be eligible for reimbursement of salary or fringe benefits beyond August 31, 2015, and will be required to fund these positions using local funds.

The COPS Hiring Recovery Program (CHRP) was a competitive grant program designed to address the full-time sworn officer needs of state, local, and tribal law enforcement agencies nationwide. CHRP provided funding directly to law enforcement agencies to hire new or rehire career law enforcement officers in an effort to create and preserve jobs and to increase their community policing capacity and crime-prevention efforts. Up to \$1 billion in grant funding was appropriated for this initiative through the American Recovery and Reinvestment Act of 2009.

Nearly 7,300 CHRP applications requesting over 39,000 officers and \$8.3 billion in funds were submitted to the COPS Office. From these applications, the COPS Office awarded CHRP grants to 1,046 grantees throughout each of the 50 states, Puerto Rico, Guam, and the Marianas to provide funding for 4,699 officers for a total of \$999,955,434.

The funding under this project provided 100 percent funding over three years (for a total of 36 months of funding) for career law enforcement officer positions at entry-level salaries and benefits for newly hired, full-time sworn officer positions or for rehired officers who have been laid off or were scheduled to be laid off on or after the official grant award start date. Any CHRP-funded officer position with salary and fringe benefit costs that are higher than entry level as approved on the Financial Clearance Memorandum must be paid for by the grantee with local funds.

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Every grantee is required to use CHRP grant funds for the specific hiring categories awarded. Funding under this program may be used for the following categories:

- Hiring new officers, which includes filling existing officer vacancies that are no longer funded in your agency's budget due to state, local, or tribal budget cuts
- Rehiring officers who had already been laid off at the time of application as a result of state, local, or tribal budget cuts
- Rehiring officers who were, at the time of application, scheduled to be laid off on a future date as a result of state, local or tribal budget cuts

If a grantee's ability to hire has changed since submitting their CHRP 2009 grant application or upon receiving their grant award, specifically the need to change the type of hiring grant award from new hire to rehire or rehire to new hire, grantees must first contact their Grant Program Specialist before expending any grant funds to avoid potential noncompliance findings.

In the case of new hires specifically for sworn entry-level or laterally transferred officers, the COPS statutory nonsupplanting requirement mandates that CHRP, CHP, and TRGP-Hiring funds *must be used to supplement (increase) the grantee's law enforcement budget for sworn officer positions and may not supplant (replace) state, local, or Bureau of Indian Affairs funds that a grantee would otherwise have spent on sworn officer positions in the absence of the grant.*

Allowable costs include the salaries and approved fringe benefits for three years (36 months) for new sworn entry-level, lateral-transfer, or rehired officers. Under the COPS CHRP Program, up to 100% of the approved entry-level salary and fringe benefits actually incurred could be paid by grant funds.

All grantees are responsible for reviewing their FCM to determine which costs have been approved, disallowed, or adjusted. Grantees will need to compare the FCM to their application budget to determine what budget changes may have occurred. If a grantee has a question about the approved costs on the FCM, they should contact their Grant Program Specialist before expending grant funds. Each FCM also has a "Comment" field to provide grantees further instruction or explanation of other budgetary actions.

Community policing activities to be implemented or enhanced by each grantee were identified in the grant application. It is important to remember that community policing needs may change during the life of the CHP grant, and consequently it may be necessary to change the

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community policing plan. Each grantee has developed a community policing plan for the grant with specific reference to a crime or disorder problem and the following elements of community policing:

- problem solving — the grantee’s plan to assess and respond to the problem(s) identified
- community partnerships and support-related governmental and community initiatives that complement the grantee’s proposed use of funding
- organizational transformation — how the grantee will use the funds to reorient its mission to community policing or enhance its involvement in and commitment to community policing

Before any community policing plan changes are implemented by the grantee, the grantee must submit them to the COPS Office for approval. Grantees should first contact their Grant Program Specialist to discuss any changes to the original community policing plan. All newly hired, additional, or rehired officers (or an equal number of redeployed veteran officers) funded under CHP *must engage in community policing activities*.

COPS Hiring Program (CHP) 2010–present

There was extremely high demand for COPS CHRP hiring grants during fiscal year 2009, and the COPS Office retained 6,147 of FY 2009’s unfunded applications in pending status. In 2010, the COPS Office introduced the COPS Hiring Program (CHP) to continue to provide funding directly to state, local, and tribal law enforcement agencies to hire new or rehire career law enforcement officers in an effort to create and preserve jobs and to increase their community policing capacity and crime-prevention efforts.

Beginning with CHP 2010, each successive CHP grant award year introduced new conditions and requirements to broaden the scope of the CHP grant program to enhance community policing efforts, target crimes, and provide law enforcement agencies with the ability to assess their community policing strategies. CHP 2010 and 2011 continued to provide 100 percent funding for approved entry-level salaries and fringe benefits of full-time officers for 36 months of grant funding.

For CHP 2012, CHP 2013, and CHP 2014, the COPS Office reintroduced the grant funding requirement for a minimum of 25 percent local matching funds and a 75 percent federal funding cap up to \$125,000 of approved entry-level salaries and fringe benefits of full-time officers for 36 months of grant funding.

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Each of the CHP grant awards is discussed in detail below to address the specific special conditions or requirements for each specific CHP grant year. If grantees have any questions regarding their CHP grant awards for a particular funding year, grantees may go to the COPS website www.cops.usdoj.gov to review the Grant Owner's Manual specific to the CHP grant year. Grantees may also contact their Grant Program Specialist or contact the COPS Response Center at 800-421-6770.

COPS CHP grant 2010

In FY 2010, \$298 million in grant funding was appropriated for the COPS Hiring Program through the 2010 Consolidated Appropriations Act. At the end of the CHP 2010 application update period, 4,423 law enforcement agencies requested more than \$2.2 billion to fund the hiring of more than 10,000 officers. This included updating their data and these agencies were considered for funding. The COPS Hiring Program (CHP) is designed to advance community policing by addressing the full-time sworn officer needs of state, local, and tribal law enforcement agencies nationwide. The COPS Office awarded the \$298 million in CHP grant awards to 379 law enforcement agencies to hire 1,388 additional full-time sworn law enforcement officers. CHP 2010 provided 100 percent funding for approved entry-level salaries and fringe benefits of full-time officers for 36 months of grant funding.

CHP grants provided 100 percent funding for approved entry-level salaries and fringe benefits of full-time officers for three years (36 months) of grant funding. These grants may be used on or after the official grant award start date to

- hire new officer positions (including filling existing officer vacancies that are no longer funded in an agency's budget);
- rehire officers already laid off (at the time of grant application) as a result of state, local, or Bureau of Indian Affairs (BIA) budget reductions unrelated to the receipt of grant funding;
- rehire officers scheduled to be laid off (at the time of grant application) on a specific future date as a result of state, local, or BIA budget reductions unrelated to the receipt of grant funding.

Additionally, the request of any agency with a sworn force strength less than or equal to 20 was capped at one officer. Agencies whose eligible requests were partially funded in FY 2011 had their eligible requests reduced by the number of positions they were awarded in FY 2011.

If a grantee's ability to hire has changed since submitting their CHP 2010 grant application or upon receiving their grant award, specifically the need to change the type of hiring grant award from new hire to rehire or rehire to new hire, grantees must first contact their Grant Program Specialist before expending any grant funds.

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In the case of new hires specifically for sworn entry-level or laterally transferred officers, the COPS Office statutory nonsupplanting requirement mandates that CHRP, CHP, and TRGP-Hiring funds must be used to supplement (increase) the grantee's law enforcement budget for sworn officer positions and may not supplant (replace) state, local, or Bureau of Indian Affairs funds that a grantee would otherwise have spent on sworn officer positions in the absence of the CHP grant.

Allowable costs include the salaries and approved fringe benefits for three years (36 months) for new sworn entry-level, lateral-transfer, or rehired officers. All grantees are responsible for reviewing their FCM to determine what costs have been approved, disallowed, or adjusted. Grantees will need to compare the FCM to their application budget to determine what budget changes may have occurred. If a grantee has a question about the approved costs, they should contact their Grant Program Specialist before expending grant funds. Each FCM also has a "Comment" field to provide grantees further instruction or explanation of other budgetary actions.

Community policing activities to be implemented or enhanced by each grantee were identified in the grant application. It is important to remember that community policing needs may change during the life of the grant, and consequently it may be necessary to change the community policing plan. Each grantee has developed a community policing plan for the grant with specific reference to a crime or disorder problem and the following elements of community policing:

- problem solving — the grantee's plan to assess and respond to the problem(s) identified
- community partnerships and support-related governmental and community initiatives that complement the grantee's proposed use of CHP funding
- organizational transformation — how the grantee will use the funds to reorient its mission to community policing or enhance its involvement in and commitment to community policing

Before any community policing plan changes are implemented by the grantee, the grantee must submit them to the COPS Office for approval. Grantees should first contact their Grant Program Specialist to discuss any changes to the original community policing plan. All newly hired, additional, or rehired officers (or an equal number of redeployed veteran officers) funded under CHP *must engage in community policing activities*.

Grantees are expected to track community policing progress based upon their strategy to include the achievement of goals and objectives for dealing with problem solving, targeted crime or social issues, partnerships with stakeholders, the defined roles of participants, measurement of outcome to determine the effectiveness of the strategy, and other factors related to the strategy. (Please refer to the 3.0 Community Policing Progress Report at the COPS Office Portal at www.cops.usdoj.gov.)

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COPS CHP grant 2011

In FY 2011, \$243 million in grant funding was appropriated for the COPS Hiring Program by Congress. The COPS Office awarded the \$243 million in CHP grant awards to 238 agencies for law enforcement agencies to hire, preserve or rehire 1,021 additional full-time sworn law enforcement officers. CHP grants provided 100 percent funding for approved entry-level salaries and fringe benefits of full-time officers for three years (36 months) of grant funding. These grants may be used on or after the official grant award start date to

- hire new officer positions (including filling existing officer vacancies that are no longer funded in an agency's budget);
- rehire officers already laid off (at the time of grant application) as a result of state, local, or Bureau of Indian Affairs (BIA) budget reductions unrelated to the receipt of grant funding;
- rehire officers scheduled to be laid off (at the time of grant application) on a specific future date as a result of state, local, or BIA budget reductions unrelated to the receipt of grant funding.

Additionally, the request of any agency with a sworn force strength less than or equal to 20 was capped at one officer. Agencies whose eligible requests were partially funded in FY 2011 had their eligible requests reduced by the number of positions they were awarded in FY 2011.

If a grantee's ability to hire has changed since submitting their CHP 2011 grant application or upon receiving their grant award, specifically the need to change the type of hiring grant award from new hire to rehire or rehire to new hire, grantees must first contact their Grant Program Specialist before expending any grant funds to avoid potential noncompliance violations.

In the case of new hires specifically for sworn entry-level or laterally transferred officers, the COPS Office statutory nonsupplanting requirement mandates that CHRP, CHP, and TRGP-Hiring funds must be used to supplement (increase) the grantee's law enforcement budget for sworn officer positions and may not supplant (replace) state, local, or Bureau of Indian Affairs funds that a grantee would otherwise have spent on sworn officer positions in the absence of the CHP grant.

Allowable costs include the salaries and approved fringe benefits for three years (36 months) for new sworn entry-level, lateral-transfer, or rehired officers. Under the COPS Office CHRP Program, up to 100% of the approved entry-level salary and fringe benefits actually incurred could be paid by grant funds.

All grantees are responsible for reviewing their FCM to determine which costs have been approved, disallowed, or adjusted. Grantees will need to compare the FCM to their application budget to determine what budget changes may have occurred. If a grantee has a question about the approved costs they should contact their Grant Program Specialist before expending grant funds. Each FCM also has a "Comment" field to provide grantees further instruction or explanation of other budgetary actions.

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Community policing activities to be implemented or enhanced by each grantee were identified in their CHP grant application. It is important to remember that community policing needs may change during the life of the CHP grant, and consequently it may be necessary to change the community policing plan.

Each CHP grantee has developed a community policing plan for the CHP grant with specific reference to a crime or disorder problem and the following elements of community policing:

- problem solving — the grantee's plan to assess and respond to the problem(s) identified
- community partnerships and support-related governmental and community initiatives that complement the grantee's proposed use of CHP funding
- organizational transformation — how the grantee will use the funds to reorient its mission to community policing or enhance its involvement in and commitment to community policing

Before any community policing plan changes are implemented, the grantee must submit those changes in writing to the COPS Office for approval. Grantees should first contact their Grant Program Specialist to discuss any changes. All newly hired, additional, or rehired officers (or an equal number of redeployed veteran officers) funded under CHP must engage in community policing activities.

The Community Policing-Self Assessment Tool (CP-SAT) was developed by the COPS Office, ICF International, and the Police Executive Research Forum to provide agencies with the ability to measure the organization's community policing initiatives and provide them direction. The CP-SAT essentially consists of a short community policing survey. The survey will be administered to the grantee agency's staff. The COPS Office, through a third-party provider, will conduct this survey and support the entire process, minimizing any burden on the grantee agency's staff. Agencies awarded CHP funding will be provided with additional information on the CP-SAT at the beginning of the grant award period.

In addition to the CP-SAT for CHP 2011, grantees are also expected to track community policing progress based upon their strategy. This should include the achievement of goals and objectives for dealing with problem solving, targeted crime or social issues, partnerships with stakeholders, the defined roles of participants, measurement of outcome to determine the effectiveness of the strategy, and other factors related to the strategy. *(Please refer to the 3.0 Community Policing Progress Report at the COPS Office Portal at www.cops.usdoj.gov.)*

COPS CHP grant 2012

In FY 2012, the COPS Office awarded \$111 million in 2012 CHP grants to more than 200 law enforcement agencies to hire, preserve, or rehire 800 full-time career law enforcement officers.

Under the 2012 CHP Program, all agencies' awards were capped at no more than 5 percent of their actual sworn force strength as reported in their application, a maximum of 15 officers for jurisdictions that service a population less than one million, and a maximum of 25 officers for

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jurisdictions that service a population more than one million. Agencies may be able to modify their grant award to become exempt from this requirement. However, these requests will require review on a case-by-case basis.

* **Special note** on local matching funds for CHP 2012 and future CHP grants: Starting with CHP 2012 and continuing for future CHP grant awards, the local matching funds requirement will be in force unless rescinded.

CHP 2012 grants provide up to 75 percent of the approved entry-level salaries and fringe benefits of full-time officers for a 36-month grant period, with a minimum 25 percent local cash match requirement and a maximum federal share of \$125,000 per officer position. These grants may be used on or after the official grant award start date to

- hire new officer positions who are military veterans (including filling existing officer vacancies that are no longer funded in an agency's budget);
- rehire officers already laid off (at the time of updated application) as a result of state, local, or Bureau of Indian Affairs (BIA) budget reductions unrelated to the receipt of grant funding;
- rehire officers scheduled to be laid off (at the time of updated application) on a specific future date as a result of state, local, or BIA budget reductions unrelated to the receipt of grant funding.

In the absence of a waiver, the grantee must pay the local match before the end of the grant funding period.

Waivers are approved on a case-by-case basis based on severe fiscal distress. Qualifying agencies may receive a partial waiver, in which 90% of the project costs are paid by federal funds with a corresponding 10% local cash match, or a full waiver:

Grantees are recommended to "pay as you go" during each quarter of the grant award to ensure that the local match is fully paid by the conclusion of 36 months for each position funded. Grantees must be able to identify the source of matching funds, the amount paid, and the timing of the payments. The local cash match requirement follows the logic that the COPS Program supplies grant money to law enforcement agencies to initiate or enhance community policing.

* **Special note** for CHP 2012: The FY 2012 CHP solicitation funded salary and approved fringe benefits for a new hire of a military veteran. A military veteran is defined as "an individual who served on active duty at any time in the armed forces for a period of more than 180 consecutive days," any part of which occurred on or after September 11, 2001, and who has been discharged or released from active duty in the armed forces under honorable conditions. Salaries for any new hires other than military veterans will be considered unallowable costs. It is the grantee's responsibility to maintain and provide documentation to demonstrate compliance with this condition. Such documentation may

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include the DD-214 or similar military discharge documentation that clearly shows the dates of service and who has been discharged or released from active duty in the armed forces under honorable conditions. Officers used to backfill COPS funded positions under the CHP 2012 must also be veterans as defined under this requirement.

If an agency's economic condition changes after receiving a CHP grant resulting in layoffs, and the agency wishes to change the hiring category, the COPS Office will only consider a modification request into the rehire category for post-application layoffs after an agency has submitted a final budget for approval or made personnel decisions.

In the case of new hires specifically for sworn entry-level or laterally transferred officers, the COPS statutory nonsupplanting requirement mandates that CHP funds must be used to supplement (increase) the grantee's law enforcement budget for sworn officer positions and may not supplant (replace) state, local, or Bureau of Indian Affairs funds that a grantee would otherwise have spent on sworn officer positions in the absence of the CHP grant.

All grantees are responsible for reviewing their FCM to determine which costs have been approved, disallowed, or adjusted. Grantees will need to compare the FCM to their application budget to determine what budget changes may have occurred. If a grantee has a question about the approved costs on the FCM, they should contact their Grant Program Specialist before expending grant funds. Each FCM also has a "Comment" field to provide grantees further instruction or explanation of other budgetary actions.

Community policing activities to be implemented or enhanced by each grantee were identified in the CHP grant application. It is important to remember that community policing needs may change during the life of the CHP grant, and consequently it may be necessary to change the community policing plan.

Grantees are expected to track community policing progress based upon their strategy to include the achievement of goals and objectives for dealing with problem solving, targeted crime or social issues, partnerships with stakeholders, the defined roles of participants, measurement of outcome to determine the effectiveness of the strategy, and other factors related to the strategy. *(Please refer to the 3.0 Community Policing Progress Report at the COPS Office Portal at www.cops.usdoj.gov.)*

Each CHP grantee has developed a community policing plan for the CHP grant with specific reference to a crime or disorder problem and the following elements of community policing:

- problem solving — the grantee's plan to assess and respond to the problem(s) identified
- community partnerships and support-related governmental and community initiatives that complement the grantee's proposed use of CHP funding
- organizational transformation — how the grantee will use the funds to reorient its mission to community policing or enhance its involvement in and commitment to community policing

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Before any community policing plan changes are implemented, the grantee must submit those changes in writing to the COPS Office for approval. Grantees should first contact their Grant Program Specialist to discuss any changes. All newly hired, additional, or rehired officers (or an equal number of redeployed veteran officers) funded under CHP must engage in community policing activities.

COPS CHP grants 2013

In FY 2013, the COPS Office awarded \$125 million in grants under CHP 2013 to 263 law enforcement agencies to hire or rehire 937 full-time career law enforcement officers. CHP 2013 grant funding is based on an agency's entry-level full-time sworn officer salary and fringe benefits at the time of updated grant application. Any additional costs for higher than entry-level salaries and fringe benefits are the responsibility of the grantee agency.

All agencies' awards were capped at no more than five percent of their actual sworn force strength as reported in their application. This includes a maximum of 10 officers for agencies that serve a population less than one million, and a maximum of 15 officers for agencies that serve a population of one million or more. Any agency with a sworn force strength less than or equal to 20 was capped at one officer.

* **Special note** for CHP 2013: The local matching funds requirement will be in force for CHP 2013.

CHP 2013 grants provide up to 75 percent of the approved entry-level salaries and fringe benefits of full-time officers for a 36-month grant period with a minimum 25 percent local cash match requirement and a maximum federal share of \$125,000 per officer position. These grants may be used on or after the official grant award start date to

- hire new officer positions, which includes filling existing officer vacancies that are no longer funded in an agency's budget;
- rehire officers laid off by any jurisdiction as a result of state, local, or Bureau of Indian Affairs (BIA) budget cuts;
- rehire officers who were, at the time of grant application, scheduled to be laid off (by your jurisdiction) on a specific future date as a result of state, local, or BIA budget cuts.

* **Special note** for CHP 2013: There will continue to be a focus on hiring post-9/11 veterans (additional consideration will be given for an affirmative commitment at the time of application to hire at least one of the officer positions requested as a military veteran—but it will not be a grant requirement as it was in FY 2012), as well as the rehire of officer positions that have been laid off, or are scheduled to be laid off.

Grantees are encouraged to "pay as you go" during each quarter of the grant award period to ensure that the local match is fully paid by the conclusion of 36 months for each position funded. Grantees must be able to identify the source of matching funds, the amount paid,

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and the timing of the payments. The local cash match requirement follows the logic that the COPS Office supplies grant money to law enforcement agencies to initiate or enhance community policing.

Waivers are approved on a case-by-case basis based for severe fiscal distress. Qualifying agencies may receive a partial waiver, in which 90% of the project costs are paid by federal funds with a corresponding 10% local cash match, or a full waiver in which 100% of the project costs are paid with federal funds. *In the absence of a waiver, the grantee must pay the local match before the end of the grant funding period.*

Community policing activities to be implemented or enhanced by each grantee were identified in their CHP grant application. It is important to remember that community policing needs may change during the life of the CHP grant, and consequently it may be necessary to change the community policing plan.

Each CHP grantee has developed a community policing plan for the CHP grant with specific reference to a crime or disorder problem and the following elements of community policing:

- problem solving — the grantee's plan to assess and respond to the problem(s) identified
- community partnerships and support-related governmental and community initiatives that complement the grantee's proposed use of CHP funding
- organizational transformation — how the grantee will use the funds to reorient its mission to community policing or enhance its involvement in and commitment to community policing

Before any community policing plan changes are implemented, the grantee must submit those changes in writing to the COPS Office for approval. Grantees should first contact their Grant Program Specialist to discuss any changes. All newly hired, additional, or rehired officers (or an equal number of redeployed veteran officers) funded under CHP must engage in community policing activities.

COPS CHP grants 2014

* **Please note:** The FY 2014 CHP open solicitation ended June 23, 2014. Because the grant funding available had not been approved at the time of the grant monitoring standards and guidelines update, the number of grants awarded and the total amount of grant funds awarded will be addressed in the next update.

The CHP 2014 grant program is designed to advance public safety through community policing by addressing the full-time sworn officer needs of state, local, and tribal law enforcement agencies nationwide. CHP provides funds directly to law enforcement agencies to hire new or rehire career law enforcement officers and to increase their community policing capacity and crime prevention efforts.

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CHP 2014 grants will provide up to 75 percent of the approved entry-level salaries and fringe benefits of full-time officers for a 36-month grant period with a minimum 25 percent local cash match requirement and a maximum federal share of \$125,000 per officer position. CHP 2014 grants may be used on or after the official grant award start date to

- hire new officers (including filling existing officer vacancies that are no longer funded in an agency's budget);
- rehire officers already laid off by any jurisdiction (at the time of application) as a result of state, local, or Bureau of Indian Affairs (BIA) budget reductions;
- rehire officers scheduled to be laid off by your jurisdiction (at the time of application) on a specific future date as a result of state, local, or BIA budget reductions.

CHP 2014 applicants may request funding in one or more of the above-referenced hiring categories.

Grantees are expected to track community policing progress based upon their strategy to include the achievement of goals and objectives for dealing with problem solving, targeted crime or social issues, partnerships with stakeholders, the defined roles of participants, measurement of outcome to determine the effectiveness of the strategy, and other factors related to the strategy. *(Please refer to the 3.0 Community Policing Progress Report at the COPS Office Portal at www.cops.usdoj.gov.)*

Highlights of the CHP 2014 grant program additional consideration was given to applicants that selected one of the following community policing problem areas:

- homeland security: To include protecting critical infrastructures, information/intelligence problems, and other homeland security problems.
- homicide/gun violence: The COPS Office supports the attorney general's priority goal of reducing violent crime, especially if it is gun related.
- school-based policing through SROs: Applicants requesting officer positions(s) in order to deploy SROs must deploy all their officer positions as SROs.
 - If awarded CHP funding, CHP grantees will not be allowed to change officers' deployments post-award.
 - CHP grantees that use CHP funding to deploy SROs will be required to submit the contact information for each school partner where they intend to deploy the SROs and to provide a memorandum of understanding between the CHP grantee and the school partner.
- trust problems: To include issues of fairness and impartiality, transparency problems, respect problems, and other trust-related problems.

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- * **Special note:** CHP 2014 grantees that choose one of the community policing problem areas listed above will not be allowed to change it post-award.

Under CHP 2014, additional consideration may also be given for

- applicants indicating that they have experienced an unanticipated catastrophic event, who will be required to submit an attachment documenting the event or incident as part of their application;
- applicants who have a neighborhood or other geographic area designated as a promise zone as part of the President's Promise Zone Initiative;
- applicants who commit to hiring or rehiring at least one military veteran. The COPS Office supports the Attorney General's commitment to hiring military veterans whenever possible. Applicants who commit to hiring or rehiring at least one military veteran under CHP will receive additional consideration for CHP funding. These military veterans may be in any of the three hiring categories: new hire, rehire, or rehire scheduled to be laid off. As in previous years, a military veteran hire must have served on active duty for a period of at least 180 days, any part of which occurred on or after September 11, 2001, and have been discharged or released from active duty in the armed forces under honorable conditions.

Tribal Resources Grant Program-Hiring (TRGP-Hiring)

- * **Special note:** The TRGP-Hiring grant is listed under the Coordinated Tribal Assistance Solicitation (CTAS) in program area #1, along with TRGP-E/T and the COPSTribal Methamphetamine Program.

The Tribal Resources Grant Program (TRGP-Hiring) grants provide funding directly to federally recognized tribal jurisdictions with established law enforcement agencies. TRGP-Hiring grants may only be used to pay entry-level salaries and approved fringe benefits for 36 months for career law enforcement officers hired or rehired on or after the award start date. TRGP-Hiring grants may be used to hire or rehire experienced officers, but grant funding must be limited to paying your agency's entry-level salary and fringe benefits; any costs higher than entry level must be paid by your agency with local funds. When a TRGP-Hiring grantee is not able to retain their grant-funded position(s), the TRGP-Hiring grantee may apply for a retention exemption and the COPS Office will conduct a standard compliance review of the retention requirement. If the TRGP-Hiring grantee is exempted from the retention requirement, the grantee will be notified of the opportunity to apply for continuation funding for the exempted grant position(s) through the next TRGP announcement in the Coordinated Tribal Assistance Solicitation (CTAS). The eligibility for tribal grantees seeking a continuation of TRGP hiring grant funding will only be for the positions that were exempted, and if the tribal grantee is approved for continuation funding, this funding will only be allowed on a one-time basis per grantee. If the tribal

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grantee has successfully demonstrated qualification for a retention exemption and is denied continuation funding, the one-year restriction from applying for and being awarded new grant funded positions with the retention requirement will remain in effect per current compliance protocol. If the tribal grantee cannot demonstrate qualification for an exemption from the retention requirement, per current compliance protocol the tribal grantee will be ineligible to apply for or receive any COPS Office grant funding for three years from the date of the notice of noncompliance for failure to retain, and the tribal grantee would also be ineligible for consideration for continuation funding.

In FY 2010, the U.S. Department of Justice (DOJ) issued a single Coordinated Tribal Assistance Solicitation (CTAS) that encompasses the Department's available tribal government-specific grant programs. CTAS enabled each tribe to submit a single application for available grant funding according to the tribes' needs. This coordinated process allowed DOJ to review a single application from a tribe, and it allowed the DOJ grant-making components to coordinate in making award decisions to address these public safety needs on a more comprehensive basis.

The CTAS 2010 included the TRGP-Hiring grant program in CTAS Purpose Area #1: Public Safety and Community Policing, which consisted of two types of grants: TRGP-Hiring grants were for entry-level salaries and benefits for newly hired or rehired career law enforcement officers, and the TRGP-Equipment/Training (TRGP-E/T) grants provided funding for background investigations, training, uniforms, basic issue equipment, technology, and vehicles for tribal law enforcement agencies.

To support community policing, particularly the development of partnerships and problem solving, 2010 TRGP grantees were offered training and technical assistance by COPS Office providers. The training assisted tribal grantees in the advancement of community policing and identified specific public safety issues facing tribal communities.

Non-hiring grants

The COPS Office supports a wide range of program initiatives that are focused on specific crimes or social issues. Congress appropriates funding for these programs in response to constituents and law enforcement to reduce crime and crime-related activities, promote crime prevention, enhance community policing through investigation and enforcement, and address a variety of social issues such as collaboration reform and racial reconciliation. Generally, all non-hiring grants have a working budget that identifies the personnel, fringe benefits, equipment/technology, supplies, consultants/contracts, travel, training, and other costs related to the program or project initiative.

The successful implementation of non-hiring grants requires that grantees remain in compliance during the grant award period. Grantees should read the Grant Owner's Manual (GOM) for their grant awards; become familiar with the terms, conditions, and requirements for their

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grant; and work closely with their Grant Program Specialist to incorporate changes to the grant award that may require COPS Office written approval prior to expending grant funds. No grant funds should be expended or reimbursed for changes that have not received prior written approval from the COPS Office. Grantees who fail to obtain prior written approval from the COPS Office risk noncompliance for unallowable or unsupported costs, and may be required to repay them.

The following guidelines are essential for implementation of non-hiring grants:

- Develop a strategy for implementation including a feasible timeline and measurement of outcome to gauge the effectiveness of the strategy.
 - Prior approval is required from the COPS Office for any significant changes in the approved application strategy that impacts the budget or program outcome based on these strategy changes.
- Adhere to the original budget, continuing to ensure that grant funds expended are allowable and accurate and expenditure records are maintained.
 - Prior approval is required from the COPS Office for budget modifications prior to expending grant funds.
 - Grantees may seek one or more budget modifications to move grant funds from one budget category to another.
- A sole source justification request should be submitted if a grant recipient determines that the award of a contract through a competitive process is not feasible and if one or more of the following circumstances apply:
 - The item/service is only available from one source
 - The public exigency or emergency for the requirement will not permit a delay resulting from competitive solicitation
 - Competition is determined inadequate after solicitation of a number of sources
- Prior written approval is required from the COPS Office for sole source procurements in excess of \$100,000 prior to purchasing equipment, technology, or services; obligating funding for a contract; or entering into a contract with grant funds.
- The consultant rate is \$550 daily.
 - Prior written approval is required from the COPS Office for any increase that exceeds the \$550 daily consultant rate.
- Grantees should always consult with their Grant Program Specialist to coordinate any changes to the grant strategy or budget. *The COPS Office may discuss grant changes but does not give verbal approval for any official changes.*

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The following section provides an overview for COPS Office non-hiring grant programs and specific requirements that are unique to those hiring programs. Please note, that as new requirements are introduced, they may become standard for future grant awards:

Tribal Resources Grant Program-Equipment/Training (TRGP-E/T)

The COPS Tribal Resources Grant Program Equipment/Training (TRGP-E/T) grants provide funding directly to federally recognized tribal jurisdictions with established law enforcement agencies. TRGP was designed to expand the implementation of community policing and meet the most serious needs of law enforcement in tribal communities through a broadened comprehensive program.

Funding under TRGP-E/T grants is for the purchase of background investigations, training, uniforms, basic issue equipment, technology, vehicles, and other items approved by the COPS Office as reflected in the Financial Clearance Memorandum (FCM). The TRGP-E/T grant funds the purchase of items that have a link to the implementation or enhancement of community policing initiatives in tribal law enforcement agencies. To be eligible for payment under this grant, the purchase of approved items must be made after the grant award start date. Tribal grantees will not be able to make drawdowns if the SF-425 financial report for the most recent reporting quarter is not on file with the COPS Office by the due date.

TRGP-E/T allowable costs

* **Special note:** The TRGP-E/T grant is listed under the Coordinated Tribal Assistance Solicitation (CTAS) in program area #1, along with TRGP-Hiring and COPS Tribal Methamphetamine Program grants.

Allowable costs under the TRGP-E/T grant program may include:

- **background investigations.** Background investigations are allowable for newly hired officer positions if other funding (state, local, or BIA) was not budgeted for the same investigation. Investigations must be completed before expenses can be reimbursed. Funded background investigations may not be initiated prior to the official award start date.
- **training.** Funds that may have been awarded for otherwise unfunded expenses associated with sending recruits to a state academy that will train and certify tribal police officers; to the BIA Indian Police Academy in Artesia, New Mexico; or to basic training from an established academy that trains Indian police officers, such as the Navajo Nation's Academy. Grant funding may only be used for one cycle of basic training per officer. The grantee agency will be responsible for any additional costs associated with an officer not completing basic training on the first attempt.
 - **community policing and problem solving training and specialized law enforcement training** in such topics as counterterrorism, family violence, and crime prevention and detection; other recognized training related to Indian country jurisdictional issues may

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also be considered for TRGP-E/T grant funding. Only requests for training by recognized training providers such as the Federal Law Enforcement Training Center (FLETC), the FBI, the BIA Indian Police Academy, a state police academy, COPS Regional Community Policing Institutes (RCPI), or a tribal community college will be considered. In addition, funding may be used to attend training conferences such as the National Native American Law Enforcement Association's (NNALEA) annual training conference or any COPS Office-sponsored conference.

- Recognized law enforcement academy or state academy training costs may include training instruction fees, academy tuition, course fees, textbooks, manuals, supplies, and travel in connection with the training (transportation, lodging, per diem, etc.) if the training location is located more than 50 miles from the tribal grantee's law enforcement headquarters. If the recognized law enforcement academy or state academy does not charge for the training, then the tribal grantee law enforcement agency will be reimbursed only for travel costs in connection with the academy training. Tribal law enforcement grantees that send recruit officers to the BIA Indian Police Academy will be reimbursed for travel costs only, as there is no cost for tuition at the BIA Indian Police Academy for tribal officers.
- **computer training.** For systems, hardware, or software that tribal grantees currently maintain and own but may not be utilizing to the fullest extent due to a lack of training are also considered as allowable under the TRGP-E/T grant. TRGP-E/T applicants must demonstrate that the computer training enhances law enforcement activities, particularly in support of community policing. TRGP-E/T funding may only be used for such computer training costs not already funded in the applicant's budget with state, local, or BIA funds.
 - **off-site training.** Training to increase tribal capacity to operate a crime information gathering system compatible with the FBI Uniform Crime Reporting System may also be considered as allowable under the TRGP-E/T grant.
- **uniforms and basic issue equipment.** This line item may include any of the following:
 - Batons and baton holders
 - Bicycle helmets
 - Bulletproof vests/body armor
- * **Special note:** Any bulletproof vest purchased under TRGP-E/T must meet National Institute of Justice (NIJ) standards, as shown on the list of acceptable vests included in appendix D of the TRGP GOM.
 - Dress uniforms (dress coat, dress shirts, dress pants, ties)
 - Standard uniforms (uniform shirts, trousers, ties, belts)
 - Footwear (dress shoes, athletic shoes, boots)

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- Gas masks
- Gun belts and belt accessories
- Handcuffs and cases/holders
- Hats/caps/gloves
- Hazmat suits
- Holsters
- Identification badge(s)/other insignia (nameplates, etc.)
- Manuals, reference books, notebooks, etc.
- Miscellaneous items issued to police recruits (e.g., flashlights, templates, and whistles)
- Other standard issue apparel/uniform accessories (subject to approval)
- Outerwear (raincoat, coat, jacket, reflective vest)
- Pepper spray and holders
- Portable/mobile radios and holders
- Primary issue handguns
- Rescue equipment (first aid kits, diving gear, flotation devices, etc.)

Any item not listed may be requested at time of application for COPS Office approval or disapproval on a case-by-case basis. Grantees may contact their Grant Program Specialist for further information.

■ **equipment and technology.** Purchases are allowed under TRGP-E/T. To be eligible for payment under this grant, the purchase of equipment and technology must occur on or after the award start date, the items purchased must be those specifically applied for and approved by the COPS Office as listed on the Financial Clearance Memorandum (FCM), and the purchased items must meet the guidelines described in 28 C.F.R. Part 66 or 28 C.F.R. Part 70, as applicable. Equipment or technology purchased on or after the award start date must be in addition to purchases that the grantee is obligated or funded to make in its current budget. Funds currently allocated from other sources to purchase equipment or technology may not be reallocated to other purposes or reimbursed upon the award of a TRGP-E/T grant. Allowable equipment and technology may include such items as the following:

- Automated booking systems
- Automated fingerprint identification systems
- Breathalyzers
- Cell phones (no airtime minutes allowed)
- Communication systems including narrow band upgrade equipment

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- Computer aided dispatch (CAD) systems/dispatch systems
- Computer hardware
- Computer software
- Conducted energy devices
- Crime mapping software
- Global positioning systems (GPS)
- Hardware/software upgrades
- In-car video cameras
- Interoperable communications technology
- Mobile data computers/laptops/terminals
- National Crime Information Center (NCIC) systems
- National Incident-Based Reporting System (NIBRS)/UCR compliant crime data systems
- Night vision equipment
- Records management systems (RMS)
- Satellite phones

The items purchased must be those specifically applied for and approved by the COPS Office. Any item not listed may be requested at time of application for COPS Office approval or disapproval on a case-by-case basis. Grantees may contact their Grant Program Specialist for further information.

- **police vehicles.** These are also allowed under the TRGP-E/T grant. Such allowable items may include:
 - Basic vehicle accessory packages (emergency lights, sirens, vehicle markings and paint scheme, and other special mounting brackets for radios, computers, and weapons)
 - Special conveyances such as sport utility vehicles, bicycles, motorcycles, snowmobiles, and ATVs

The items purchased must be those specifically applied for and approved by the COPS Office. Any item not listed may be requested at time of application for COPS Office approval or disapproval on a case-by-case basis. Grantees may contact their Grant Program Specialist for further information.

- **travel costs.** For transportation, lodging, subsistence, and related items are allowable under the TRGP-E/T grant if specifically approved by the COPS Office. For grantees subject to 2 C.F.R. Chapter I, Chapter II, Part 200, et al., travel costs incurred directly by the grantee or costs incurred for project-related non-grantee travel will be reimbursed based upon the grantee's written institutional travel policy (if available) and if the costs are reasonable and allocable under the project.

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In the absence of an acceptable and available tribal government travel policy, allowable per diem travel costs for lodging, meals, and incidentals will be reimbursed based on the established *GSA per diem rates for the relevant geographic area*. Per diem rates may be located on the GSA website at www.gsa.gov.

Allowable airfare travel costs will be reimbursed based upon the lowest discount commercial airfare, the Federal Government contract airfare, if authorized and available, or standard coach airfare. For grantees subject to 48 C.F.R. Part 31.000, et seq. (FAR-31.2) Cost Principles for Commercial Organizations, travel costs incurred directly by the grantee will be reimbursed if the costs are reasonable and allocable under the project.

Travel costs for lodging, meals, and incidental expenses may be reimbursed based upon per diem, actual expenses, or a combination of these methods, as long as the reimbursement rate does not exceed established GSA per diem rates as set forth in the federal travel regulation. Transportation costs may be reimbursed based on mileage rates, actual costs incurred, or a combination of these methods.

Grantees are responsible for keeping accurate and legible records for all travel expenses. This includes maintaining receipts and other documentation to demonstrate actual costs associated with all travel expenditures. Failure to maintain proper documentation may require the grantee to repay grant funds or pay for such expenses from local funds.

Only those approved costs as identified on the FCM are allowable; however, if at any time these costs change, grantees should immediately contact their Grant Program Specialist to obtain a grant modification. Grantees who expend funds on unapproved travel costs will be required to repay them.

- **supplies.** Items purchased must be used solely for the project identified in the TRGP-E/T grant application. Reimbursements for office supplies that are consumed by routine administrative purposes instead of project-related activities are prohibited.

Items purchased must meet the guidelines described in 28 C.F.R. 66.33 or 28 C.F.R. 70.35, as applicable, and must be those items the grantee applied for and the COPS Office approved. Any item not listed may be requested at time of application for COPS Office approval or disapproval on a case-by-case basis. Grantees may contact their Grant Program Specialist for further information.

- **contracts/consultants.** Compensation for individual consultant services procured under the TRGP-E/T grant must be reasonable and allocable in accordance with OMB cost principles, and consistent with costs paid for similar services in the marketplace. Unless otherwise approved by the COPS Office, consultant rates will be based on the salary a consultant receives from his or her primary employer, as applicable, up to \$550 per day. For consultant

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or contractor rates that exceed \$550 per day, the COPS Office requires written justification. If the consultants or contractors are hired through a noncompetitive bidding process, grantees must receive COPS Office approval before drawing down grant funds. Requests to exceed the \$550 per day rate will be considered on a case-by-case basis.

- **other costs.** TRGP-E/T grants may include purchases of grant-related expenditures that do not conform to any other category descriptions as specified in previous budget areas and approved in the FCM. In addition, items that have a direct correlation to the overall success of a tribal grantee's project objectives and that are necessary for the project to reach full implementation may be considered on a case-by-case basis for approval by the COPS Office. Grantees may contact their Grant Program Specialist for further information.
- **indirect costs.** Costs that are incurred for common or joint purposes and are not readily assignable to a particular project but are necessary to the operation of the tribal agency and the implementation of the project. Examples of indirect costs may include those incurred for facility operation and maintenance, depreciation, and administrative salaries. An approval plan establishes an indirect cost rate or allocation plan for the recipient of federal funds. Without an approval plan, funds budgeted for indirect costs will not be recoverable by the recipient. If the approved indirect cost rate is lower than the actual indirect cost rate incurred, the recipients may not charge expenses included in overhead pools (for example: accounting services, legal services, building occupancy, and maintenance) as direct costs.

Indirect costs must adhere to the standards set forth in the applicable Office of Management and Budget (OMB) costs principles for your entity, 2 C.F.R. Chapter I, Chapter II, Part 200, et al. Tribal grantees must ensure that the indirect cost rate (ICR) is current for the period in which it was approved. The ICR must be renewed as required. Should the ICR expire during the grant implementation period, grantees may not be allowed to be reimbursed for any indirect costs beyond the date of expiration. Indirect costs expended during the lapse in time between when the ICR expires and when it is renewed may only claim the indirect costs incurred on or after the approved date. Grantees may contact their Grant Program Specialist for further information.

All grantees are responsible for reviewing their FCM to determine which costs have been approved, disallowed, or adjusted. Grantees will need to compare the FCM to their application budget to determine what budget changes may have occurred. If a grantee has a question about the approved costs on the FCM, they should contact their Grant Program Specialist before expending grant funds. Each FCM also has a "Comment" field to provide grantees further instruction or explanation of other budgetary actions.

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COPS Technology program (Tech)

The funding under the COPS Technology program (Technology or Tech), also known as Other Technology, is for the payment of approved costs for the continued development of technologies and automated systems. The program offers state, local, territorial, and tribal law enforcement agencies the opportunity to establish and enhance a variety of technical equipment, services, programs, or projects to encourage the continuation and advancement of community policing efforts in their jurisdictions. The Technology grants are also used to enhance the capability of law enforcement agencies to investigate, respond to, and prevent crime.

Typically, each Technology grant is unique in what may be approved on the Financial Clearance Memorandum (FCM). The allowable costs are limited to those items listed on the FCM.

All grantees are responsible for reviewing their FCM to determine which costs have been approved, disallowed, or adjusted. Grantees will need to compare the FCM to their application budget to determine what budget changes may have occurred. If a grantee has a question about the approved costs on the FCM, they should contact their Grant Program Specialist before expending grant funds. Each FCM also has a "Comment" field to provide grantees further instruction or explanation of other budgetary actions.

The budget categories that may appear on the FCM may include the following:

- **civilian/non-sworn personnel.** (Salaries and benefits for) Civilian support personnel must be
 - hired on or after the grant award start date;
 - specifically hired for the Technology program project;
 - reasonable for the services rendered;
 - paid to a person appointed under the law or rules governing hiring practices by grantee's agency;
 - supported by payroll records of time and attendance;
 - supplementing, not supplanting (replacing) locally funded personnel costs that would have been funded in the absence of the grant;
 - specified, if part-time or temporary, by the percentage of time that each person is working solely on the project identified within the agency's Technology program proposal. Within the categories authorized by the COPS Office, fringe benefits may be paid if they are part of a reasonable compensation package offered to the existing grantee agency's employees. Authorized fringe benefits include FICA, social security, health insurance, life insurance, vacation, sick leave, retirement, worker's compensation, and unemployment insurance;
 - reflective of costs in either salary or fringe benefits but never counted in both categories simultaneously.

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- **equipment/technology.** Expenditures are eligible for reimbursement on or after the award start date, the items purchased must be those specifically applied for and approved by the COPS Office as listed on the FCM, and the purchased items must meet the guidelines described in 28 C.F.R. Part 66 or 28 C.F.R. Part 70, as applicable. Equipment or technology purchased on or after the award start date must be in addition to purchases that the grantee is obligated or funded to make in its current budget. Funds currently allocated from other sources to purchase equipment or technology may not be reallocated to other purposes or reimbursed upon the award of a Technology grant.
- **supplies.** Must be solely used for the project identified in grantee's application and approved by the COPS Office. Reimbursements for office supplies that are consumed by routine administrative purposes instead of project-related activities are prohibited. Items must meet the guidelines described in 28 C.F.R. 66.33 or 28 C.F.R. 70.35, as applicable.
- **travel.** Costs for transportation, lodging, subsistence, and related items are allowable under the Technology grant program with prior approval from the COPS Office. For grantees subject to 2 C.F.R. Chapter I, Chapter II, Part 200, et al., Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, travel costs incurred directly by the grantee or costs incurred for project-related non-grantee travel will be reimbursed based upon the grantee's written institutional travel policy (if available) and if the costs are reasonable and allocable under the project. In the absence of an acceptable and available institutional travel policy, allowable per diem travel costs for lodging, meals, and incidentals will be reimbursed based on the established GSA per diem rates for the relevant geographic area. These rates can be found at www.gsa.gov. Allowable airfare travel costs will be reimbursed based upon the lowest discount commercial airfare, the Federal Government contract airfare if authorized and available, or standard coach airfare.

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

The COPS Technology program will fund grant-related travel costs for the grantee agency or other (non-grantee) individuals to attend training and technical assistance conferences, seminars, or classes, or to visit a site specified in the application. Allowable expenses for grant-related lodging, meals and incidental expenses that were included in the application

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have been approved by the COPS Office as part of the Technology program grant and final budget. Your agency should keep timely and accurate records of all travel expenses. If at any time these costs change, you should immediately contact your Grant Program Specialist to obtain a modification.

- **contracts/consultants.** Compensation for individual consultant services procured under the COPS Technology program grant must be reasonable and allocable in accordance with OMB cost principles, and consistent with costs paid for similar services in the marketplace. Unless otherwise approved by the COPS Office, consultant rates will be based on the salary a consultant receives from his or her primary employer, as applicable, up to \$550 per day. For consultant or contractor rates that exceed \$550 per day, the COPS Office requires written justification. If the consultants or contractors are hired through a noncompetitive bidding process, then grantees must receive COPS Office approval before drawing down grant funds. COPS approval to exceed the \$550 per day rate will be considered on a case-by-case basis.
- **other costs.** COPS Technology program grants may include purchases of grant-related expenditures that do not conform to any other category descriptions as specified in previous budget areas as approved in the FCM. Items that have a direct correlation to the overall success of a grantee's project objectives and that are necessary for the project to reach full implementation may be considered on a case-by-case basis for approval by the COPS Office. Grantees may contact their Grant Program Specialist for further information.

Requests may be made only for items or positions that are not otherwise budgeted with state, local, or Bureau of Indian Affairs (BIA) funds, and would not be funded in the absence of the grant. If at any time a grantee is unsure if items considered are allowable or not, please contact your Grant Program Specialist for further assistance. For additional information, you may also visit www.cops.usdoj.gov/Default.asp?Item=2541#tech2010.

Child Sexual Predator program 2009–2011

The COPS Child Sexual Predator Program (CSPP) grants provided funding directly to law enforcement agencies to reduce child endangerment. This initiative was designed to support partnerships between state or local law enforcement agencies, their district United States Attorneys' Offices (USAO), and their district United States Marshals Service (USMS) offices, as well as with other community partners such as parole and probation offices, social service agencies, and state or local prosecutors to collectively reduce and prevent child endangerment by sexual predators. The funding will allow recipients the opportunity to establish or enhance strategies to locate, arrest, and prosecute child sexual predators and exploiters and to enforce state sex offender registration laws.

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Under the CSPP grant, projects may include activities such as

- development, enhancement, or maintenance of sex offender registration programs or functions;
- improvement of information sharing between law enforcement and other service providers to investigate and prevent child sex crimes and to increase offender accountability;
- management of high-risk offenders in the community through strategic problem analysis and response development;
- establishment or enhancement of any other efforts to locate, arrest, and prosecute known child sex offenders.

The funding under this project was for the payment of approved costs for activities related to the establishment and enhancement of a variety of problem-solving strategies to reduce child endangerment. The allowable costs which have been approved are limited to those listed on the FCM, which was included in the agency's award package.

The CSPP grant was awarded to grantees to address their law enforcement needs that were otherwise unfunded. Consequently, grantees may not use CSPP grant funding for items or services for which the grantee may already have received funding.

All grantees are responsible for reviewing their FCM to determine which costs have been approved, disallowed, or adjusted. Grantees will need to compare the FCM to their application budget to determine what budget changes may have occurred. If grantees have a question about the approved costs on the FCM, they should contact their Grant Program Specialist before expending grant funds. Each FCM also has a "Comment" field to provide grantees further instruction or explanation of other budgetary actions.

- **civilian/non-sworn personnel.** (Salaries and benefits for) Civilian support personnel must be
 - hired on or after the grant award start date;
 - specifically hired for the CSPP program;
 - reasonable for the services rendered;
 - paid to a person appointed under the law or rules governing hiring practices by grantee's agency;
 - supported by payroll records of time and attendance;
 - supplementing, not supplanting (replacing) locally funded personnel costs that would have been funded in the absence of the grant;

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- specified, if part-time or temporary, by the percentage of time that each person is working solely on the project identified within the agency's CSPP program proposal. Within the categories authorized by the COPS Office, fringe benefits may be paid if they are part of a reasonable compensation package offered to the existing grantee agency's employees. Authorized fringe benefits include FICA, social security, health insurance, life insurance, vacation, sick leave, retirement, worker's compensation, and unemployment insurance;
 - reflective of costs in either salary or fringe benefits but never counted in both categories simultaneously.
- **equipment/technology.** Grant expenditures are eligible for reimbursement on or after the award start date, the items purchased must be those specifically applied for and approved by the COPS Office as listed on the FCM, and the purchased items must meet the guidelines described in 28 C.F.R. Part 66 or 28 C.F.R. Part 70, as applicable. Equipment or technology purchased on or after the award start date must be in addition to purchases which the grantee is obligated or funded to make in its current budget. Funds currently allocated from other sources to purchase equipment or technology may not be reallocated to other purposes or reimbursed upon the award of a CSPP grant.
 - **supplies.** Must be solely used for the project identified in grantee's application proposal and as approved by the COPS Office. Reimbursements for office supplies that are consumed by routine administrative purposes instead of project-related activities are prohibited. Items must meet the guidelines described in 28 C.F.R. 66.33 or 28 C.F.R. 70.35, as applicable.
 - **travel/training.** Costs for transportation, lodging, subsistence, and related items are allowable under the Technology grant program with prior approval from the COPS Office. For grantees subject to 2 C.F.R. Chapter I, Chapter II, Part 200, et al., Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, travel costs incurred directly by the grantee or costs incurred for project-related non-grantee travel will be reimbursed based upon the grantee's written institutional travel policy (if available) and if the costs are reasonable and allocable under the project. In the absence of an acceptable and available institutional travel policy, allowable per diem travel costs for lodging, meals, and incidentals will be reimbursed based on the established GSA per diem rates for the relevant geographic area. These rates can be found at www.gsa.gov. Allowable airfare travel costs will be reimbursed based upon the lowest discount commercial airfare, the Federal Government contract airfare if authorized and available, or standard coach airfare.

For grantees subject to 48 C.F.R. Part 31.000, et seq. (FAR-31.2) Cost Principles for Commercial Organizations, travel costs incurred directly by the grantee will be reimbursed if the costs are reasonable and allocable under the project. Travel costs for lodging, meals, and

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incidental expenses may be reimbursed based upon per diem, actual expenses, or a combination of these methods, as long as the reimbursement rate does not exceed established GSA per diem rates as set forth in the federal travel regulation. Transportation costs may be reimbursed based on mileage rates, actual costs incurred, or a combination of these methods. Allowable airfare travel costs will be reimbursed based upon standard coach fare, unless otherwise authorized in advance by the COPS Office.

The CSPP program will fund grant-related travel costs for the grantee agency or other (non-grantee) individuals to attend training and technical assistance conferences, seminars, classes, or to visit a site specified in the application. Allowable expenses for grant-related lodging, meals and incidental expenses that were included in the application have been approved by the COPS Office as part of the CSPP program grant and final budget. Your agency should keep timely and accurate records of all travel expenses. If at any time these costs change, you should immediately contact your COPS Grant Program Specialist to obtain a modification.

- **contracts/consultants.** Compensation for individual consultant services procured under the grant must be reasonable and allocable in accordance with OMB cost principles and consistent with costs paid for similar services in the marketplace. Unless otherwise approved by the COPS Office, consultant rates will be based on the salary a consultant receives from his or her primary employer, as applicable, up to \$550 per day. For consultant or contractor rates that exceed \$550 per day, the COPS Office requires written justification. If the consultants or contractors are hired through a noncompetitive bidding process, then grantees must receive COPS Office approval before drawing down grant funds. COPS approval to exceed the \$550 per day rate will be considered on a case-by-case basis.
- **other costs.** May include purchases of grant-related expenditures that do not conform to any other category descriptions as specified in previous budget areas as approved in the FCM. Items that have a direct correlation to the overall success of a grantee's project objectives and that are necessary for the project to reach full implementation may be considered on a case-by-case basis for approval by the COPS Office. Grantees may contact their Grant Program Specialist for further information. Requests may be made only for items or positions that are not otherwise budgeted with state, local, or Bureau of Indian Affairs (BIA) funds, and would not be funded in the absence of the grant. If at any time you are unsure if an item is considered allowable or not, please contact your COPS Grant Program Specialist for further assistance.

Safe Schools Initiative grant program (SSI)

The COPS Office Safe Schools Initiative program (SSI) grants provide funding to state and local agencies to assist in delinquency prevention, community planning and development, school safety resources, and technology development. SSI grant funding allows recipients the opportunity to establish or enhance a variety of school and community safety equipment and programs for

X. Types of COPS Office Programs

school safety resources and technology development, delinquency prevention, and community planning and development. The allowable costs are limited to those listed on the FCM, which is included in the grantee's award package.

The FCM specifies the allowable costs under the Safe Schools Initiative. It also describes any costs which have been disallowed after review of the grantee's proposed budget. Grantees may not use Safe Schools Initiative grant funds for any costs that are not approved in the FCM.

All grantees are responsible for reviewing their FCM to determine which costs have been approved, disallowed, or adjusted. Grantees will need to compare the FCM to their application budget to determine what budget changes may have occurred. If a grantee has a question about the approved costs on the FCM, they should contact their Grant Program Specialist before expending grant funds. Each FCM also has a "Comment" field to provide grantees further instruction or explanation of other budgetary actions.

- **civilian/non-sworn personnel.** (Salaries and benefits for) Civilian support personnel must be
 - hired on or after the grant award start date;
 - specifically hired for the SSI program;
 - reasonable for the services rendered;
 - paid to a person appointed under the law or rules governing hiring practices by grantee's agency;
 - supported by payroll records of time and attendance;
 - supplemental, not supplanting (replacing), locally funded personnel costs that would have been funded in the absence of the grant;
 - specified, if part-time or temporary, by the percentage of time that each person is working solely on the project identified within the agency's SSI program proposal. Within the categories authorized by the COPS Office, fringe benefits may be paid if they are part of a reasonable compensation package offered to the existing grantee agency's employees. Authorized fringe benefits include FICA, social security, health insurance, life insurance, vacation, sick leave, retirement, worker's compensation, and unemployment insurance;
 - reflective of costs in either salary or fringe benefits but never counted in both categories simultaneously.
- **equipment/technology.** Grant expenditures are eligible for reimbursement on or after the award start date, the items purchased must be those specifically applied for and approved by the COPS Office. The purchased items must meet the guidelines described in 28 C.F.R. Part 66 or 28 C.F.R. Part 70, as applicable. Equipment or technology purchased on or after the award start date must be in addition to purchases which the grantee is obligated or funded

X. Types of COPS Office Programs

to make in its current budget. Funds currently allocated from other sources to purchase equipment or technology may not be reallocated to other purposes or reimbursed upon the award of a SSI grant.

- **supplies.** Must be used for the project identified in grantee's application and approved by the COPS Office. Reimbursements for office supplies that are consumed by routine administrative purposes instead of project-related activities are prohibited. Items must meet the guidelines described in 28 C.F.R. 66.33 or 28 C.F.R. 70.35, as applicable.
- **travel/training.** Costs for transportation, lodging, subsistence, and related items are allowable under the CSPP grant program with prior approval from the COPS Office. For grantees subject to 2 C.F.R. Chapter I, Chapter II, Part 200, et al., Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, travel costs incurred directly by the grantee or costs incurred for project-related non-grantee travel will be reimbursed based upon the grantee's written institutional travel policy (if available) and if the costs are reasonable and allocable under the project. In the absence of an acceptable and available institutional travel policy, allowable per diem travel costs for lodging, meals, and incidentals will be reimbursed based on the established GSA per diem rates for the relevant geographic area. These rates can be found at www.gsa.gov. Allowable airfare travel costs will be reimbursed based upon the lowest discount commercial airfare, the Federal Government contract airfare if authorized and available, or standard coach airfare.

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

The program will fund grant-related travel costs for the grantee agency or other (non-grantee) individuals to attend training and technical assistance conferences, seminars, or classes, or to visit a site specified in the application. Allowable expenses for grant-related lodging, meals, and incidental expenses that were included in the application have been approved by the COPS Office as part of the SSI program grant and final budget. Your agency should keep timely and accurate records of all travel expenses. If at any time these costs change, you should immediately contact your COPS Office Grant Program Specialist to obtain a modification.

X. Types of COPS Office Programs

- **contracts/consultants.** Compensation for individual consultant services. These services must be reasonable and allocable in accordance with OMB cost principles and consistent with that paid for similar services in the marketplace. Unless otherwise approved by the COPS Office, consultant rates will be based on the salary a consultant receives from his or her primary employer, as applicable, up to \$550 per day. For consultant or contractor rates that exceed \$550 per day, the COPS Office requires written justification. If the consultants or contractors are hired through a noncompetitive-bidding process, then grantees must receive COPS Office approval before drawing down grant funds. Determinations will be made on a case-by-case basis.
- **other costs.** May include purchases of grant-related expenditures that do not conform to any other category descriptions as specified in previous budget areas as approved in the FCM. In addition, items that have a direct correlation to the overall success of a grantee's project objectives and that are necessary for the project to reach full implementation may be considered on a case-by-case basis for approval by the COPS Office. Grantees may contact their Grant Program Specialist for further information. Requests may be made only for items or positions that are not otherwise budgeted with state, local, or Bureau of Indian Affairs (BIA) funds, and would not be funded in the absence of the grant. If at any time you are unsure if an item is considered allowable or not, please contact your COPS Grant Program Specialist for further assistance.

Secure Our Schools program (SOS)

The Secure Our Schools grant provides funding to state, local, or tribal governments to assist with the purchase and development of school safety resources based upon a comprehensive approach to prevent school violence and tailored to the needs of the schools. Typically, SOS grants provide funding for such school safety and security needs as the following:

- Placement and use of metal detectors, locks, lighting, and other deterrent measures
- Security assessments
- Security training of personnel and students
- Coordination with local law enforcement
- Any other measure that may provide a significant improvement in security

The SOS grant program provides up to 50 percent of the cost of allowable items. Grantees are responsible for at least 50 percent of the total project costs. The local match must be a cash match made from local, state, or other non-COPS Office funds. Federal funds (other than COPS Office funds) may be used to meet your local match only if the federal funds are authorized by statute for that purpose and approved by both the federal agency providing those funds and the COPS Office.

X. Types of COPS Office Programs

Matching contributions may be applied at any time during the life of the grant award, provided that the full matching share is obligated by the end of the grant period. Grantees are strongly encouraged to “pay as you go” during each quarter of the grant award to ensure the local match is fully paid by the end of the grant.

The local match may not be paid from funds previously budgeted for any specific law enforcement purpose (i.e., you may not reallocate funds from within your law enforcement budget to pay the local match). The local match must be in addition to funds previously budgeted for specific law enforcement purposes.

Please note that this requirement applies to all state or locally funded agencies working in partnership with your agency under this grant. Any subrecipients or subawardees approved under an SOS grant by the COPS Office to receive pass-through grant funding must adhere to federal terms, conditions, and requirements of the grant award. Your agency is responsible for ensuring that any state or locally funded partnership agencies use COPS funds only to supplement, not supplant, their state or local funding.

Grantees must be able to identify the source of matching funds, the amount paid, and the timing of the payments. Sources for matching funds may include any of the following:

- Program income funds from non-federal asset forfeitures
- Funds from state or local governments that are committed to matching funds for your program
- Funds from federal programs whose statutes specifically authorize their use as matching funds, such as the Housing and Community Development act of 1974 or the Asset Forfeiture Equitable Sharing Program
- Funds contributed by private sources
- Federal funds appropriated to tribal agencies or to the Bureau of Indian affairs performing law enforcement functions on Indian lands

Grantees with any questions about paying the local match for the SOS grant should contact their Grant Program Specialist.

COPS Methamphetamine program (METH) 1998–2011

COPS Office Meth funding supports enforcement, training, and prevention activities nationwide, but is concentrated in areas with the greatest need for assistance in combating methamphetamine production, distribution, and use. The COPS Office encourages agencies to focus on community policing approaches to methamphetamine reduction. The COPS Office also works directly with state and local law enforcement agencies to craft innovative strategies, track and evaluate their implementation, and disseminate results to other jurisdictions confronting similar challenges. To combat methamphetamine in their communities, the COPS Office encouraged

X. Types of COPS Office Programs

grantees to develop partnerships with other agencies, such as the Environmental Protection Agency, fire departments, local businesses, mental health organizations, child protection services, and other local law enforcement entities.

COPS Office funds are also used by the Drug Enforcement Administration (DEA) to provide training to state and local law enforcement professionals on clandestine lab enforcement operations including basic certification, officer safety, and tactical training. The DEA also uses COPS Office funding to improve the clandestine lab information-gathering capabilities of the El Paso Intelligence Center; carry out regional information-sharing conferences, and assist state and local law enforcement in cleaning up methamphetamine lab sites.

The COPS Office Meth initiative seeks to address the growing problem of meth abuse by assisting localities in collaboration with other service providers and stakeholders to

- establish or enhance existing comprehensive methamphetamine reduction efforts through coordinated prevention, intervention/treatment, and enforcement activities;
- increase the use of community policing strategies (including problem solving, partnerships, and organizational changes) to reduce the manufacture, distribution, and use of methamphetamine;
- increase the coordination, information sharing, and collaboration among local, state, and federal public or private entities involved in prevention, intervention/treatment, and enforcement activities related to methamphetamine.

COPS Office Meth allowable costs are limited to those items listed on the FCM, which is included in the grantee's award package. The FCM specifies the costs allowed under the grant. It also describes any costs which have been disallowed after review of the grantee's proposed budget. Grantees may not use grant funds for any costs that are not allowable in the FCM.

All grantees are responsible for reviewing their FCM to determine which costs have been approved, disallowed, or adjusted. Grantees will need to compare the FCM to their application budget to determine what budget changes may have occurred. If a grantee has a question about the approved costs on the FCM, they should contact their Grant Program Specialist before expending grant funds. Each FCM also has a "Comment" field to provide grantees further instruction or explanation of other budgetary actions.

X. Types of COPS Office Programs

From 1998 to 2008, COPS Office Meth grants allowed salary and fringe benefits for newly hired civilian/non-sworn personnel directly involved in methamphetamine activities. The personnel costs were for new personnel not currently funded in the applicant's local budget, as long as the position(s) directly relate(s) to the project. Allowable personnel and fringe benefits costs include those for

- prosecutors (directly for meth prosecution);
- civilian meth project coordinators or meth/drug problem analysts;
- overtime for sworn officers engaging in meth-related activities.

Unallowable costs are listed by the specific Grant Owner's Manual (GOM) for the year in which the COPS Office Meth grant award was funded. It is recommended that grantees that still have a COPS Office Meth grant award from 1998 through 2008 consult the GOM for greater detail on allowable and unallowable costs. Grantees with older Meth grants should contact their Grant Program Specialist for additional information.

There was a change in the COPS Office Meth grants from 2009 to 2011, which allowed COPS Meth grantees to pay for sworn officer salary and fringe benefits for new full-time entry-level career law enforcement officers not already funded in the applicant's local budget, meaning that a grantee must hire new officers above current local sworn staffing. New sworn officers under the COPS Office Meth grants for 2009 through 2011 were to be hired on or after the award start date. Sworn officers previously employed by the grantee agency were also allowed to be re-hired using Methamphetamine grant funds, but funding requests were limited to the agency's entry-level salary and benefits. Any salary or fringe benefit costs that exceeded the agency's entry-level salary and fringe benefit costs for re-hired officers must be paid by the agency. Both new and rehired positions hired under the 2009 to 2011 COPS Office Meth grants must directly relate to the Methamphetamine Project.

- * **Special note:** For 2009 to 2011 Meth grants, overtime for sworn officers engaging in meth-related activities is an allowable cost; however, any overtime expenses requested for either sworn officers or civilian positions must be listed in the "Other Costs" section of the grantee's application. Overtime expenses must exceed the expenditures that an agency has obligated or funded to pay in its current budget.

X. Types of COPS Office Programs

Other allowable costs included:

- **civilian/non-sworn personnel.** Salary and fringe benefits that apply to new personnel not already funded in the applicant's local budget. Civilian staff must be hired on or after the award start date, and positions must directly relate to the Meth program. Examples of allowable personnel and fringe benefits costs include those for prosecutors (directly for meth prosecution), civilian meth project coordinators, or meth/drug problem analysts.
- **equipment/technology.** Costs that shall provide agencies with the ability to purchase new or enhance existing equipment exclusively related to meth prevention, treatment, enforcement, or drug intelligence sharing. All items requested must be clearly linked to the enhancement or implementation of the Meth program.
- **supplies.** Include any materials expended or consumed during the course of the Meth program. Such costs may include training manuals, paper, printer ink, pens, postage, etc.
- **travel/training.** Costs may include grant-related travel for the grantee or other (non-grantee) individuals to attend meth-related training and technical assistance conferences, seminars, classes, or to visit a site specified in the application. Expenses for transportation, lodging, meals, and incidentals (if travel is more than 50 miles from the program location) will be reviewed in accordance with applicable guidelines as part of the application process.
- **contract/consultant.** Compensation may include costs to provide one-time training to staff for equipment operation/usage and contracting/consulting services that provide such things as needs analysis, installation, and testing. Compensation for individual consultant services procured must be reasonable and allocable in accordance with Office of Management and Budget (OMB) cost principles, and consistent with that paid for similar services in the marketplace. Unless otherwise approved by the COPS Office, consultant rates will be based on the salary a consultant receives from his or her primary employer, as applicable, up to \$550 per day. For consultant or contractor rates that exceed \$550 per day, the COPS Office requires written justification. If the consultants or contractors are hired through a noncompetitive bidding process, the grantee must receive COPS Office approval before drawing down grant funds. Determinations will be made on a case-by-case basis.
- **other costs.** These costs may include such items as software and prepaid warranties or maintenance agreements (*not to exceed 36 months*), overtime costs (*not to exceed 50% of the awarded budget*) for sworn officers or civilian personnel engaging in meth-related activities or other miscellaneous items that have a direct correlation to the overall success of a grantee's project objectives (such as awareness campaigns) and are necessary for the project to reach full implementation.

X. Types of COPS Office Programs

COPS Tribal Methamphetamine program (Tribal Meth)

* **Special note:** The COPS Tribal Methamphetamine Program is listed under the Coordinated Tribal Assistance Solicitation (CTAS) in program area #1, along with TRGP-Hiring and TRGP-E/T grants.

The COPS Tribal Meth initiative will aim to increase the capacity of tribal law enforcement to

- interdict illegal drugs and drug manufacturing/drug distribution networks in collaboration with local, other tribal, state, and federal law enforcement agencies;
- leverage other meth enforcement efforts in jurisdictions with limited resources;
- develop and implement meth trafficking reduction strategies;
- encourage partnerships to engage key stakeholders beyond the enforcement community to assist in the successful implementation of enforcement strategies.

Awards are based on a number of factors including application completeness and accuracy, the implementation of previous COPS Office grants (including the timely submission of programmatic progress reports and Federal Financial Reports), and the enhancement of community policing through anti-methamphetamine activities as proposed in the application project narrative. Tribal law enforcement agencies that seek this funding are required to demonstrate how the grant will establish or enhance existing comprehensive methamphetamine reduction efforts through coordinated prevention, intervention/treatment, and enforcement activities. Programs may address the following areas:

- child endangerment
- enforcement
- intelligence gathering
- drug courts
- partnership development
- precursor chemicals
- prevention
- production
- training
- treatment

X. Types of COPS Office Programs

The COPS Office will provide training and technical assistance to Tribal Meth grantees to help address the unique challenges of tribal jurisdictions to combat methamphetamine use and abuse. As part of their participation in this initiative, funded tribal agencies must work with the technical assistance provider selected by the COPS Office. The COPS Office will provide funding for Tribal Meth grantees to participate in both required and optional technical assistance activities, such as national or regional planning summits.

All grantees are responsible for reviewing their FCM to determine which costs have been approved, disallowed, or adjusted. Grantees will need to compare the FCM to their application budget to determine what budget changes may have occurred. If a grantee has a question about the approved costs on the FCM, they should contact their Grant Program Specialist before expending grant funds. Each FCM also has a "Comment" field to provide grantees further instruction or explanation of other budgetary actions.

- **civilian / non-sworn personnel.** (Salaries and benefits for) Civilian support personnel must be
 - hired on or after the grant award start date;
 - specifically hired for the Tribal Meth program;
 - reasonable for the services rendered;
 - paid to a person appointed under the law or rules governing hiring practices by grantee's agency;
 - supported by payroll records of time and attendance;
 - supplementing, not supplanting (replacing) locally funded personnel costs that would have been funded in the absence of the grant;
 - specified, if part-time or temporary, by the percentage of time that each person is working solely on the project identified within the agency's Tribal Meth program proposal. Within the categories authorized by the COPS Office, fringe benefits may be paid if they are part of a reasonable compensation package offered to the existing grantee agency's employees. Authorized fringe benefits include FICA, social security, health insurance, life insurance, vacation, sick leave, retirement, worker's compensation, and unemployment insurance;
 - reflective of costs in either salary or fringe benefits but never counted in both categories simultaneously.
- **equipment / technology.** Expenditures are eligible for reimbursement on or after the award start date, and the items purchased must be those specifically applied for and approved by the COPS Office as listed on the FCM, and the purchased items must meet the guidelines described in 28 C.F.R. Part 66 or 28 C.F.R. Part 70, as applicable. Equipment or technology purchased on or after the award start date must be in addition to purchases that which

X. Types of COPS Office Programs

the grantee is obligated or funded to make in its current budget. Funds currently allocated from other sources to purchase equipment or technology may not be reallocated to other purposes or reimbursed upon the award of the grant.

- **supplies.** Must be used for the project identified in grantee's application and approved by the COPS Office. Reimbursements for office supplies that are consumed by routine administrative purposes instead of project-related activities are prohibited. Items must meet the guidelines described in 28 C.F.R. 66.33 or 28 C.F.R. 70.35, as applicable.
- **travel/training.** Costs for transportation, lodging, subsistence, and related items are allowable under the Tribal Meth grant program with prior approval from the COPS Office. For grantees subject to 2 C.F.R. Chapter I, Chapter II, Part 200, et al., Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, travel costs incurred directly by the grantee or costs incurred for project-related non-grantee travel will be reimbursed based upon the grantee's written institutional travel policy (if available) and if the costs are reasonable and allocable under the project. In the absence of an acceptable and available institutional travel policy, allowable per diem travel costs for lodging, meals, and incidentals will be reimbursed based on the established GSA per diem rates for the relevant geographic area. These rates can be found at www.gsa.gov. Allowable airfare travel costs will be reimbursed based upon the lowest discount commercial airfare, the Federal Government contract airfare, if authorized and available, or standard coach airfare.

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

The COPS Tribal Meth program will fund grant-related travel costs for the grantee agency or other (non-grantee) individuals to attend training and technical assistance, Tribal Meth conferences, seminars, classes, or to visit a site specified in the application. Allowable expenses for grant-related lodging, meals, and incidental expenses that were included in the application have been approved by the COPS Office as part of the final budget. Your agency should keep timely and accurate records of all travel expenses. If at any time these costs change, immediately contact your COPS Grant Program Specialist to obtain a modification.

X. Types of COPS Office Programs

- **contracts/consultants.** Compensation for individual consultant services procured must be reasonable and allocable in accordance with OMB cost principles, and consistent with that paid for similar services in the marketplace. Unless otherwise approved by the COPS Office, consultant rates will be based on the salary a consultant receives from his or her primary employer, as applicable, up to \$550 per day. For consultant or contractor rates which exceed \$550 per day, the COPS Office requires written justification. If the consultants or contractors are hired through a noncompetitive-bidding process, then grantees must receive COPS Office approval before drawing down grant funds. Determinations will be made on a case-by-case basis.
- **other costs.** May include purchases of grant-related expenditures that do not conform to any other category descriptions as specified in previous budget areas approved in the FCM. Items that have a direct correlation to the overall success of a grantee's project objectives and that are necessary for the project to reach full implementation may be considered on a case-by-case basis for approval by the COPS Office. Grantees may contact their Grant Program Specialist.

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

COPS Anti-Methamphetamine Program (CAMP)

- * **Please note:** The FY 2014 CAMP open solicitation ended June 30, 2014. It is estimated that \$6 million in funding will be available. However, because the CAMP grant funding had not been approved at the time of the grant monitoring standards and guidelines update, the number of grants awarded and the total amount of grant funds awarded will be addressed in the next update.

The FY 2014 COPS Anti-Methamphetamine Program (CAMP) is a competitive grant program with a focus on advancing public safety by providing funds to investigate illicit activities related to the manufacture and distribution of methamphetamine. CAMP provides funding directly to state law enforcement agencies for the purpose of locating and investigating illicit activities, including precursor diversion, laboratory manufacture, or methamphetamine trafficking.

Only state law enforcement agencies authorized to engage in or to supervise anti-methamphetamine investigative activities are eligible to apply for funding. Additional consideration will be given to agencies participating in anti-methamphetamine task forces with multijurisdictional reach and interdisciplinary team structures.

X. Types of COPS Office Programs

All awards are subject to the availability of appropriated funds, modifications, or additional requirements that may be imposed by law.

Community Policing Development (CPD)

Community Policing Development (CPD) funding is provided through cooperative agreements awarded to grantees and managed directly by the COPS Office within the Community Policing Advancement Division (CPA). CPD support provides COPS funding to advance community policing and problem-oriented policing efforts through the development of products, tools, training, and applied research.

CPD grants from 2009 to 2013 provided funding to advance community policing and problem-oriented policing efforts through the development of products, tools, training and applied research. (The 2013 topic areas are: Community Policing Enhancement, Ethics and Integrity, Child and Youth Safety/School Safety, Police Operations, and Open Topics.) The implementation of the cooperative agreement is similar to other non-hiring grants. Each grantee (may) adhere(s) to the same terms, conditions, and requirements as for all COPS non-hiring grant awards. Cooperative agreements are allowed to include indirect costs in the budget. Indirect costs Incurred for common or joint purposes and are not readily assignable to a particular project but are necessary to the operation of the agency and the implementation of the project. Examples of indirect costs may include those incurred for facility operation and maintenance, depreciation, and administrative salaries.

Indirect costs must adhere to the standards set forth in the applicable Office of Management and Budget (OMB) costs principles for your entity, 2 C.F.R. Part 225, appendix E (state, local, and Indian Tribal governments), 2 C.F.R. Chapter I, Chapter II, Part 200, et al., Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards. Travel costs incurred directly by the grantee or costs incurred for project-related non-grantee travel will be reimbursed based upon the grantee's written institutional travel policy (if available) and if the costs are reasonable and allocable under the project.

CPD grantees must ensure that the indirect cost rate (ICR) is current for the approved period. The ICR must be renewed as required. If the ICR expires during the grant implementation period, grantees may not be allowed reimbursement for any indirect costs beyond the expiration date. CPD grantees may contact their CPD program manager for further information.

Appendix A: Allowable fringe benefits costs for grantees

The Financial Clearance Memorandum (FCM), included in the grant award package, specifies allowable fringe benefits costs. Allowable fringe benefits costs include the following:

- health insurance
- dental insurance
- vision insurance
- prescription drugs
- sick days (if not included in base salary—calculate using 8-hour workdays)
- vacation days (if not included in base salary—calculate using 8-hour workdays)
- Medicaid FICA
- holiday pay
- retirement pension
- worker's compensation
- unemployment
- disability insurance
- accidental death and disability
- 401(k) plan
- liability insurance
- shift differential payments
- accident insurance
- bonding insurance
- police trust
- state funded retirement system
- professional liability insurance
- Federal Unemployment Tax Act (FUTA) tax
- survivor benefit

Appendix A: Allowable fringe benefits costs for grantees

Other benefits such as training, equipment (e.g., uniforms, weapons, or vehicles), severance pay, and hazard pay, are not allowed. The COPS Office will not pay for any fringe benefits not listed, and if your agency pays those benefits for locally funded officer positions, your agency will be required to do so for officer positions funded by COPS Office hiring grants with local funds.

Appendix B: Compliance definitions and conditions

The common compliance areas of the COPS hiring grant programs are as follows:

- community policing
- retention
- allowable costs
- source and amount of matching funds
- supplanting
- reporting
- special conditions
- CP-SAT
- civil rights/EEOP
- 28 CFR Part 23 Criminal Intelligence
- high-risk designation

This section defines the common compliance areas and provides the accompanying conditions that are required for compliance with the COPS Office hiring grants. Each area also includes examples to further clarify special conditions.

Community policing

Definition

Community policing is a philosophy that promotes organizational strategies that support the systematic use of partnerships and problem solving techniques to proactively address the immediate conditions that give rise to public safety issues such as crime, social disorder, and fear of crime. Community policing does not simply respond to crimes once they have been committed. It concentrates on building trust with the community to form sustainable partnerships that collaborate to identify crime and related problems. It seeks to implement affective crime prevention strategies and ultimately strives to eliminate the fear of crime. Trust within the community and the empowerment of citizens to become public safety stakeholders enable law enforcement to address the needs of the community and the factors that contribute to crime.

Appendix B: Compliance definitions and conditions

Conditions

COPS Office hiring grants must be used to reorient the mission and activities of law enforcement agencies toward the community, or enhance their involvement in community policing. The COPS Office maintains that local agencies are best suited to determine their community crime-related problems and the policing activities that will solve them. Police, community members, and other public and private entities work together to address the underlying problems that contribute to crime and disorder by identifying and analyzing problems, developing suitable responses, and assessing the effectiveness of these responses. Acceptable community policing activities are unique to each local community and must be addressed on an individual basis through the community policing plan submitted to and approved by the COPS Office.

Required number of community policing officers. Under COPS Office hiring grants, every grant-funded officer position (or an equal number of veteran officer positions) is required to initiate or enhance community policing. For example, a COPS Office hiring program grantee with 10 COPS Office grant-funded officers must deploy 10 officers (COPS Office-funded or veteran officers) to initiate or enhance community policing through the approved community policing plan. This does not mean that every hour of the officers' time must be spent in a specific community policing activity, but it does mean that the grantee must show the required number of officers initiating or enhancing community policing above the pre-award number. In addition to increasing the number of officers involved in community policing by the number of officers awarded, there must also be an increase in community policing activity by the grantee from pre-award community policing activities.

Community policing activity approval. The COPS Office is responsible for reviewing and approving the community policing plans that are identified in grant applications. Grantees are not required to implement every community policing activity identified on the approved plan to demonstrate compliance. Instead, the plan may often identify a broad range of possible community policing activities, with the grantee implementing particular community policing strategies from the approved plan on an as-needed basis throughout the life of the grant.

Changes to community policing plans. Any significant changes to the community policing plan identified in the grant application must be submitted in writing to the COPS Office for approval. Changes are significant if they deviate from the range of possible community policing activities identified and approved in the grantee's original community policing plan. For additional information, please consult the CP-SAT Policy memorandum at [https://portal.doj.gov/sites/copsnet/Resources/COPSDocumentCenter/PolicyProFormsGrantsCA/CP-SAT Policy 201-27-14.pdf](https://portal.doj.gov/sites/copsnet/Resources/COPSDocumentCenter/PolicyProFormsGrantsCA/CP-SAT%20Policy%201-27-14.pdf).

See the Glossary (appendix C) on page 103 of this manual for definition of *career law enforcement officer*.

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Examples of hiring community policing activities. Agencies have a variety of community policing activities and programs. The COPS Office reviews activities approved in the grant application's community policing plan. The following are just a few examples of community policing programs:

- **crime prevention efforts.** Examples: Youth programs; anti-drug programs; regular meetings with community groups to discuss crime; and anti-violence programs
- **problem-solving activities.** Examples: Identifying crime problems with members of the community and other government agencies (e.g., probation office, prosecutor, and courts); identifying crime problems by looking at crime trends; identifying top problems by analyzing repeat calls for service; preventing crime by focusing on conditions that lead to crime (e.g., abandoned buildings and cars); building on information systems to enhance crime analysis capabilities; regularly surveying community members to assist in identifying and prioritizing crime problems; locating offices or stations within neighborhoods; and providing community policing training to citizens; working with citizens to identify and address community crime problems; using computer systems to collect and analyze information, particularly repeat calls for service; coordinating specific problem-solving projects to address problems on their beats; working with other public agencies to solve disorder problems (e.g., trash collection, public works agencies to solve lighting problems); and mapping crime problems
- **community partnerships.** Examples: Meeting with community members to learn about the nature of specific problems; involving community members in selecting responses to problems and determining measures of success; participating in neighborhood watch programs, citizen volunteer programs, citizen advisory groups to the law enforcement agency; citizen patrols within the community; and anti-drug or anti-violence programs; participating with community organization working groups or special programs for schools and other interest groups which enhance crime prevention; private security, drug and alcohol resistance education (DARE), gang resistance education and training (GREAT), Triad, school resource officer (SRO)
- **other agency partnerships.** Examples: Juvenile justice services; probation; social services; parole; city and county departments; sanitation services; school system; elected officials; private security and other public service providers
- **patrol.** Examples: Targeted geographic patrol, foot patrol, bike patrol, or mounted patrol; making door-to-door contact with citizens and businesses; meeting with community leaders and groups to learn about crime problems and jointly develop crime prevention plans; using business cards or cellular phones to maintain contact with citizens regarding public safety concerns; and working in schools or other public agencies to teach crime prevention

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Evidence of community policing philosophy. Integrating community policing into a traditional policing environment is an evolutionary process. The COPS Office grant award is an aid to this evolutionary process and, therefore, the evaluation of community policing activities is unique to each local agency.

Evidence that law enforcement agencies are incorporating a community policing philosophy is witnessed through three core elements:

1. police organizational elements
2. tactical elements
3. external elements

Agencies may be anywhere on the continuum of incorporating community policing into their operation; therefore, a variety of activities is acceptable.

- I. Police organizational elements
 - **philosophy adopted organization-wide.** Department-wide adoption of community policing is evidenced by the integration of the philosophy into mission statements, policies and procedures, performance evaluations and hiring, promotional practices, training programs, and other systems and activities that define organizational culture.
 - **decentralized decision making and accountability.** In community policing, individual line officers are given the authority to solve problems and make operational decisions concerning their roles, both individually and collectively. Leadership is required and rewarded at every level, with managers, supervisors, and officers held accountable for decisions and the effects of their efforts at solving problems and reducing crime and disorder within the community.
 - **fixed geographic accountability and generalist responsibilities.** In community policing, the majority of staffing, command, deployment, and tactical decision making is geographically based. Appropriate personnel are assigned to fixed geographic areas for extended periods of time in order to foster communication and partnerships between individual officers and their community. These personnel are accountable for reducing crime and disorder within their assigned area.
 - **use of volunteer resources.** Community policing encourages the use of non-law enforcement resources within a law enforcement agency. The law enforcement organization educates the public about ways that they can work in partnership with the organization and its members to further community policing, and provides an effective means for citizen input. Volunteer efforts can help to free up officers' time and allow them to be proactive and prevention oriented.

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- **community policing self-assessment tool (CP-SAT).** This survey is an on-line tool that helps agencies measure their progress in implementing community policing. It is intended to be a useful management tool for identifying community policing strengths and areas for improvement. Beginning in FY 2011, FY 2012, and FY 2013, COPS required that grantees complete the survey. The COPS Office will require your agency to complete the CP-SAT twice within the grant period, at the beginning and again toward the end of your grant award. The survey will not negatively impact grantees or future funding opportunities with the COPS Office. This survey captures overall community policing efforts and does not assess an agency's community policing implementation under a specific grant. It is also different from the Progress Reports required for your COPS Office hiring grant(s). CP-SAT is an online survey that helps grantees measure their agency's progress in implementing community policing. CP-SAT confidentially captures information about community partnerships, problem-solving, and organizational impact. Grantees will receive an easy-to-use automated report that summarizes their agency's data so that grantees can identify their community policing strengths and areas for improvement.

2. Tactical elements

- **enforcement of laws.** Community policing complements the use of proven and established law enforcement strategies, becoming one of many tools available to officers that can be collectively employed to prevent and combat crime.
- **proactive and crime-prevention oriented.** Under community policing, the focus of the police is not only on enforcement, but also on crime prevention and proactively addressing the root causes of crime and disorder. The community is actively engaged in collaborating on prevention and problem-solving activities with a goal of reducing victimization and fear of crime.
- **problem solving.** Police, community members, and other public and private entities work together to address the underlying problems that contribute to crime and disorder by identifying and analyzing problems, developing suitable responses, and assessing the effectiveness of these responses. While enforcement is an integral part of policing, problem solving relies on preventing crime through deterring offenders, protecting likely victims, and making locations less conducive to crime.

3. External elements

- **public involvement and community partnerships.** In community policing, citizens as well as private security are viewed by the police as partners who share responsibility for identifying priorities, and developing and implementing responses. Accurate surveying of customer needs and priorities is one way to determine the problems that drive police services, and give the public ownership of the problem-solving process.

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- **government and other agency partnerships.** Under community policing, other government agencies are called upon and recognized for their ability to respond to and address crime and social disorder issues. The support and leadership of elected officials, as well as the coordination of the police department at all levels, are vital to the success of these efforts.

Retention

Definition

COPS Office hiring grantees are required to retain the additional grant-funded officer positions (for hiring grants) for a minimum of 12 months following the conclusion of 36 months of federal funding for each position, over and above the number of locally funded sworn officer positions that would have existed in the absence of the grant. Retention therefore may not be achieved by absorbing COPS officers into locally funded vacancies through attrition. Prior to the actual retention period, grantees may be required to demonstrate how they are planning to meet this retention requirement.

Conditions

Hiring grantees must retain the additional federally funded positions at the conclusion of the 36-month hiring grant funding period with state or local funding for a minimum of 12 months.¹ During the active grant period, hiring grantees may be required to demonstrate that they are planning to meet this retention requirement. Evidence of retention planning documentation may come in three forms:

1. a written retention plan
2. supporting evidence of retention planning
3. retention certification

Planning evidence may consist of memoranda, minutes of meetings, budget documents, and other planning documents produced during the grant period that demonstrate that the grantee is seeking sources of state or local funds to retain the additional officer positions. Grantees may be required to produce evidence of their progress in implementing their retention plans during any monitoring or audit activities. Additionally, grantees are required to answer questions in the department annual reports—progress reports regarding retention plans.

The COPS Office monitors retention to ensure that the grantee complied with the retention requirement for a minimum of 12 months after the conclusion of the COPS Office hiring grant funding period for each sworn officer position. This means that grantees must complete the budget cycle in which the grant funding period ends plus 12 months.

1. See the Glossary (appendix C) on page 107 for a definition of the hiring grant funding period.

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Grantees who cannot comply with the retention requirement and wish to request an exemption from the retention requirement must submit documentation to support mitigating circumstances that prevent retention. The COPS Office will review each situation on a case-by-case basis to determine if there is evidence of sufficient mitigating factors to justify an exemption from the retention requirement. Examples of possible acceptable mitigating circumstances are provided at the end of this section. Those agencies exempted from the retention requirement will be required to wait at least one year before applying for additional COPS Office funding that contains a retention requirement. The one-year waiting period begins at the end of the applicable grant funding or redeployment period, when the retention requirement would have begun.

Mitigating circumstances are those which demonstrate severe financial distress, a natural disaster, or similar factors that significantly impacted a grantee's financial circumstance and prevented retention. Mitigating circumstances may include, but are not limited to, the following situations when documented by the grantee:

- Jurisdiction has been declared bankrupt by a court of law.
- Jurisdiction has been placed in receivership, or its functional equivalent, by the state or Federal Government.
- Jurisdiction has been declared a financially distressed area by its state or a Federal Government agency.
- Budgetary imbalance or expenditure cutbacks have resulted in significant reductions in other services provided by the law enforcement agency or significant reduction-in-force of the agency's personnel.
- Extraordinary and unanticipated nonrecurring expenses or loss of revenue (including closure or relocation of major employers) have resulted in material effect on a jurisdiction's fiscal condition.
- Jurisdiction's bond rating has been significantly downgraded for fiscal-related reasons.
- Jurisdiction has filed for bankruptcy, receivership, or similar measure, with the request for relief pending.
- Location is 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.

Addendum to COPS retention policy on retention exemptions for recipients of the Tribal Resources Grant Program hiring grants (TRGP-Hiring). When a TRGP-Hiring grantee is not able to retain their grant-funded position(s), the TRGP-Hiring grantee may apply for a retention exemption and the COPS Office will conduct a standard compliance review of the retention requirement. If the TRGP-Hiring grantee is exempted from the retention requirement, the grantee will be notified of the opportunity to apply for continuation funding for the exempted

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grant position(s) through the next TRGP announcement in the Coordinated Tribal Assistance Solicitation (CTAS). The eligibility for tribal grantees seeking a continuation of TRGP hiring grant funding will only be for the positions that were exempted, and if the tribal grantee is approved for continuation funding, this funding will only be allowed on a one-time basis per grantee. If the tribal grantee has successfully demonstrated qualification for a retention exemption, and is denied continuation funding, the one-year restriction from applying for and being awarded new grant funded positions with the retention requirement will remain in effect per current compliance protocol. If the tribal grantee cannot demonstrate qualification for an exemption from the retention requirement, per current compliance protocol, the tribal grantee will be ineligible to apply for or receive any COPS Office grant funding for three years from the date of the notice of noncompliance for failure to retain, and the tribal grantee will also be ineligible for consideration for continuation funding.

Impact of failure to retain on other active COPS grants. An agency which fails to retain officer positions funded by one COPS Office grant may also be in violation of the nonsupplanting requirement for an unapproved reduction in baseline officer positions if the grantee also has other active COPS Office hiring grants. For example, a failure to retain one COPS Office-funded officer position, which otherwise would have been retained with local funding, may result in an unapproved baseline reduction for the active grant, since the retained COPS Office-funded officer position should have increased the locally funded baseline by one position. To comply with the nonsupplanting requirement, the grantee must demonstrate that the failure to retain the officer position with state or local funding following grant expiration occurred for reasons unrelated to the hiring grant.

Allowable costs

Definition

Allowable costs are those costs that a particular COPS Office program will fund, as specified in the approved budget and the Financial Clearance Memorandum (FCM) (see Uniform Administrative Requirements under 28 CFR Parts 66 and 70). The FCM limits the amount that may be charged for each category. However, the COPS Office reserves the authority to reprogram the grantee budget upon request. The costs should be reasonable in nature and permissible under the specific grant conditions.

Allowable costs are different for hiring and non-hiring grants.

Hiring grants

For hiring grants, allowable costs encompass the entry-level salaries (including specifically approved fringe benefits and cost-of-living increases as specified and approved in the grant award) for three years (36 months) for newly hired, additional sworn entry-level, lateral-transfer, or

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rehired officers. Allowable salaries and fringe benefits must be based on the grantee's standard entry-level salary/fringe benefits package, regardless of the experience of the individual officers hired (although grantees may pay any extra costs with local funds).

If the award is for a full-time hiring grant, funding allows for hiring new, full-time sworn officer positions at the grantee's standard entry-level salary and approved fringe benefit rate. However, grantees may pay higher than entry-level salary and fringe benefit amounts to individual officers using local funds in addition to the required local cash match. Alternatively, with prior written approval from the COPS Office, a grantee may promote a part-time officer to the full-time COPS grant funded position, as long as the grantee replaces the part-time vacant position with a newly hired officer using local funding before expending COPS Office grant funds on the new full-time position. The newly hired, additional COPS Office-funded sworn officer may be deployed to fulfill the community policing functions of the grant, or the department alternatively may redeploy one veteran officer for each new hire to community policing activities.

If the award is for a part-time hiring grant, the salary costs, including approved fringe benefits, are only allowable if grant funds are used to pay for a newly hired part-time officer, not to increase the hours of the currently employed part-time officer(s). Part-time hours are defined by the grantee in the application and approved by COPS in the Financial Clearance Memorandum (FCM). However, both the COPS CHRP and CHP grant programs are awarded only as full time officer positions.

For both full-time and part-time grant awards, it is acceptable for grantees to recruit and hire non-sworn officers with COPS Office grant monies as long as the individual will promptly become a sworn officer through the standard training and swearing-in procedures required by the grantee's state, local, or tribal law. Grant funds may be used to pay the non-sworn recruit's entry-level salary and approved fringe benefits if your agency's standard practice is to pay recruits while in training.

The determination of allowable costs for hiring grants is based on the grantee's standard salary and fringe benefits for entry-level sworn officer positions (though some particular benefits offered by the grantee may not be included as allowable costs by the COPS Office program). The grantee may pay additional salary costs with local funds in instances where officers under CHP are paid higher salaries than entry level. The approved COPS Office budget and FCM will specify the approved allowable federal costs and the recipient's required local cash match.

COPS Hiring Recovery Program (CHRP) allowable costs. The funding under this project provides 100 percent funding over three years (for a total of 36 months of funding) for career law enforcement officer positions' entry-level salaries and benefits for newly hired, full-time sworn officer positions or for rehired officers who have been laid off or are scheduled to be laid off on or after the official grant award start date. Any salary and fringe benefit costs higher than entry level that your agency pays a CHRP-funded officer must be paid with local funds.

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Your agency is required to use CHRP grant funds for the specific hiring categories awarded. Funding under this program may be used for the following categories:

- Hiring new officers, which includes filling existing officer vacancies that are no longer funded in your agency's budget due to state, local, or tribal budget cuts
- Rehiring officers who had already been laid off at the time of application as a result of state, local, or tribal budget cuts
- Rehiring officers who were, at the time of application, scheduled to be laid off on a future date as a result of state, local, or tribal budget cuts

COPS Hiring Program (CHP) allowable costs. The FY 2012 COPS Hiring Program will award up to \$111 million in grants to address the full-time sworn officer needs of state, local, and tribal law enforcement agencies nationwide and to increase their community policing capacity and crime prevention efforts. The 2012 CHP grant program was not an open solicitation, and only agencies with a pending 2011 CHP application were invited to provide targeted updates for FY 2012 CHP funding consideration. Agencies whose requests were fully funded in FY 2011 or that had received 25 officer positions were not eligible to apply for 2012 CHP awards funding.

Allowable costs: fundable requests. Allowable costs are costs that will be paid for by this grant program. The only allowable costs under CHP are the approved full-time entry-level salaries and fringe benefits of newly hired or rehired sworn career law enforcement officers hired or rehired on or after the award start date. A career law enforcement officer is a person hired on a permanent basis who is authorized by law, or by state, local, or tribal agency, to engage in or oversee the prevention, detection, or investigation of violations of criminal laws. New officers that an agency is seeking to hire with CHP funds must be military veterans. An agency seeking to rehire officers scheduled to be laid off on a specific future date with CHP funds must continue to fund them with local funds through the grant award date until the date of the scheduled layoff. Officers previously employed by your agency who have been (or are currently scheduled to be) laid off as a result of budget cuts may be rehired using CHP grant funds, but funding requests must be limited to your agency's entry-level salaries and fringe benefits for full-time officers. Please be aware that your agency will be responsible for paying any costs that exceed entry-level salaries and fringe benefits with local funds. CHP grants provide 36 months of funding for sworn officer positions. Funding requests must be based upon the applicant's current (at the time of application) need for funding in the three hiring categories (new hires, rehires of previously laid-off officers, and rehiring officers who are scheduled to be laid off on a specific future date). When evaluating how many CHP positions to request, please be mindful of the military veteran requirement, the local cash match requirement, the maximum federal contribution per position, and your agency's ability to fill and retain the officer positions awarded while following your agency's established hiring policies and procedures. Requests may be made only for positions that are not otherwise budgeted with state, local, or BIA funds and that would not be funded in the absence of the CHP grant.

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Tribal Resources Grant Program (TRGP-Hiring) allowable costs. The funding under this project is for the payment of approved costs to meet the most serious needs of law enforcement in tribal communities. The allowable costs for which your agency's grant has been approved are limited to those listed on the Financial Clearance Memorandum (FCM), which are included in your agency's award package.

The FCM specifies the exact items that your agency is allowed to fund with your TRGP-Hiring grant and the overall amount approved for each budget request category. The FCM describes any costs which have been disallowed after review of your proposed budget. Your agency may not use TRGP-Hiring grant funds for any costs that are not identified as allowable in the FCM.

TRGP-Hiring funds may only be used to pay entry-level salaries and fringe benefits for 36 months for career law enforcement officers hired or rehired on or after the award start date. You may use the TRGP-Hiring grant to hire or rehire experienced officers, but grant funding must be limited to paying your agency's entry-level salary and fringe benefits; any costs higher than entry level must be paid by your agency with local funds.

TRGP-Hiring grant funding may also be used to pay the approved entry-level salaries and approved fringe benefits of newly hired officer recruits while they are in basic academy training prior to swearing them in, if your agency's standard practice is to pay recruits while in training.

Salaries covered by TRGP-Hiring must be based on your agency's standard entry-level salary and fringe benefits package under the laws or rules that govern hiring by your agency. Salary and fringe benefits payments must be based on payroll records supported by time and attendance records or their equivalent. Examples of the types of records your agency must keep to document allowable costs are described in section V "Basic Grants Management and Record Keeping Tips" on page 9 of this manual. Any additional costs above the approved entry-level salaries and approved fringe benefits are the responsibility of the grantee agency.

Civilian positions, overtime, training, weapons, communication equipment, and vehicles cannot be funded with your TRGP-Hiring grant.

Allowable costs: indirect costs. Indirect costs are costs that are incurred for common or joint purposes and are not readily assignable to a particular project but are necessary to the operation of the agency and the performance of the project. Examples of indirect costs include those incurred for facility operation and maintenance, depreciation, and administrative salaries. Indirect costs must adhere to the standards set forth in the applicable Office of Management and Budget (OMB) costs principles 2 CFR Chapter I, Chapter II, Part 200, et al.

COPS Safe Schools Initiative—allowable costs

The federal assistance under these grants provides funding to state and local agencies to assist in delinquency prevention, community planning and development, school safety resources, and technology development. This funding will allow recipients the opportunity to establish

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and enhance a variety of school and community safety equipment or programs to encourage the continuation and enhancement of child welfare efforts within their communities. Additional information can be found in the Grant Owner's Manual at www.cops.usdoj.gov/pdf/SSI/e09107304_SSI-GOM_090810.pdf.

COPS 2010 Technology awards—allowable costs

The funding under this project is for the payment of approved costs for the continued development of technologies and automated systems to assist state, local, and tribal law enforcement agencies in investigating, responding to, and preventing crime. The allowable costs for which your agency's grant has been approved are limited to those listed on the Financial Clearance Memorandum (FCM), which is included in your agency's award package.

The FCM specifies the costs that your agency is allowed to fund with your Technology grant. It also describes any costs which have been disallowed after review of your proposed budget. *Your agency may not use Technology grant funds for any costs that are not identified as allowable in the Financial Clearance Memorandum. For additional information, please see the Grant Owner's Manual at www.cops.usdoj.gov/Default.asp?Item=2541#tech2010.*

COPS 2009/2010/2011 Child Sex Predator Program—allowable costs

The funding under this project is for the payment of approved costs for activities related to the establishment and enhancement of a variety of problem-solving strategies to reduce child endangerment. The allowable costs for which your agency's grant has been approved are limited to those listed on the Financial Clearance Memorandum (FCM), which are included in your agency's award package.

The FCM specifies the exact items/services that your agency is allowed to fund with your Child Sexual Predator Program grant. The FCM specifies the overall amount approved for each budget request category. It also describes any costs which have been disallowed after review of your proposed budget. *Your agency may not use Child Sexual Predator Program grant funds for any costs that are not identified as allowable in the Financial Clearance Memorandum and Final Funding Memorandum. For additional information as provided in the Child Sex Predator Program Grant Owner's Manual, please go to www.cops.usdoj.gov/Default.asp?Item=2541 and select the grantee award year and grant program awarded.*

Examples of allowable and unallowable costs

Hiring grant allowable costs. Allowable costs include the salaries and approved fringe benefits for three years (36 months) for sworn entry-level, lateral-transfer, or rehired officers. Under the COPS CHRP Program and the 2010/2011 CHP program, up to 100% of the entry-level salary and benefits actually incurred could be paid by grant funds. However, under the 2012 and 2013 programs, 75% of the entry-level salary and approved fringe benefits actually incurred could be paid by grant funds and the remaining 25% paid by local funding with a cap of \$125,000 over three years.

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- Approved fringe benefits include, but are not limited to, department costs for FICA/social security, health insurance, life insurance, vacation and sick leave not included in base salary, retirement benefits contribution, worker's compensation, and unemployment insurance. Fringe benefits must be part of the grantee's standard benefits package for locally funded entry-level officers to qualify as allowable costs under the COPS grant. Fringe benefits that are absolutely *not* approved are costs of equipment, training, uniforms, vehicles, and overtime. For assistance in determining other allowable costs approved under specific hiring grants, please refer to the COPS Office budget memorandum, which all grantees receive as part of their award package. For more information regarding allowable fringe benefits, see appendix A on page 75.
- Salary and benefits may be paid during training if this is the grantee's standard practice for all officers. Examples of training include, but are not limited to, academy training, field training, and probationary training.
- If the grantee chooses to transfer veteran officers into community policing activities, the veteran officers do not have to begin those activities until the new hires finish the required training program for that particular grantee. (Training programs include academy, field, and probationary training). The reason for this policy is twofold. First, if veterans are deployed to community policing while the new hires are in training or are not fully prepared to fill the vacant positions, there will be a deficiency in another area of the police department. Second, the policy encourages consistency for COPS Office grantees by allowing departments to transfer veterans to community policing at the time that the newly hired officers graduate from training, which is the same time that the newly hired officers otherwise would have been deployed directly into community policing.

Note: In this circumstance, the allowable costs are still the costs associated with the newly hired officers, rather than the veteran locally funded officers who are redeployed into community policing to fulfill the grant requirements.

The FCM specifies the approved allowable costs for each grant award. Under the hiring grants, those items not approved are unallowable costs. Examples of those costs include, but are not limited to, the following:

Hiring grant unallowable costs

- overtime
- training (other than salary or approved fringe benefits paid during training)
- weapons
- communication equipment
- uniforms
- vehicles
- indirect costs (allowable only if specified in the Financial Clearance Memorandum)

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Source and amount of matching funds

Definition

The COPS Office statute dictates that federal funding for COPS Office hiring grants may not exceed 75% of total grant project costs unless a waiver of the requirement is provided 42 USC § 3796dd (g). In addition, for COPS Office hiring grants, the COPS Office statute requires that the federal share shall decrease from year to year with the applicant assuming a progressively larger local share. See *Id.*, 42 USC § 3796dd-1 (8).

The 2013 COPS Hiring Program requires a local cash match, and in the absence of a local match waiver, the grantee is obligated to match a portion of the costs. The grant awards may cover only up to 75% of the project costs over the grant period as outlined in the application submission; therefore, the grantee must contribute *at least* 25% of total project costs unless a waiver is obtained from the COPS Office. Waivers are approved on a case-by-case basis based on severe fiscal distress. Qualifying agencies may receive a partial waiver, in which 90% of the project costs are paid by federal funds with a corresponding 10% local cash match; or a full waiver, in which 100% of the project costs are paid with federal funds.

Under the Tribal Resources Grant Program (TRGP), the Tribal Law and Order Act of 2010 amended the COPS Office statute to provide 100% federal funding for COPS TRGP. Therefore, the local match requirement is not applicable to tribal grant funding awarded under TRGP. See *P.L. 111-211 § 243*, 42 USC § 3796dd (j) (3) (A).

Any required local cash match must be fully paid before the end of the grant funding period. The grantee must be able to identify the source of matching funds, the amount paid, and the timing of the payments. The local cash match requirement follows the logic that the COPS Office supplies grant money to law enforcement agencies to initiate or enhance community policing.

Conditions

The COPS Office grant will provide up to 75% of an entry-level salary and approved fringe benefits over three years. Grantees are responsible for at least 25% of the salary and approved fringe benefit package through the local cash match. If a particular COPS Office grant-funded officer's salary is not entry level due to experience (e.g., a lateral hire from another jurisdiction), academic attributes, or other reasons, any portion of the salaries or approved fringe benefits greater than entry level must be provided by the grantee in addition to the required local cash match.

Local match guidelines. There are several guidelines that must be observed by grantees when meeting the local match requirement, regardless of the type of grant awarded. One of these guidelines concerns the minimum required level of local match funding throughout the life of the grant.

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The type of match must be a cash match and the source of funding may not be federal unless specifically authorized by federal statute. The funding for the local cash match must be in addition to funds previously budgeted for law enforcement purposes and may not have come from other COPS Office grants. The grantee must be able to identify the source of their matching funds. Ideally, it is beneficial if a grantee proactively documents the specific source and timing of the local cash match in a separate line item in the budget.

Grantees must also be able to demonstrate that they budgeted the additional funds to pay for the local cash match after the grant award start date or, if prior to that date, (a) in specific anticipation of receiving the COPS grant award or (b) as reserve or discretionary monies that were not otherwise obligated for a specific law enforcement purpose. If the supporting documentation clearly indicates that either of these conditions exists, the grantee may use those funds as an acceptable source for the local cash match. If the documentation cannot support a causal link between the budgeted funds and the anticipation of the grant award, or if the funds are not in addition to funds previously budgeted for specific law enforcement purposes, there is a violation of the matching funds requirement.

It should also be noted that grantees are not required to provide a cash match if the law enforcement agency obtained a local match waiver from the COPS Office. Only a small portion of waiver requests are granted, and they are considered at the time of application or post-award if the community can prove severe financial distress or other severe mitigating factors. Grantees who receive a waiver should have a copy of the COPS Office's notification of the approved waiver on site with their grant records.

Examples—acceptable sources of matching funds

- new local appropriations
- state funds: it is permissible to use state funds only if allowable by state law
- other federal funds: it is permissible to use federal funds only if specifically authorized by Federal statute (e.g., funds appropriated for Indian tribal governments or the Bureau of Indian Affairs (BIA) performing law enforcement functions on Indian lands; funds received through the assets forfeiture equitable sharing program; or funds awarded by another federal agency whose statute specifies that those funds may be used as local match to other federal grants)
- other state or local grant funds: it is permissible to use other state or local grant funds as local match only if allowable by that particular state or local grant program
- reserved, discretionary, and other undesignated state or local funds

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Supplanting

Definition

For the purpose of COPS Office grants, supplanting means using COPS Office grant funds to replace state, local, or BIA funds which otherwise would have been spent on the specific law enforcement purpose of the COPS Office grant award. To comply with the nonsupplanting requirement, COPS grant funds must supplement the budget of the law enforcement agency, not replace any currently, historically, or future appropriated funds for the grant purposes. For example, COPS hiring grant funds may not replace state or local funding for hiring sworn officers that would have been budgeted in the absence of receiving COPS Office grant funding.

The nonsupplanting requirement of the COPS Office statute reads as follows:

- * Funds made available under [the COPS statute] to States or units of local government shall not be used to supplant State or local funds, or, in the case of Indian tribal governments, funds supplied by the Bureau of Indian Affairs (BIA), but shall be used to increase the amount of funds that would, in the absence of Federal funds received under [the COPS statute], be made available from State or local sources, or in the case of Indian tribal governments, from funds supplied by the Bureau of Indian Affairs. 42 U.S.C. § 3796dd-3(a).

Conditions

Regardless of the type of grant, complying with the nonsupplanting requirement entails using COPS Office grant funds to increase the level of state, local, or BIA funds that would be made available for grant purposes in the absence of the grant (the baseline level of funding). For hiring grants, the increased level of funding pertains to hiring new officers.

Generally speaking, this means that grantees must (a) use their grant funds to hire officers after the grant award start date (unless the COPS Office specifically authorizes the use of funds for pre-award hires or purchases) and (b) use their grant funds to increase the amount of local funds otherwise budgeted and expended for the specific grant purpose by hiring additional officers and taking active and timely steps during the grant periods to fill vacancies in their locally funded sworn forces or civilian personnel.

While these general requirements apply to COPS grantees, they may still demonstrate compliance with the nonsupplanting requirement even if they (a) use funds to pay for officers hired or items purchased pre-award, as long as the grantee can demonstrate that the individuals were hired, or the items purchased, in specific anticipation of receiving grant funds (and, therefore, that no state, local, or BIA funds were already budgeted for those hires or purchases); or (b) reduce their local budgets for sworn personnel, as long as the grantee can demonstrate that the reductions in state, local, or BIA funding occurred for reasons unrelated to the receipt of COPS Office grant funds (and therefore no state, local, or BIA funds would have remained in the budget for those purposes even in the absence of the COPS Office grant).

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The supplanting analysis is therefore generally a two-step process:

1. Do facts exist that look like possible supplanting (e.g., COPS Office funds paid to an officer or civilian hired pre-award; reductions in local funding for sworn officers during the life of an active COPS Office hiring grant)? If so,
2. Can the grantee demonstrate either that (a) it would not have hired the officers unless it had anticipated the receipt of the COPS Office grant because it had no state, local, or BIA funds budgeted for that purpose (in the case of pre-award hires or purchases) or (b) it would have reduced its budget for sworn officers for reasons unrelated to the COPS grant, even if the grant had not been awarded (in the case of budget reductions)?

If the grantee can demonstrate these circumstances, it has not violated the nonsupplanting requirement—despite the fact that it may appear to be supplanting—because the grantee can demonstrate that COPS Office funds did not actually supplant (replace) state, local, or BIA funds that otherwise would have been spent for those purposes.

Fact patterns which might appear to be possible supplanting violations and trigger a further review occur in four primary areas:

3. Hiring sworn personnel **before** the award start date
4. Delays in filling vacant locally funded sworn officer positions or civilian positions, depending on the type of grant
5. Decreases in the baseline level of funding for sworn officers during the grant period
6. Decreases in the baseline level of sworn officer or civilian positions during the grant period

Hiring sworn personnel before the award start date

Grantees are prohibited from using COPS Office grant funds to pay for officers or civilians who are hired prior to the award start date without prior written approval from the COPS Office. To obtain such approval, the grantee must provide documentation from the time of the pre-award hiring that proves that the additional officers or civilians were hired in specific anticipation of receiving COPS Office grant funds and were not otherwise funded with state, local, or BIA funds.

Acceptable forms of documentation may include (and must be dated on or about the time of the pre-award hiring)

- internal departmental memoranda linking the hiring to the anticipated COPS grant funding;
- governmental memoranda linking the hiring to the anticipated COPS grant funding;

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- documentation provided to the officers or civilians in question explaining that continued employment is contingent upon receiving grant funds;
- budget documentation demonstrating that the positions in question were not funded with state, local, or BIA funds (or were funded with anticipated incoming COPS grant funds).

Exception to pre-award hiring prohibition: part-time to full-time promotions. If the supporting documentation, or lack thereof, reveals that pre-award hiring was not a direct result of anticipated grant funds but would have occurred regardless of the grant availability, or if a grantee promoted a locally funded officer or civilian from part-time to a full-time COPS Office grant position but did not backfill the resulting part-time vacancy with local funds, a supplanting violation has occurred.

Requirements for written approval. Under any early hire situation or promotions from a locally funded part-time to full-time COPS Office grant-funded position, COPS Office grantees are required by their grant conditions to seek prior written approval from the COPS Office for the requested use of funds. Grantees who failed to obtain prior written approval from the COPS Office before using COPS Office grant funding for pre-award hires or purchases must seek a retroactive review of their use of funding to determine compliance.

Delays in filling vacant locally funded sworn officer positions or civilian positions

COPS Office grantees must take active and timely steps through their standard recruiting and hiring procedures to fill vacancies arising in their locally funded sworn officer (depending on the type of grant) positions. Any delay in filling locally funded vacancies must not be a direct result of receiving grant funds.

A situation independent of the grant, such as a local hiring freeze, a pending litigation, or an officer's deployment to military leave, may prevent the grantee from adhering to historical practices and result in a delay in filling locally funded vacancies. If grantees deviate from their standard hiring procedures in these or other cases, documentation should demonstrate the reasons for the deviation. If, after reviewing all pertinent documentation, the grantee has demonstrated that the delays occurred for a reason unrelated to the COPS Office grant, a supplanting violation has not occurred.

If grantees do not have formal documented procedures for hiring and recruiting, historical practices may be used as evidence of standard procedures. In the situation where grantees have continued to follow those historical practices for filling vacancies in locally funded positions during the period of the grant, the nonsupplanting requirement is met.

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For grantees without formal written guidelines, the following items are examples of information that could be considered in evaluating active recruiting and timely filling of vacant locally funded positions.

- If the grantee typically hires replacement law enforcement officers from a civil service list of certified candidates: confirmation from the grantee or a civil service official showing that the grantee followed historical practices in requesting, reviewing, or interviewing from the list during the grant period
- If the grantee hires replacements to coincide with state, local, or law enforcement agency training academies: verification from the grantee or an academy official showing that the grantee followed similar practices after the grant award start date
- If the grantee claims that high turnover rates make it difficult to fill all vacancies quickly: evidence prior to the grant period showing that the high turnover rates reflect the grantee's historical hiring and attrition patterns
- If the grantee is filling both COPS Office-funded positions and locally funded positions: both should be filled at approximately the same rate. If a grantee fills COPS Office vacancies at an unreasonably faster rate, then it must justify that its reasons for doing so are unrelated to the receipt of COPS Office grant funding

The existence of locally funded vacancies (of any number) during the grant period is not, by itself, a violation of grant requirements, as long as the grantee can demonstrate that it is taking active and timely steps to fill those vacancies or that delays in filling the positions are unrelated to the receipt of COPS grant funds.

Grantees experiencing a delay in filling locally funded vacancies may contact the COPS Office to request written guidance on whether the delay complies with the nonsupplanting requirement.

Decrease in the baseline level of funding

The goal of the hiring grants is to increase the baseline level of state, local, or BIA funds that would otherwise be budgeted for sworn officer positions (hiring grants) with COPS Office grants funds. For the purposes of the COPS Office, the determinant for a possible supplanting violation includes both the level of funding and the level of sworn officer positions (hiring grants).

To determine the baseline level, the state, local, or BIA funding for sworn officer or civilian positions (depending on the type of grant) and number of sworn officer or civilian positions must be measured as of each grant's threshold review date. (See appendix D "Examples of

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compliance/noncompliance cases" on page 112 of this manual for the applicable review date for each type of COPS grant.) This level should be reviewed for each fiscal year during the grant period to determine whether any additional state, local, or BIA funding was budgeted for additional positions after the original threshold date. If the baseline funding increased during the grant period, the highest documented level of state, local, or BIA funding or positions for sworn officers or civilians should be used as the new baseline level from that date forward during the remainder of the grant and retention periods.

If, during the grant period, the state, local, or BIA baseline level of funding or number of sworn officer or civilian positions has decreased, the grantee must be able to demonstrate (with supporting documentation) that the reduction in funding or force occurred for a reason unrelated to the receipt of COPS Office funding (such as fiscal distress, civilianization of sworn positions, or a management reorganization unrelated to the COPS Office) to comply with the nonsupplanting requirement. Acceptable forms of supporting documentation may include, but are not limited to

- state, city, or county council meeting minutes;
- internal departmental budget directives;
- internal law enforcement agency documents;
- independent management studies recommending reductions;
- documentation for other local agencies outlining budget reductions;
- evidence that, although the number of baseline officer positions may have decreased during the grant period, the level of state, local, or BIA funds for those positions did not decrease (as a result of increasing officer salary costs, for example, or because fewer part-time officers were assigned to cover hours previously worked by a higher number of part-time officers).

Impact of failure to retain on supplanting analysis

An agency with multiple COPS Office hiring grants that fails to retain officer positions following the expiration of one hiring grant may be in violation of the nonsupplanting requirement on its later hiring grants for an unjustified reduction in baseline officers. For example, a failure to retain one (1) COPS officer position that otherwise would have been retained with local funding may result in an unapproved baseline reduction for the active grant, because the retained COPS Office-funded officer position should have **increased** the grant baseline by one position. To comply with the nonsupplanting requirement, the grantee must demonstrate that the failure to retain the officer position with state, local, or BIA funds upon grant expiration, occurred for reasons unrelated to the grant.

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It is important to note that a nonsupplanting violation only occurs if a grantee reduces its locally funded law enforcement budget (and corresponding number of positions) as a direct result of receiving COPS Office funding. To verify compliance, grantees are required to demonstrate that any reduction in local funding for sworn officers and civilians or a reduction in the number of sworn officer and civilian positions is unrelated to the receipt of COPS Office funds.

Examples—supplanting situations

- Grantee delays filling locally funded vacancies as a result of receiving COPS Office funds for additional sworn officers (or civilians, depending on the grant).
- Grantee reduces its budget of state, local, or BIA funds for sworn personnel (or civilians, depending on the grant) as a direct result of receiving COPS Office funds.
- Grantee fails to retain an officer position while implementing other active hiring grant(s), resulting in a failure to increase its locally funded baseline (by the retained position) for the active grant(s).

Reporting

Definition

Two types of reports are required from grantees:

1. Program Progress Reports
2. Federal Financial Reports (formerly Financial Status Reports)

Reports are survey instruments that the COPS Office uses to monitor grants. For hiring grants, the progress reports request information about the status of the grant in terms of selection, hiring, and training; characteristics of the officers hired; descriptions of officer activities; and general information about the department. The Federal Financial Reports (required of hiring grantees) request information on monies spent, including amounts for federal expenditures, local (cash) matching contributions, and the unobligated balance of the award.

Conditions

Federal Financial Reports require the same format for all grants. Grantees are required to complete the Federal Financial Reports for every quarter of the active grant period even if the grant has been in effect for only a portion of the reporting period and no money has been drawn down.

Federal Financial Reports. All COPS Office grantees are required to submit quarterly Federal Financial Reports (FFRs) using a Standard Form 425 (SF-425). This report reflects the cumulative actual federal monies and unliquidated obligations incurred local (cash) matching contributions, and the unobligated balance of federal funds.

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

Table 1. SF-425 due dates by quarter

REPORTING QUARTER	DATE DUE
January 1 – March 31	April 30
April 1 – June 30	July 30
July 1 – September 30	October 30
October 1 – December 31	January 30

Grantees are highly encouraged to submit the quarterly SF-425 online. Visit the COPS Office website at www.cops.usdoj.gov and select the "Account Access" link in the upper right corner to log in and complete and submit reports online.

For more information regarding the new COPS Office agency portal, please refer to the COPS Agency Portal FAQs at www.cops.usdoj.gov/Default.asp?Item=2566.

If a grantee is unable to submit the SF-425 online, a signed copy of the completed SF-425 can be faxed to 202-514-2852 or 202-616-9004 or mailed to the following address:

U.S. Department of Justice
Office of Community Oriented Policing Services
Federal Financial Reports (SF-425) Control Desk, 10th Floor
145 N Street NE
Washington, DC 20530

This report requests information on total monies spent, the breakdown by federal expenditure and local (cash) match, and unobligated amounts. All Federal Financial Reports must be completed and sent to the COPS Office no later than 30 days following each calendar quarter. Grantees who do not submit an SF-425 by the due date will be unable to draw down funds. The payment system contains an edit that checks for SF-425 delinquency and will reject a draw down attempt if the report is not up to date.

For general information concerning online filing of SF-425 reports, go to www.ojp.usdoj.gov/oc or contact the COPS Office Response Center by phone at 800-421-6770 for additional technical assistance or by e-mail at askCOPSRC@usdoj.gov.

Final Reports. Final Programmatic Reports are intended to capture the history of the grant and ensure completion of the required project. Hiring grantees are required to submit Final Programmatic Reports and Final Federal Financial Reports to the COPS Office so that the COPS Office may officially close out the grant award. Final Federal Financial Reports should reflect the total amount of federal expenditures, total amount of matching contributions, and the amount of unobligated funds, if any. Any unobligated or unspent funds must be returned

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to the COPS Office and will be deobligated from the award amount.

Special conditions

Definition

Special conditions are incorporated as terms, conditions, and requirements of the award. They may include special provisions for additional submissions, monitoring or site visits, audits, or reporting requirements.

CP-SAT

Definition

The community policing self-assessment tool (CP-SAT) was developed by ICF International and the Police Executive Research Forum, in coordination with the COPS Office. The CP-SAT was created as a tool to provide agencies with the ability to measure the extent to which they have implemented community policing initiatives and provide them direction in areas that they can develop. It is intended to be a useful management tool for agencies funded under the COPS Hiring Program (CHP) and is mandatory for CHP agencies awarded in FY 2011 and later. The CP-SAT is available on a voluntary basis to 2009 COPS Hiring Recovery Program (CHRP) grantees and is also available by request for self-administration and use by other agencies. Agencies that are required to complete the CP-SAT under a COPS hiring grant, but who have previously completed a CP-SAT within the past three years under another COPS grant or on a voluntary basis, can be exempted from the current grant requirement. However, these agencies are still required to take the second administration of the CP-SAT during the grant period. CP-SAT guidelines outlined in this policy document are only applicable to CHP grants awarded in FY 2011 and later.

The results of the CP-SAT will not adversely impact an agency's grant or future funding opportunities with the COPS Office. The tool is intended to create an objective measure of a law enforcement agency's current community policing practices. The assessment captures information about community partnerships, problem solving, and organizational impact. Following completion of the CP-SAT, the agency executive and designated agency point of contact (POC) for CP-SAT administration will receive a report summarizing the agency's community policing activities, which can be a useful management tool as it identifies the agency's community policing strengths and areas in need of additional attention.

The CP-SAT is provided free of charge as a resource for CHP grantees to manage their community policing goals. The tool consists of a short community policing survey which will be administered to agency staff at all ranks, relevant civilian personnel, and community partners. The COPS Office, through a third-party provider, will support the entire process, minimizing any burden on agency personnel. Individual agency results from the CP-SAT will be sent to the agency executive and the designated POC for CP-SAT administration. Agency-specific results will not be provided to or maintained by the COPS Office; however, the provider will furnish

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aggregate results to the COPS Office for review.

Federal civil rights/Equal Employment Opportunity Plan (EEO Plan)

Definition

In establishing financial assistance programs, Congress linked the receipt of federal funding to compliance with federal civil rights laws. As a result, recipients are required to comply with the civil rights requirements found in the non-discrimination provisions of Title VI of the Civil Rights Act of 1964, as amended (42 U.S.C. § 2000d); the Omnibus Crime Control and Safe Streets Act of 1968, as amended (42 U.S.C. § 3789d); Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 794); the Age Discrimination Act of 1975 (42 U.S.C. § 6101, et seq.); Title IX of the Education Amendments of 1972, as amended (20 U.S.C. 1681 et seq.); and the corresponding DOJ regulations implementing those statutes at 28 C.F.R. Part 42 (subparts C, D, E, G, and I).

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

Conditions

Federal civil rights. As a condition of receipt of federal financial assistance, the recipient acknowledges and agrees that it will not (and will require any sub grantees, contractors, successors, transferees, and assignees not to), on the grounds of race, color, religion, national origin (which includes providing limited-English proficient persons meaningful access to your programs), sex, disability, or age, unlawfully exclude any person from participation in, or deny the benefits of, 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. In addition, the recipient agrees to comply with Executive Order 13279 Equal Treatment for Faith-Based Organizations and its implementing regulations at 28 C.F.R. Part 38, which requires equal treatment of religious organizations in the funding process and non-discrimination of beneficiaries by faith-based organizations on the basis of belief or non-belief.

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

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

The obligations to comply with the EEO Plan requirement differ depending on your organization's

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legal status, the number of its employees, and the amount of the award.

If your organization has fewer than 50 employees or receives an award of less than \$25,000 or is a nonprofit organization, a medical institution, an educational institution, or an Indian tribe, then it is exempt from the EEOP requirement. To claim the exemption, your organization must complete and submit section A of the Certification Form to the Office for Civil Rights (OCR), Office of Justice Programs, U.S. Department of Justice, 810 7th Street NW, Washington, DC 20531. The Certification Form can be found at www.ojp.usdoj.gov/about/ocr/pdfs/cert.pdf.

If your organization is a governmental agency or private business *and* has received an award between \$25,000 and \$500,000 *and* has 50 or more employees (counting both full- and part-time employees but excluding political appointees), then it must prepare a Utilization Report (formerly called an EEOP Short Form), but it does not need to submit it to the OCR for review. Instead, your organization must maintain the Utilization Report on file and make it available to the OCR for review on request. In addition, your organization must complete and submit section B of the Certification Form to the Office for Civil Rights (OCR), Office of Justice Programs, U.S. Department of Justice, 810 7th Street NW, Washington, DC 20531. The Certification Form can be found at www.ojp.usdoj.gov/about/ocr/pdfs/cert.pdf.

If your organization is a governmental agency or private business *and* has received an award for \$500,000 or more *and* has 50 or more employees (counting both full- and part-time employees but excluding political appointees), then it must prepare a Utilization Report (formerly called an EEOP Short Form) and submit it to the Office for Civil Rights (OCR), Office of Justice Programs, U.S. Department of Justice, 810 7th Street NW, Washington, DC 20531 for review within 60 days of the notification of the award. In addition, your organization has to complete and submit section C of the Certification Form to the OCR. The Certification Form can be found at www.ojp.usdoj.gov/about/ocr/pdfs/cert.pdf.

For assistance in developing a Utilization Report, please consult the OCR's website at www.ojp.usdoj.gov/about/ocr/eeop.htm. To comply with the EEOP requirements, you may request technical assistance from an EEOP specialist at the OCR by telephone at 202-307-0690, by TTY at 202-307-2027, or by e-mail at EEOPforms@usdoj.gov.

28 CFR Part 23 criminal intelligence system

Definition

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

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tect individual privacy and constitutional rights.

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

Condition

Recipients using award funds to operate an interjurisdictional criminal intelligence system must comply with the operating principles of 28 C.F.R. Part 23. The recipient acknowledges that it has completed, signed, and submitted with its grant award the relevant special condition certifying its compliance with 28 C.F.R. Part 23.

All award recipients are required to agree to the criminal intelligence systems/28 C.F.R. Part 23 compliance special condition as part of their application or award package so the COPS Office can track which agencies intend to use their funds to operate interjurisdictional criminal intelligence systems. Agencies that intend to use award funds to operate an interjurisdictional criminal intelligence system must comply with 28 C.F.R. Part 23 in operating the interjurisdictional criminal intelligence system funded through your COPS Office grant.

High-risk designation

Definition

This designation means that grantees are subject to additional special conditions. These conditions are listed on the award and included in the award package. The U.S. Department of Justice, Office of Justice Programs (OJP), Office of Audit, Assessment, and Management (OAAM) will notify your agency if you are designated high-risk. The three (3) grant-making components (COPS, OJP, and OVW) will apply these special conditions to awards made after the agency is deemed high-risk. There are two general categories of high-risk designations:

1. automatic high-risk designations
2. high-risk designation referrals

Recipients deemed high-risk acknowledge the special conditions upon signing and returning the grant award. 42 U.S.C. § 3782 (OJP administrative authority); 28 C.F.R. § 66.12 (special grant or sub-grant conditions for high-risk grantees); 28 C.F.R. pt. 67 (Government-wide Debarment and Suspension (Non-procurement); OJP Order 2900.2 (High-Risk Grantee Designations); CP-103-21 (Restricted Grantees Policy).

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allowable costs. The hiring programs provide for salaries and approved fringe benefits for three years for sworn entry-level, lateral-transfer, or rehired officers. Only entry-level salary and approved fringe benefit costs are allowable under the grant. Overtime, training (other than salary and benefits paid during training), weapons, communication equipment, uniforms, vehicles and indirect costs are not allowable costs. The COPS budget memorandum itemizes what costs are allowable for a specific grantee's award.

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

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

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

baseline level. The baseline is the level of state, local, or Bureau of Indian Affairs (BIA) funding for sworn personnel (if a hiring grant) or for civilian personnel or equipment and technology that would exist in the absence of COPS Office grant funds. To comply with the nonsupplanting requirement, the grantee must use COPS grant funding to increase (supplement) the baseline at all times during the grant period. Reductions in the state, local, or BIA-funded baseline must be justified by the grantee as unrelated to the receipt of COPS Office grant funding.

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career law enforcement officer. Hiring grants allow for payment of approved entry-level salaries and approved fringe benefits for the hiring or rehiring of additional sworn career law enforcement officer positions. 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. COPS Office hiring grant programs only fund sworn officer/deputy positions who are first responders to calls for service. Sworn jail/correctional officers are *not* funded through COPS Office hiring grant programs. Grant funds allow for the hiring of new, additional officers over and above the number of sworn officers that an agency would fund with state, local, or BIA funds in the absence of the grant. Law enforcement agencies may enhance their community policing by deploying the new, additional COPS-funded officers into community policing or by deploying an equal number of veteran officers into community policing (and then back-filling the veteran officers' positions with the newly hired, additional COPS Office grant-funded officers).

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 all COPS programs is 16.710.

Central Contractor Registry (CCR). Institutions receiving any type of award from the Federal Government must register with CCR.

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

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

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

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

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COPS Office finance staff. The COPS Office finance staff handles your agency's financial and budgetary needs related to your application. 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, if awarded. To identify your staff accountant, please call the COPS Office Response Center at 800-421-6770, or visit the COPS Office website at www.cops.usdoj.gov.

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

Coordinated Tribal Assistance Program. In FY 2010, the U.S. Department of Justice issued a single coordinated solicitation, better known as the Coordinated Tribal Assistance Solicitation (CTAS), which encompasses tribal government-specific grant programs.

COPS Tribal Methamphetamine Program (Tribal Meth). The COPS Tribal Meth Program Initiative—Coordinated Program awarded under CTAS.

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

federally recognized tribe. Tribal entities that are recognized and eligible for funding and services from the Bureau of Indian Affairs by virtue of their status as Indian tribes. They are acknowledged to have the immunities and privileges available to other federally acknowledged Indian tribes by virtue of their government-to-government relationship with the United States as well as the responsibilities, power, limitation, and obligations of such tribes. Only federally recognized tribes are eligible to apply for COPS Office tribal grant funds. For further information, contact: Bureau of Indian Affairs, Division of Tribal Government Services, MS-4631-MIB, 1849 C Street NW, Washington, DC 20240, 202-208-2475.

FCM. Financial Clearance Memorandum. The FCM specifies the exact items/services the grantee is allowed to fund. It also describes any costs which have been disallowed after review of the grantee's budget. All grantees are responsible for reviewing their FCM to determine which costs have been approved, disallowed, or adjusted. Grantees may not use grant funds for any costs that are not approved in the FCM. Each FCM also has a "Comment" field to provide grantees further instruction or explanation of other budgetary actions.

FTE. Full-time equivalent officers. The COPS standard of one FTE is 228 shifts x eight hours (per shift), or 1,824 hours per year.

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grant award period. The grant award period runs from the official award start date, which may be found on the award document, for 36 months (if a hiring grant). If a grantee obtains a no-cost extension to the grant award period so that it may complete the programmatic requirements, the official grant award period is extended, providing an extension of time, not an extension of funding.

GNIS ID. The Geographic Names Information System (GNIS) database is maintained by the U.S. Geological Survey, U.S. Department of the Interior. The database assigns a unique, permanent feature identifier, the feature ID, which is the only standard federal key for integrating or reconciling feature data from multiple datasets.

grant number. This number, which is located on the official award document, uniquely identifies each grant and is presented in different formats depending on the grant program type and population the agency serves. The grant number contains 12 alpha-numeric characters arranged as shown below. Prior to FY 1999, the grant number contained only eight characters.

The first four characters represent the fiscal year the grant was awarded (e.g., FY 2001). The fifth and sixth characters represent the funding code and population (served by the agency) of the program represented (e.g., "UM," which signifies a UHP grant for an agency serving a population of less than 150,000).

The next two characters will always be "WX", which represent a COPS Office identifier. The last four characters represent the order in which the grant was awarded by the COPS Office (i.e., the last four digits of the first grant awarded in FY 2001 would be "0001," the second grant awarded would be "0002," etc.).

Using the definition above, a UHP grant that was awarded to an agency serving a population of less than 150,000 and which was the 56th grant awarded by the COPS Office in FY 2001 would be assigned the number "2001UMWX0056." If the grant were a cooperative agreement, it would be assigned the number "2001UMWXK056."

high-risk grantee designation. Grantees that are deemed high-risk can be subject to additional special conditions based on past performance, monitoring, audit, financial or programmatic reporting compliance violations. These conditions are listed on the award and included in the award package. The U.S. Department of Justice, Office of Justice Programs (OJP), Office of Audit, Assessment, and Management (OAAM) will notify the agency they are designated high-risk. The three (3) grant-making components (COPS, OJP, and OVW) will apply these special conditions to awards made after the agency is deemed high-risk. There are two general categories of high-risk designations:

1. automatic high-risk designations
2. high-risk designation referrals.

Recipients deemed high-risk acknowledge the special conditions upon signing and returning the grant award.

Appendix C: Glossary

hiring grant funding period. The hiring grant funding period begins the day a COPS Office-funded officer position is filled and ends when the specific position has been filled and funded for 36 months through COPS Office funds and the grantee's local cash match. The COPS Office recognizes that grantees awarded multiple officer positions may fill these positions at different times and that there may be interruptions because of vacancies. Therefore, it is possible that a grantee will experience a separate hiring grant funding period for each officer position (if hired on different dates or vacated for different periods of time during the 36-month funding period) and that the 36 months of funding may require more than three years to complete. To compensate for such delays, the COPS Office offers no-cost grant extensions, which are approved on a case-by-case basis. (The COPS Office will measure successful retention as retention for 12 months following the conclusion of the hiring grant funding period for each position, which similarly may result in different retention periods for different officer positions under the same grant).

indirect costs. These costs are incurred for common or joint purposes and are not readily assignable to a particular project, but are necessary to the operation of the agency and the implementation of the project. Examples of indirect costs may include those incurred for facility operation and maintenance, depreciation, and administrative salaries. Indirect costs must adhere to the standards set forth in the applicable Office of Management and Budget (OMB) costs principles for your entity, 2 C.F.R. Chapter I, Chapter II, Part 200, et al., Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards.

lateral transferred officer. A lateral transfer is an additional experienced law enforcement officer that a COPS grantee newly hires from another law enforcement agency to fill a COPS Office grant position. As with all grant officer positions, lateral transfers must be hired by the COPS Office grantee after the official COPS Office grant award start date or hiring authorization date if earlier (see appendix B, "Allowable Costs," on page 77 of this manual). COPS Office hiring grant funding is limited to entry-level salary and approved fringe benefits, even if the lateral transfer is paid at a higher level based on experience; grantees instead may supplement the officer's salary with local funds in addition to the required local cash match.

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

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

Appendix C: Glossary

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

military veteran. Under the FY 2012 COPS Hiring Program (CHP), a military veteran is defined as an individual who has served on active duty at any time in the armed forces for a period of more than 180 consecutive days, any part of which occurred on or after September 11, 2001, and who has been discharged or released from active duty in the armed forces under honorable conditions.

National Incident-Based Reporting System (NIBRS). A comprehensive reporting database. Agencies provide individual records for eight index crimes and 38 other offenses.

obligation of funds. If this application is awarded, the COPS Office obligates federal funds when the grant award document is signed by the Director or his or her designated official. For the grantee, grant funds are obligated when monies are spent directly on purchasing items approved under the grant or cooperative agreement. The term encumbrance is often used at the local and state levels to describe this type of transaction. Liquidated obligations are considered cash outlays or monies actually spent. Unliquidated obligations are obligations incurred and recorded but not yet paid (accrual basis of accounting) or not yet recorded and not yet paid (cash basis of accounting).

OJP vendor number/EIN number. This is your agency's nine-digit federal tax identification number assigned to you by the IRS. Your accounting/bookkeeping department should have this number. If your EIN previously has been assigned to another agency within your jurisdiction, the Office of the Comptroller will assign a new OJP vendor number to you. The new assigned number is to be used for administrative purposes only, in connection with this grant program, and should not be used for IRS purposes.

ORI (Originating Agency Identifier) number. This number is assigned by the FBI and is your agency's Originating Agency Identifier. The first two letters are your state abbreviation, the next three numbers are your county's code, and the final two numbers identify your jurisdiction within your county. When you contact the COPS Office with a question, you can use the ORI number, and we will be able to assist you. If you are a previous COPS Office grant recipient, you may have been assigned an ORI number through the COPS Office if the FBI had not previously assigned your agency this identifier number.

Appendix C: Glossary

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

The Public Safety Partnership and Community Policing Act of 1994. The COPS Office is charged with fulfilling the mandates of this law. The purposes of the law are to

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

reduction in baseline funding in sworn personnel. If the baseline funding as well as baseline numbers decreases during the grant period as a result of a reduction in state, local, or BIA funding, the grantee must prove that the reduction is (or was) unrelated to the receipt of COPS Office funding to demonstrate compliance with the nonsupplanting requirement. Grantees are prohibited from reducing their baseline funding as a direct result of receiving COPS Office grant funds.

rehired officer. A rehired officer is an officer who was (or is about to be) laid off for financial reasons unrelated to the COPS Office grant and is rehired with COPS Office grant funds after the official COPS Office grant award start date. If the officer was (or will be) laid off after the grant award start date, the COPS Office grantee should obtain written authorization from the COPS Office to use COPS Office grant funds to rehire a laid off officer.

retention. Hiring grantees are required to retain all full-time officer positions awarded for at least 12 months at the conclusion of 36 months of grant funding for each position. The additional officer positions should be added to your agency's law enforcement budget with state or local funds over and above the number of locally funded officer positions that would have existed in the absence of the grant. Absorbing COPS-funded officers through attrition (rather than adding the extra positions to your budget with additional funding) does not meet the retention requirement.

Appendix C: Glossary

retention – TRGP hiring grants. Addendum to COPS Office retention policy on retention exemptions for recipients of the Tribal Resources Grant Program hiring grants (TRGP-Hiring): When a TRGP-Hiring grantee is not able to retain their grant-funded position(s), the TRGP-Hiring grantee may apply for a retention exemption and the COPS Office will conduct a standard compliance review of the retention requirement. If the TRGP-Hiring grantee is exempted from the retention requirement, they will be notified of the opportunity to apply for continuation funding for the exempted grant position(s) through the next TRGP announcement in the Coordinated Tribal Assistance Solicitation (CTAS). The eligibility for tribal grantees seeking a continuation of TRGP-Hiring grant funding will only be for the positions that were exempted, and if the tribal grantee is approved for continuation funding, this funding will only be allowed on a one-time basis per grantee. If the tribal grantee has successfully demonstrated qualification for a retention exemption and is denied continuation funding, the one-year restriction from applying for and being awarded new grant funded positions with retention requirements will remain in effect per current compliance protocol. If the tribal grantee cannot demonstrate qualification for an exemption from the retention requirement, per current compliance protocol, the tribal grantee will be ineligible to apply for or receive any COPS Office grant funding for three years from the date of the notice of noncompliance for failure to retain, and the tribal grantee will also be ineligible for consideration for continuation funding.

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

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

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

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

Appendix C: Glossary

special conditions. These conditions may include special provisions for additional submissions, monitoring or site visits, audits, programmatic or financial reporting requirements.

supplanting. For the purpose of a COPS Office grant, supplanting means replacing state, local, or Bureau of Indian Affairs funds that otherwise would have been spent on the specific law enforcement purposes of the COPS Office grant (e.g., hiring sworn officers; hiring civilians; purchasing equipment or technology), with federal COPS Office funds. A grantee is prohibited from supplanting throughout the grant period, which means that a grantee may not use COPS Office funds to pay for any personnel, civilians, or officers or any technology and equipment that otherwise would have been employed, purchased, or made available with state or local funds in the absence of the COPS Office. COPS Office funds must be used, instead, to supplement a grantee's law enforcement budget for these purposes.

support services. Support services are those services provided by non-sworn personnel, including civilians, funded under COPS Office grants and cooperative agreements (e.g. crime analysts). The hiring of these personnel must result in the redeployment of sworn officers into community policing.

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

Appendix D: Examples of compliance/noncompliance cases

Source of matching funds

Example

When audited, a police department shows that it paid a portion of its 25% local match to a TRGP 2008 hiring grant with funds from the department's "equipment and technology" line item.

Possible source of matching funds violation. If grantees include the source of the local match in the current year's operating budget, it must be intentionally budgeted in anticipation of the grant award or previously budgeted as reserve or discretionary monies; it may not have been previously budgeted for specific law enforcement purposes and reallocated to pay the COPS Office grant local match.

Investigation and analysis. The department provided a memorandum and related budget documents from its city budget office that showed the city had provided new, additional local funds to the department specifically to pay for the local match to the COPS Office grant. Further, other documentation revealed that the city provided the additional local funding for the department in anticipation of the grant award.

Final resolution. The grantee is in compliance with the source of matching funds requirement.

Supplanting

Example I

The department has one open locally funded full-time position. This position remains vacant while the city continues to hire COPS Office-funded officers.

Possible supplanting violation. In assessing the presence of supplanting, it is expected that the grantee will continue to hire new officers at a level consistent with the recent historical practice and take positive steps to fill all vacancies resulting from attrition. These steps must be taken in addition to hiring the officers funded with the COPS Office grant. A grant recipient may show, however, based on particular local fiscal or other conditions, that it is not possible to take all of these steps, or that it would have taken the same action that raises a question of supplanting even if the COPS Office grant had not been awarded.

Investigation and analysis. The city has been deemed to be in a state of financial emergency. Enough debt has been accumulated on behalf of the city such that it needs to procure a \$300,000 loan simply to continue to provide city services. Further, it is understood that the entire city personnel staff has been laid off except for the city manager and the remaining police personnel. The city provides documentation demonstrating that all departments, including the police department, are under a citywide hiring freeze.

Appendix D: Examples of compliance/noncompliance cases

Final resolution. The grantee is in compliance with the nonsupplanting requirement. The vacancy is a result of a citywide hiring freeze that is unrelated to the COPS Office grant.

Example 2

Before receiving a COPS Office hiring grant, a city passes a tax increase for the specific purpose of adding 10 sworn officer positions to the police department. At the time of the grant award, the department has not hired any new officers for the additional 10 positions. Upon receiving grant funding, the department hires 10 new sworn officers and pays for the additional positions with COPS Office grant funds. The city then reduces the taxes the following year to return the previously enacted tax increase to the citizens.

Possible supplanting violation. The department is required to hire all new, additional officer positions for which the city funds would be budgeted in the absence of the grant in addition to hiring the additional COPS Office grant positions. The city may not reduce the department's budget for sworn personnel as a direct result of the receipt of hiring grant funds.

Investigation and analysis. The city committed additional local funds to hire 10 new sworn officers for the department before the COPS Office grant award was funded. This commitment of local funding increased the city's baseline level of locally funded sworn personnel by the additional 10 positions. The fact that the department has not filled these positions at the award date of the grant is irrelevant to the nonsupplanting analysis.

Final resolution. The city violated the nonsupplanting requirement by using grant funds to replace local funds when hiring the 10 officers. The city had specifically instituted a tax increase for the purpose of hiring 10 new, additional sworn officers, and once the officers were hired, after the award of grant funding, the city returned the tax increase to the citizens.

The city ultimately agreed that it supplanted the local funds initially raised through increased taxes with COPS Office grant funds. The city agreed to repay the grant funds to the COPS Office to remedy the nonsupplanting violation.

Financial reports

Example 1

Records indicate that the grantee is delinquent in submitting Federal Financial Reports.

Possible financial reporting violation. A Federal Financial Report (SF-425) must be completed by grantee and returned on a quarterly basis to the COPS Office. The Federal Financial Report requests information on monies spent or accrued, including amounts for federal expenditures, local matching contributions, and the unobligated balance of the award.

Appendix D: Examples of compliance/noncompliance cases

Investigation and analysis. Although there had not been any financial activity on the grantee's behalf for the past two quarters, the financial reports still must be completed and submitted to the COPS Office. The grantee completed one report covering all periods for which it was delinquent (two quarters in this case) and faxed it to the appropriate COPS Office point of contact.

Final resolution. The grantee was not in compliance with the financial reporting requirement, but remedied the violation by submitting the updated report. Note, however, that if this grantee is audited by the Office of the Inspector General (OIG), the OIG will require the grantee to complete one Federal Financial Report for each quarter of the award, rather than the comprehensive (two quarters) report that it filed with the COPS Office.

Example 2

Grantee claims it did not draw down funds in the amount of \$13,897 on 11/13/11 as the Office of the Comptroller's records indicate.

Possible financial reporting violation. Federal Financial Report (SF-425) must be completed by grantee and returned on a quarterly basis to the COPS Office. The Federal Financial Reports request information on monies spent including amounts for both the federal and local match portion of the award.

Investigation and analysis. Although the grantee does not have any record of the transaction, a previous drawdown for the same amount was processed six months earlier, and there were two drawdowns from that account, one of which was posted on 05/13/11 according to the Office of the Comptroller's financial transactions records and the grantee's banking institution. It appears as if the grantee's accounting records are in error and should be adjusted.

Final resolution. Once the grantee adjusts its accounting records and verifies that its quarterly financial report accurately reflects grant expenditures, then it will be compliant with the financial reporting requirement.

Appendix E: Reference material

U.S. Department of Justice grant policies

COPS 2013 Hiring Program Grant Owner's Manual: U.S. Department of Justice, Office of Community Oriented Policing Services

COPS 2013 Coordinated Tribal Assistance Solicitation Grant Owner's Manual: U.S. Department of Justice, Office of Community Oriented Policing Services

COPS 2012 Hiring Program Grant Owner's Manual: U.S. Department of Justice, Office of Community Oriented Policing Services

COPS 2012 Tribal Resources Grant Program Grant Owner's Manual: U.S. Department of Justice, Office of Community Oriented Policing Services

COPS 2011 Hiring Program Grant Owner's Manual: U.S. Department of Justice, Office of Community Oriented Policing Services

COPS 2011 Tribal Resources Grant Program Grant Owner's Manual: U.S. Department of Justice, Office of Community Oriented Policing Services

COPS 2011 Secure Our Schools Program Grant Owner's Manual: U.S. Department of Justice, Office of Community Oriented Policing Services

COPS 2011 Child Sexual Predator Program Grant Owner's Manual: U.S. Department of Justice, Office of Community Oriented Policing Services

COPS 2010 Hiring Program Grant Owner's Manual: U.S. Department of Justice, Office of Community Oriented Policing Services

COPS 2010 Tribal Methamphetamine Initiative Grant Owner's Manual: U.S. Department of Justice, Office of Community Oriented Policing Services

COPS 2010 Secure Our Schools Grant Owner's Manual: U.S. Department of Justice, Office of Community Oriented Policing Services

COPS 2010 Child Sexual Predator Program Grant Owner's Manual: U.S. Department of Justice, Office of Community Oriented Policing Services

COPS 2010 Safe Schools Initiative Grant Owner's Manual: U.S. Department of Justice, Office of Community Oriented Policing Services

COPS 2010 Technology Program Grant Owner's Manual: U.S. Department of Justice, Office of Community Oriented Policing Services

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COPS 2010 Methamphetamine Initiative Grant Owner's Manual: U.S. Department of Justice, Office of Community Oriented Policing Services

COPS 2009 Hiring Recovery Program Grant Owner's Manual: U.S. Department of Justice, Office of Community Oriented Policing Services

COPS 2009 Methamphetamine Initiative Grant Owner's Manual: U.S. Department of Justice, Office of Community Oriented Policing Services

COPS 2009 Technology Program Grant Owner's Manual: U.S. Department of Justice, Office of Community Oriented Policing

COPS 2009 Safe Schools Initiative Grant Owner's Manual: U.S. Department of Justice, Office of Community Oriented Policing Services

COPS 2009 Child Sexual Predator Program Grant Owner's Manual: U.S. Department of Justice, Office of Community Oriented Policing Services

COPS 2009 Tribal Resources Grant Program Grant Owner's Manual: U.S. Department of Justice, Office of Community Oriented Policing Services

COPS 2009 Secure Our Schools Grant Owner's Manual: U.S. Department of Justice, Office of Community Oriented Policing Services

Statutes

Omnibus Crime Control and Safe Streets Act of 1968, 42 U.S.C. 3796dd et seq., as amended; Violent Crime Control and Law Enforcement Act of 1994, Title I, Part Q, Public Law 103-322

Public Safety Partnership and Community Policing Act of 1994

42 U.S.C. § 3796dd et seq.

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

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

Inspector General Act of 1978, as amended (Title 5 U.S.C. Appendix 3)

Code of Federal Regulations:

2 CFR Chapter I, Chapter II, Part 200, et seq.

4 CFR Parts 101–105, Department of Justice/Government Accountability Office, "Joint Federal Claims Collections Standards"

5 CFR Part 1320, "Controlling Paperwork Burdens on the Public"

Appendix E: Reference material

- 5 CFR Part 151, "Political Activity of State or Local Officers or Employees"
- 28 CFR Part 23, "Criminal Intelligence Systems Operating Policies"
- 28 CFR Part 30, "Intergovernmental Review of Department of Justice Programs and Activities"
- 28 CFR Part 42, "Nondiscrimination; Equal Employment Opportunity; Policies and Procedures"
- 28 CFR Part 61, "Procedures for Implementing the National Environmental Policy Act"
- 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 Workplace (Grants)"
- 28 CFR Part 69, "New Restrictions on Lobbying"
- 28 CFR Part 70, "Uniform Administrative Requirements for Grants and Cooperative Agreements with Institutions of Higher Education, Hospitals and Other Non-Profit Organizations"
- 31 CFR Part 205, "Treasury Department Regulations Implementing for Cash Management Improvement Act of 1990"
- 48 CFR Part 31.000, et seq. (FAR 31), "Cost Principles for Commercial Organizations"

Executive orders

- Executive Order 12549, "Debarment and Suspension"
- Executive Order 12372, "Intergovernmental Review of Federal Programs"
- Executive Order 12291, "Federal Regulation"

gram
Award Modification
Record-keeping Tips
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Award Guidelines
Comparing Grant Files
Non-hiring Grants
Special Conditions



COPS

Community Oriented Policing Services
U.S. Department of Justice

U.S. Department of Justice
Office of Community Oriented Policing Services
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To obtain details about COPS Office programs,
call the COPS Office Response Center at 800-421-6770.

Visit the COPS Office online at www.cops.usdoj.gov.