



**COPS**

COMMUNITY ORIENTED POLICING SERVICES  
U.S. DEPARTMENT OF JUSTICE

# 2009 COPS Hiring Recovery Program Grant Owner's Manual



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



# 2009 COPS Hiring Recovery Program Grant Owner's Manual

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This manual was created to assist COPS Hiring Recovery Program (CHRP) grantees with the administrative and financial matters associated with the grant.

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



U.S. Department of Justice  
Office of Community Oriented Policing Services  
1100 Vermont Avenue, N.W.  
Washington, DC 20530  
(For overnight delivery, please use 20005 as the ZIP Code)

COPS Online: [www.cops.usdoj.gov](http://www.cops.usdoj.gov)

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# Getting Started



## **Getting Started**

Congratulations on receiving a grant from the U.S. Department of Justice, Office of Community Oriented Policing Services (COPS). The COPS Hiring Recovery Program (CHRP) provides funding directly to law enforcement agencies to hire and/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.

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

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

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## Program Overview

The COPS Hiring Recovery Program (CHRP) is funded through the American Recovery and Reinvestment Act (Recovery Act) of 2009, P.L.111-5, and provides funding directly to law enforcement agencies to hire and/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.

CHRP grants cover 100 percent of the approved entry-level salary and fringe benefits of each newly-hired and/or rehired, full-time sworn career law enforcement officer over three years (36 months). There is no local match, but CHRP grant funding is based on your agency's entry-level salary and fringe benefits, at the time of application, for full-time sworn officers. Any additional costs above the approved entry-level salaries and fringe benefits are the responsibility of the grantee agency. Furthermore, all grant recipients must retain any CHRP-funded officer positions awarded for at least 12 months after the 36 months of federal funding has ended for each position.

Funding under this program may be used to:

- Hire new officers, which includes filling existing officer vacancies that are no longer funded in your agency's budget. These positions must be in addition to your current budgeted (funded) level of sworn officer positions, and the officers must be hired on or after the official grant award start date as it appears on your agency's Award Document.
- Rehire officers who had *already been laid off* at the time of the application as a result of state, local, or tribal budget cuts. The rehired officers must be rehired on or after the official grant award start date as it appears on your agency's Award Document. Documentation must be maintained showing the date(s) that the positions were laid off and rehired.
- Rehire officers who were, at the time of the application, *scheduled to be laid off on a future date* as a result of state, local, or tribal budget cuts. Grantees will be required to continue funding the positions with local funding until the date(s) of the scheduled lay-offs. The dates of the scheduled lay-offs and the number of positions affected must have been identified in the CHRP application. In addition, documentation must be maintained detailing the dates and reason(s) for the lay-offs. Furthermore, agencies are required to maintain documentation that demonstrates that the scheduled lay-offs are occurring for local economic reasons unrelated to the availability of CHRP grant funds. Such documentation may include local council meeting minutes, memoranda, notices, or orders discussing the lay-offs, budget documents ordering jurisdiction-wide budget cuts, and/or notices provided to the individual officers regarding the lay-offs.

The allowable uses of your agency's CHRP grant are specified on the CHRP Financial Clearance Memorandum. If your agency's local fiscal conditions have changed since submitting the CHRP application and your agency wishes to modify its CHRP grant to reprogram awarded funding into a different hiring funding category, please refer to page 16 of this manual for detailed information on requesting a post-award grant modification.

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# **I. Grant Acceptance, Terms, and Conditions**





## I. GRANT ACCEPTANCE, TERMS, AND CONDITIONS

To officially accept and begin your COPS Hiring Recovery Program grant, your agency must review, sign, and return the original Award Document to:

U.S. Department of Justice  
Office of Community Oriented Policing Services (COPS)  
ATTN: COPS Hiring Recovery Program Control Desk, 8<sup>th</sup> Floor  
1100 Vermont Avenue, N.W.  
Washington, DC 20530  
(For overnight delivery, please use 20005 as the ZIP Code.)

Your agency will not be able to draw down grant funds until the COPS Office receives your original, signed Award Document. **Signatures on the Award Document must be original—photocopies, faxed copies, stamps, and/or electronic signatures will not be accepted.** For more information on drawing down grant funds, please see Section II, "Accessing Grant Funds."

### The Award Document

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

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

The award start date indicated on the Award Document means that your agency may be reimbursed for any allowable costs incurred on or after this date. The duration of your CHRP grant award is three years (36 months) of funding for each position awarded. Please refer to page 15 of this manual for additional information regarding extensions of time to complete the implementation of the CHRP award.

Your grant number is in the following format: 2009-RJWX-0000 or 2009-RKWX-0000 for grants awarded in FY 2009. The COPS Office tracks grant information based upon this number. Therefore, it is important to have your agency's grant number (and/or your agency's ORI number) readily available when corresponding with the COPS Office.

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

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

## **Grant Conditions**

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

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

### ***Reasons for Grant Conditions***

The requirements of your CHRP grant are established within:

- The Public Safety Partnership and Community Policing Act of 1994 which established the COPS Office.
  - Applicable rules, regulations and policies issued by the U.S. Department of Justice, Office of Management and Budget (OMB), the Government Accountability Office (GAO), and the United States Treasury.
  - The specific CHRP programmatic requirements established by the COPS Office.
  - The American Recovery and Reinvestment Act of 2009, which funded CHRP.
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A list of source documents for this booklet is provided in Appendix A. You may request copies of any source reference document from:

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

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

### ***Review of Grant Conditions***

By signing the Award Document to accept this COPS Hiring Recovery Program grant, your agency agrees to abide by the following grant conditions:

#### **1. GRANT OWNER'S MANUAL**

*The grantee agrees to comply with the terms and conditions in this COPS Hiring Recovery Program Grant Owner's Manual; COPS statute (42 U.S.C. §. 3796dd, et seq.); 28 C.F.R. Part 66 or 28 C.F.R. Part 70 as applicable (governing administrative requirements for grants and cooperative agreements); 2 C.F.R. Part 225 (OMB Circular A-87), 2 C.F.R. Part 220 (OMB Circular A-21), 2 C.F.R. Part 230 (OMB Circular A-122) and 48 C.F.R. Part 31.000 et seq. (FAR 31.2) as applicable (governing cost principles); OMB Circular A-133 (governing audits); the American Recovery and Reinvestment Act of 2009, P.L. 111-5; representations made in the COPS Hiring Recovery Program grant application; and all other applicable program requirements, laws, orders, regulations, or circulars.*

#### **Why This Condition:**

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

#### **What You Should Do:**

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

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## **2. ASSURANCES AND CERTIFICATIONS**

*The grantee acknowledges its agreement to comply with the Assurances and Certifications forms that were signed and submitted as part of its CHRP application.*

### **Why This Condition:**

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

### **What You Should Do:**

Applicants to COPS grant programs are required to sign and submit the Assurances and Certifications forms at the time of application. Signing these documents assures the COPS Office that you have read, understand, and accept the grant terms and conditions outlined in the Assurances and Certifications. Your agency is required to keep the Assurances and Certifications forms containing the original signatures of the law enforcement executive and government executive named on the COPS Application Attachment to the SF-424. The original signed forms must be furnished upon request. Please read these documents carefully as signatures on these documents are treated as a material representation of fact upon which reliance will be placed when the U.S. Department of Justice determines whether to award the covered grant. Additional copies of the Assurances and Certifications forms are contained in Appendix B of this manual. If you have any questions about them, please contact your COPS Grant Program Specialist at 800.421.6770.

## **3. ALLOWABLE COSTS**

*The funding under this project is for the payment of approved full-time entry-level salaries and fringe benefits over three years (for a total of 36 months of funding) for career law enforcement officer positions hired and/or rehired 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.*

*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:*

- a. 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;*
  - b. Rehiring officers who had already been laid off at the time of application as a result of state, local, or tribal budget cuts; and/or*
  - c. 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.*
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*If your agency's local fiscal conditions have changed and your agency needs to change one or more of the funded hiring categories, your agency should request a post-award grant modification to receive prior approval before spending CHRP funding under the new category. For more information on post-award grant modifications, please refer to page 16 of this manual.*

*The Financial Clearance Memorandum, included in your award package, specifies the amount of COPS Hiring Recovery Program funds awarded to your agency for officer salaries and approved benefits. Please note that the salary and benefit costs requested in your original application may have been updated or corrected from the original version submitted to COPS. You should carefully review your Final Funding Memorandum (FFM), which is also included in your award package. The FFM contains the final officer salary and fringe benefit categories and amounts for which your agency was approved. You will note that some costs may have been adjusted or removed. Your agency may only be reimbursed for the approved cost categories that are documented within the FFM, up to the amounts specified in the Financial Clearance Memorandum. **Your agency may not use CHRP funds for any costs that are not identified as allowable in the Final Funding Memorandum.***

*Only actual allowable costs incurred during the grant award period will be eligible for reimbursement and drawdown. If your agency experiences any cost savings over the course of the grant (for example, your grant application overestimated the total entry-level officer salary and fringe benefits package), your agency may not use that excess funding to extend the length of the grant beyond 36 months. Any funds remaining after an agency has drawn down for the costs of salaries and fringe benefits incurred during the 36-month funding period for each awarded position will be deobligated during the closeout process, and should not be spent by your agency.*

### **Why This Condition:**

COPS Hiring Recovery Program funds may only be used to pay for entry-level salaries and fringe benefits for 36 months for career law enforcement officers hired and/or rehired on or after the award start date. Officers previously employed by your agency may be rehired using CHRP grant funds, 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.

### **What You Should Do:**

All grantees should keep and maintain the most recent, approved version of your application for this grant program, which will contain the approved costs for this grant. To view and print this document, you can log into your account at [www.cops.usdoj.gov](http://www.cops.usdoj.gov). Please select "Recovery" from the menu of services and click on the print icon to download the most recent version of your application in .pdf format.

Refer to your Financial Clearance Memorandum and Final Funding Memorandum for the list of approved allowable costs. Salaries covered by CHRP 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 benefit 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 III of this manual. Any additional costs above the approved entry-level salaries and fringe benefits are the responsibility of the grantee agency. *Civilian positions, overtime, training, weapons, communication equipment and vehicles cannot be funded with your CHRP grant.*

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

**Please be advised that grantees may not use COPS funding for the same item or service also funded by an Office of Justice Programs (OJP) award.**

#### **4. SUPPLEMENTING, NOT SUPPLANTING**

*State, local, or tribal funds budgeted to pay for sworn officer positions irrespective of the receipt of CHRP grant funds may not be reallocated to other purposes or refunded as a result of a CHRP grant being awarded. Non-federal funds must remain available for and devoted to that purpose, with CHRP funds supplementing those non-federal funds. Funding awarded cannot be obligated until after the grant award start date. This means that CHRP funds cannot be applied to any agency cost prior to the award start date. In addition, your agency must take active and timely steps pursuant to its standard procedures to fully fund law enforcement costs already budgeted as well as fill all locally-funded vacancies resulting from attrition during the life of the grant.*

##### **Why This Condition:**

The COPS statute nonsupplanting requirement mandates that grant funds may not be used to replace state or local funds (or, for tribal grantees, Bureau of Indian Affairs funds) that would, in the absence of federal aid, be made available for the grant purposes. Instead, CHRP grant funds must be used to increase the total amount of funds that would otherwise be made available for hiring and/or rehiring law enforcement officers.

##### **What You Should Do:**

- Grant recipients may not reduce their sworn officer budget just to take advantage of the CHRP grant award. Any budget cuts must be for fiscal reasons unrelated to the receipt of CHRP grant funds to avoid a violation of the nonsupplanting requirement.
  - Grant recipients may not reduce their locally-funded number of sworn officer positions during the three-year CHRP grant period as a direct result of receiving the CHRP funding to pay for additional officers. Reductions in locally-funded sworn officer positions that occur for reasons unrelated to the CHRP funding—such as city-wide budget cuts, for example—do not violate the nonsupplanting requirement, but recipients must maintain documentation demonstrating the date(s) and
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reason(s) for the budget cuts to prove that they were unrelated to the receipt of CHRP grant funding in the event of an audit, monitoring site visit, or other form of grant compliance review.

- Under CHRP, the nonsupplanting requirement means that a grant recipient receiving CHRP grant funds to hire a new officer position, including filling an existing officer vacancy that is no longer funded in the recipient's local budget, must hire the additional position on or after the official grant award start date, above its current budgeted (funded) level of sworn officer positions.
- The nonsupplanting requirement also means that a grant recipient that receives CHRP funds to rehire an officer who had *already been laid off* at the time of application as a result of state, local, or tribal budget cuts, must rehire the officer on or after the official grant award start date. The grant recipient must maintain documentation in its CHRP grant file showing the date that the position was laid off and rehired.
- In addition, the nonsupplanting requirement means that a grant recipient that receives CHRP grant funds to rehire an officer who was, at the time of application, *scheduled to be laid off on a future date* as a result of state, local, or tribal budget cuts, must continue to fund the officer with its own funds through the grant award start date until the date of the scheduled lay-off. [For example, if the award start date is July 1 and the lay-off is scheduled for November 1, then the COPS funds may not be used to fund the officer until November 1, the date of the scheduled lay-off.] Your agency must have identified the date(s) of the scheduled lay-offs and the number of officers to be laid off in its application. Grant recipients must maintain documentation showing the date(s) and reason(s) for the lay-offs, the number of officers laid off, the number of officers rehired, and the dates the officers were rehired. [Please note that as long as your agency can document that the lay-offs would occur on the identified dates if the CHRP grant funds were not available, it may transfer the officers to the CHRP funding on or immediately after the date of the lay-off without formally completing the administrative steps associated with a lay-off for each individual officer.]

Documentation that may be used to prove that scheduled lay-offs or budget cuts are occurring for local economic reasons that are unrelated to the availability of CHRP grant funds may include (but are not limited to) council or departmental meeting minutes, memoranda, notices, or orders discussing the lay-offs; notices provided to the individual officers regarding the date(s) of the lay-offs; and/or budget documents ordering departmental and/or jurisdiction-wide budget cuts. These records must be maintained with your agency's CHRP grant records during the grant period and for three years following the official closeout of the CHRP grant in the event of an audit, monitoring, or other evaluation of your grant compliance.

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## **5. RETENTION**

*At the time of grant application, your agency committed to retaining all sworn officer positions awarded under the CHRP grant with state and/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. Your agency cannot satisfy the retention requirement by using CHRP-funded positions to fill locally-funded vacancies resulting from attrition.*

### **Why This Condition:**

The retention requirement ensures that the increased officer staffing level under the CHRP grant continues with state and/or local funds for a minimum of 12 months after federal funding ends.

### **What You Should Do:**

At the time of grant application, your agency was required to affirm that it plans to retain all sworn officer positions awarded under the CHRP grant and identify the planned source(s) of retention funding. Your agency committed to retaining each awarded position for at least 12 months following the conclusion of 36 months of federal funding for that position. The retention period begins for an awarded officer position once that position has completed the 36-month implementation period. If an agency is awarded several officer positions, the retention period for each individual officer position begins upon completion of 36 months of funding for that position (not based on the cumulative grant award end date).

The retained CHRP-funded position(s) must be added to your agency's law enforcement budget with state and/or local funds at the conclusion of grant funding, over and above the number of locally-funded sworn officer positions that would have existed in the absence of the grant. Absorbing CHRP-funded positions through attrition (rather than adding the extra positions to your budget with additional funding) does not meet the retention requirement.

Your agency should maintain documentation demonstrating when the 36-month grant funding period expired for each awarded position and that each retained position was above and beyond the number of officer positions that your agency would have otherwise funded with state and/or local funds. We understand that your agency's identified source(s) of retention funding may change during the life of the grant, so your agency should maintain documentation of any changes in the event of an audit, monitoring, or other evaluation of your grant compliance.

Please note that your agency is required to retain the officer position(s) awarded under the CHRP grant and not the specific officer(s) hired to fill the grant position(s). If a position funded by the CHRP grant becomes vacant during the retention period, your agency is required to take active and timely steps consistent with your agency's hiring policies and procedures to fill the position with a new officer to complete the remainder of the 12-month

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retention period. Your agency should maintain documentation demonstrating that you did not delay filling the position and that the steps your agency took to fill the position were consistent with your hiring policies and procedures.

At the conclusion of federal funding, agencies that fail to retain the sworn officer positions awarded under the CHRP grant may be ineligible to receive future COPS grants for a period of one to three years. If your agency is unable to retain any of the awarded officer positions, you should contact your COPS Grant Program Specialist for further review.

## **6. EXTENSIONS**

*Your agency may request an extension of the grant award period to receive additional time to implement your grant program. Such extensions do not provide additional funding. Only those grantees that can provide a reasonable justification for delays will be granted no-cost extensions. Reasonable justifications may include difficulties in filling COPS-funded positions, officer turnover, or other circumstances that interrupt the 36-month grant funding period. An extension allows your agency to compensate for such delays by providing additional time to complete the full 36 months of funding for each position awarded. Extension requests must be received prior to the end date of the award. Any extension requests received after an award has expired will be approved only under very limited circumstances.*

### **Why This Condition:**

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

### **What You Should Do:**

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

If your agency has excess funds remaining at the end of the grant due to salary and fringe benefits costs that were lower than anticipated, your agency cannot extend the 36-month funding period for the purpose of expending those excess funds. Grantees are entitled to a maximum of 36 months of federal funding based on the approved salary and fringe benefits costs in the Financial Clearance Memorandum. The COPS Office will deobligate any remaining grant funds during the closeout process. If you have any additional questions regarding a no-cost time extension, please contact your COPS Grant Program Specialist.

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## **7. MODIFICATIONS**

*During the CHRP grant award period, it may become necessary for an agency to modify its CHRP grant award due to changes in an agency's fiscal or law enforcement situation. Modification requests should be submitted to the COPS Office when an agency determines that it will need to shift officer positions awarded in one hiring category into a different hiring category, reduce the total number of positions awarded, shift funds among benefit categories, and/or reduce the entry-level salary and fringe benefit amounts. For example, an agency may have been awarded CHRP grant funding for ten new, additional full-time sworn officer positions, but due to severe fiscal distress/constraints, the agency determines it is unable to sustain all ten positions and must reduce its request to five full-time positions; or an agency may have been awarded CHRP grant funding for two new, additional sworn officer positions, but due to fiscal distress/constraints the agency must change the hiring category from new hires to rehires to prevent lay-offs. Grant modifications under CHRP are evaluated on a case-by-case basis. An agency may implement the modified grant award following written approval from the COPS Office. Please be aware that the COPS Office will not approve any modification request that results in an increase of federal funds.*

### **Why This Condition:**

Under federal regulations, you are required to expend federal funds only as approved in the Financial Clearance Memorandum. In addition, under CHRP you are expected to expend funding only for the specific hiring categories awarded, as indicated on your Award Document. Any requests to change or alter a grant award should be submitted to the COPS Office for prior approval. Following approval from the COPS Office, implementation of the modified award may begin.

### **What You Should Do:**

You should notify the COPS Office if you determine that your agency will need to change hiring categories, reduce the total number of positions awarded or make other changes to the entry-level salary and benefit amounts/categories. If you wish to modify your grant award, a request on your agency's letterhead should be submitted to the COPS Office referencing your grant number, the proposed changes, details of why the change is needed, etc.

For additional information about the process for submitting your specific grant modification request, please contact your COPS Grant Program Specialist at 800.421.6770. The COPS Office will then evaluate your request and notify your agency of our decision in writing. Implementation of the modified grant award may begin following written approval from the COPS Office. Please note that modification approvals for active grants will often be accompanied by a Modified Award Document reflecting the approved changes. If applicable, your agency is required to submit the Modified Award Document to officially accept the grant modification.

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## 8. EVALUATIONS

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

### Why This Condition:

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

### What You Should Do:

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

## 9. REPORTS

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

### Why This Condition:

The American Recovery and Reinvestment Act (Recovery Act) requires grantees to report their financial and programmatic progress within 10 days after the end of each calendar quarter. The Recovery Act reporting requirements are in addition to any quarterly financial status reports and quarterly program progress reports required by the COPS Office. The COPS Office will request information from grantees consistent with Section 1512 of the Recovery Act, including collecting information on the number of new jobs created and the number of jobs preserved using CHRP funding. Awarded agencies will be required to submit all requested reports in a timely manner as a condition of the award. Grantee reporting data will be posted on [www.Recovery.gov](http://www.Recovery.gov).

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### **What You Should Do:**

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

## **10. GRANT MONITORING ACTIVITIES**

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

### **Why This Condition:**

The Public Safety Partnership and Community Policing Act of 1994 states that each grant program must contain a monitoring component. The COPS Office actively monitors how grantees are adhering to COPS grant requirements.

### **What You Should Do:**

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

1. **Site Visits**—The COPS Office conducts grantee site visits to ensure compliance with grant terms and conditions. These visits also provide firsthand observation of the grantee's community policing strategies. Promising practices identified during site visits are documented and may be shared with the law enforcement community. Technical assistance and follow-up are conducted to address potential and actual vulnerabilities. The purpose of site visits is therefore three-fold: review community policing activities, ensure grantee compliance, and provide service and technical assistance. If selected, you will be notified in writing in advance of any on-site review of your COPS grants. This review is generally performed over a one or more day period and also provides an opportunity for agency representatives to seek assistance on any grant implementation issues. Your agency will be notified in writing of the results and any action required to remedy identified grant violations.



2. Office-Based Grant Reviews (OBGRs)—Certain grants are selected for a review conducted at the COPS Office. If selected, your agency will be contacted at the start of this review and our staff will work with your agency to correct any grant problems or deficiencies through telephone, fax and/or written correspondence with your agency.
3. Complaints—The COPS Office responds to complaints from citizens, labor associations, media, and other sources. Written complaints or allegations are reviewed by the COPS Office Grant Monitoring Division, and may result in a review of your agency’s grants to determine compliance with grant conditions.

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

## **11. EQUAL EMPLOYMENT OPPORTUNITY PLAN (EEOP)**

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

### **Why This Condition:**

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

### **What You Should Do:**

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

If your organization received an award for less than \$25,000; or if your organization has less than 50 employees, regardless of the amount of the award; or if your organization is a medical institution, educational institution, nonprofit organization, or Indian tribe, then your organization is exempt from the EEOP requirement. However, your organization must complete Section A of the Certification Form, which explains that your organization is

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eligible for this exemption, and then return the form to the **Office for Civil Rights (OCR), Office of Justice Programs, U.S. Department of Justice, 810 7th Street, N.W., Washington, DC 20531**. The Certification Form can be found at [www.ojp.usdoj.gov/about/ocr/eeop.htm](http://www.ojp.usdoj.gov/about/ocr/eeop.htm). Recipients that are exempt from the EEO requirement are still responsible for complying with all applicable federal civil rights laws that prohibit recipients from discriminating in employment or in the delivery of services or benefits.

If your organization is a governmental agency or a business *and* has received a single award between \$25,000 and \$500,000 *and* has 50 or more employees (counting both full- and part-time employees but excluding political appointees), then your organization has to prepare an EEO Short Form, but it does not have to submit the EEO Short Form to the OCR for review. Instead, your organization has to maintain the EEO Short Form on file and make it available to the OCR for review on request. For assistance in developing an EEO Short Form, please consult OCR's website at [www.ojp.usdoj.gov/about/ocr/eeop.htm](http://www.ojp.usdoj.gov/about/ocr/eeop.htm). You may also request technical assistance from an EEO specialist at the OCR by calling 202.616.3208. In addition, your organization has to complete Section B of the Certification Form, which explains that your organization is eligible for the exemption from the submission requirement, and your organization must return the form to the OCR at the above address. The Certification Form can be found at [www.ojp.usdoj.gov/about/ocr/eeop.htm](http://www.ojp.usdoj.gov/about/ocr/eeop.htm).

If your organization is a governmental agency or a business *and* has received a single award for \$500,000 or more *and* has 50 or more employees (counting both full- and part-time employees but excluding political appointees), then it has to prepare an EEO Short Form and submit it for review to the OCR at the above address within 60 days of the notification of the award. For assistance in developing an EEO Short Form, please consult OCR's website at [www.ojp.usdoj.gov/about/ocr/eeop.htm](http://www.ojp.usdoj.gov/about/ocr/eeop.htm). You may also request technical assistance from an EEO specialist at the OCR by calling 202.616.3208.

## **12. EMPLOYMENT ELIGIBILITY**

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

### **Why This Condition:**

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

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### **What You Should Do:**

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

### **13. COMMUNITY POLICING**

*Community policing activities to be initiated or enhanced by your agency were identified and described in your CHRP grant application, with reference to each of the following elements of community policing: a) community partnerships and support; b) related governmental and community initiatives that complement your agency's proposed use of CHRP funding; and c) how your agency will use the funds to reorient its mission or enhance its commitment to community policing.*

*The COPS Office defines community policing as a philosophy that promotes organizational strategies, which support the systematic use of partnerships and problem-solving techniques, to proactively address the immediate conditions that give rise to public safety issues such as crime, social disorder, and fear of crime. CHRP grants must be used to initiate or enhance community policing activities. All newly hired, additional or rehired officers (or an equal number of redeployed veteran officers) funded under CHRP must engage in community policing activities.*

### **Why This Condition:**

The CHRP program is designed to assist agencies to create and preserve sworn officer jobs and increase their community policing capacity and crime prevention efforts. This is achieved through problem-solving tactics 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. Your organization may be monitored or audited to ensure that it is initiating or enhancing community policing in accordance with your 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.

### **What You Should Do:**

Community policing activities to be implemented or enhanced by your agency were identified in your CHRP grant application. Your community policing needs may change during the life of your CHRP grant, and minor changes to this plan may be made without prior approval of the COPS Office. If your agency's community policing plan changes significantly, however, you must submit those changes 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 original community policing plan submitted with your application.

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#### **14. CONTRACTS WITH OTHER JURISDICTIONS**

*Grantees that provide law enforcement services to another jurisdiction through a contract must ensure that officers funded under this grant do not service the other jurisdiction, but will only be involved in activities or perform services that exclusively benefit the grantee's own jurisdiction. Grantees cannot use CHRP funds to pay for a contract to receive law enforcement services from another agency.*

##### **Why This Condition:**

The CHRP grant is intended to benefit the communities within the grantee's primary law enforcement jurisdiction. Therefore, the grantee must use the CHRP grant funding to benefit its own population exclusively, rather than "contracting out" the COPS-funded officer(s) to other jurisdictions.

##### **What You Should Do:**

Officers funded under the CHRP grant cannot provide contract law enforcement services to other agencies unless they will directly benefit the grantee's jurisdiction. For example, a sheriff's department cannot use a CHRP-funded officer to provide contract law enforcement services to a neighboring county, but can use the CHRP-funded officer to provide direct law enforcement services to towns within its own county.

#### **15. FALSE STATEMENTS**

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

##### **Why This Condition:**

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

##### **What You Should Do:**

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

Grant recipients shall promptly refer to the Office of the Inspector General (OIG) any credible evidence that a person has submitted a false claim under the False Claims Act or has committed a criminal or civil violation of laws pertaining to fraud, conflict of interest, bribery, gratuity or similar misconduct involving CHRP funds. The OIG may be contacted at [OIG.hotline@usdoj.gov](mailto:OIG.hotline@usdoj.gov), <http://www.usdoj.gov/oig/FOIA/hotline.htm> and 800.869.4499.

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## **16. RECOVERY ACT ACCOUNTABILITY AND TRANSPARENCY**

*The COPS Hiring Recovery Program is funded through the American Recovery and Reinvestment Act (Recovery Act) of 2009, and provides funding directly to law enforcement agencies to hire and/or rehire full-time career law enforcement officers in an effort to create and preserve jobs, and to increase their community policing capacity and crime prevention efforts. The Recovery Act and the Office of Management and Budget (OMB) government-wide implementing guidance established certain recipient requirements that are intended to provide the public with a high level of accountability and transparency on the use of funds.*

### **Why These Conditions:**

The Recovery Act conditions help ensure that the uses of funds are transparent to the public and are reported clearly, accurately, and in a timely manner; funds are used for authorized purposes and instances of fraud, waste, error and abuse are mitigated; and program goals are achieved, including specific program outcomes.

### **What You Should Do:**

Your agency should carefully read the grant conditions below and understand that accepting this Recovery Act award requires the recipient to comply with extensive accountability and transparency requirements:

#### ***(A) Recovery Act Transactions Listed in Schedule of Expenditures of Federal Awards and Recipient Responsibilities for Informing Subrecipients***

- (1) To maximize the transparency and accountability of funds authorized under the American Recovery and Reinvestment Act of 2009 (Public Law 111-5) (Recovery Act) as required by Congress and in accordance with 28 C.F.R. 70 "Uniform Administrative Requirements for Grants and Agreements for Institutions of Higher Education, Hospitals and Other Non-Profit Organizations" and 28 C.F.R. 66 "Uniform Administrative Requirements for Grants and Agreements for State and Local Governments," the recipient agrees to maintain records that identify adequately the source and application of Recovery Act funds.
- (2) For a recipient covered by the Single Audit Act Amendments of 1996 and OMB Circular A-133, "Audits of States, Local Governments, and Non-Profit Organizations," the recipient agrees to separately identify the expenditures for federal awards under the Recovery Act on the Schedule of Expenditures of Federal Awards (SEFA) and the Data Collection Form (SF-SAC) required by OMB Circular A-133. This shall be accomplished by identifying expenditures for federal awards made under the Recovery Act separately on the SEFA, and as separate rows under Item 9 of Part III on the SF-SAC by CFDA number, and inclusion of the prefix "ARRA-" in identifying the name of the federal program on the SEFA and as the first characters in Item 9d of Part III on the SF-SAC.



- (3) The recipient agrees to separately identify to each sub-recipient (if any) and document at the time of sub-award and at the time of disbursement of funds, the federal award number, CFDA number, and amount of Recovery Act funds. When a recipient awards Recovery Act funds for an existing program, the information furnished to sub-recipients shall distinguish the sub-awards of incremental Recovery Act funds from regular sub-awards under the existing program.
- (4) The recipient agrees to require their sub-recipients (if any) to include on their SEFA information to specifically identify Recovery Act funding similar to the requirements for the recipient SEFA described above. This information is needed to allow the recipient to properly monitor sub-recipient expenditure of Recovery Act funds as well as oversight by the Department of Justice, Office of the Inspector General, and Government Accountability Office.

#### ***(B) Recipient Reports and Central Contractor Registration***

- (1) The recipient agrees to complete projects or activities which are funded under the Recovery Act and to report on use of Recovery Act funds provided through this award. Information from these reports will be made available to the public.
- (2) The reports are due no later than ten calendar days after each calendar quarter in which the recipient receives the assistance award funded in whole or in part by the Recovery Act.
- (3) The recipient and their first-tier recipients (if any) must maintain current registrations in the Central Contractor Registration ([www.ccr.gov](http://www.ccr.gov)) at all times during which they have active federal awards funded with Recovery Act funds. A Dun and Bradstreet Data Universal Numbering System (DUNS) Number ([www.dnb.com](http://www.dnb.com)) is one of the requirements for registration in the Central Contractor Registration. [See Appendix E and F for more information.]
- (4) The recipient shall report the information described in Section 1512(c) of the Recovery Act using the reporting instructions and data elements that will be provided online at [www.FederalReporting.gov](http://www.FederalReporting.gov) and ensure that any information that is pre-filled is corrected or updated as needed.

#### ***(C) Data Elements of Recipient Reports***

In accordance with Section 1512(c) of the Recovery Act, the recipient agrees that not later than 10 days after the end of each calendar quarter, each recipient that received Recovery Act funds from a federal agency shall submit a report to that agency that contains —

- (1) the total amount of recovery funds received from that agency;
  - (2) the amount of recovery funds received that were expended or obligated to projects or activities; and
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- (3) a detailed list of all projects or activities for which recovery funds were expended or obligated, including—
- (a) the name of the project or activity;
  - (b) a description of the project or activity;
  - (c) an evaluation of the completion status of the project or activity;
  - (d) an estimate of the number of jobs created and the number of jobs retained by the project or activity; and
  - (e) for infrastructure investments made by state and local governments, the purpose, total cost, and rationale of the agency for funding the infrastructure investment with funds made available under this Act, and name of the person to contact at the agency if there are concerns with the infrastructure investment.
- (4) Detailed information on subcontracts or subgrants (if any) awarded by the recipient to include the data elements required to comply with the Federal Funding Accountability and Transparency Act of 2006 (Public Law 109-282), allowing aggregate reporting on awards below \$25,000 or to individuals, as prescribed by the Director of the Office of Management and Budget.

These Recovery Act reports are in addition to other financial and programmatic reports required by the COPS Office.

***(D) Access to Records and Interviews***

The recipient agrees that the Department of Justice (DOJ) and its representatives (including COPS and the Office of the Inspector General (OIG)) and the Government Accountability Office (GAO) shall have access to and the right to examine all records (including, but not limited to, books, papers, and documents) related to this Recovery Act award. The recipient also agrees that DOJ and the GAO are authorized to interview any officer or employee of the recipient regarding transactions related to this Recovery Act award.

***(E) Reporting Potential Fraud, Waste, and Abuse, and Similar Misconduct***

The recipient agrees to promptly refer to the Office of the Inspector General any credible evidence that a principal, employee, agent, contractor, sub-grantee, subcontractor, or other person has submitted a false claim under the False Claims Act or has committed a criminal or civil violation of laws pertaining to fraud, conflict of interest, bribery, gratuity, or similar misconduct involving Recovery Act funds. The OIG may be contacted at [OIG.hotline@usdoj.gov](mailto:OIG.hotline@usdoj.gov), [www.usdoj.gov/oig/FOIA/hotline.htm](http://www.usdoj.gov/oig/FOIA/hotline.htm), and 800.869.4499.



***(F) Protecting State and Local Government and Contractor Whistleblowers***

The recipient agrees that Section 1553 of the Recovery Act provides certain protections against reprisals for employees of non-federal employers (state and local governments or private contractors) who disclose information to federal officials reasonably believed to be evidence of gross management, gross waste, substantial and specific danger to public health or safety, abuse of authority, or violations of law related to contracts or grants using Recovery Act funds.

***(G) Separate Tracking and Reporting of Recovery Act Funds and Outcomes***

The recipient agrees to maintain accounting systems and records that adequately track, account for, and report on all funds from this Recovery Act award (including officers hired, salaries and fringe benefits paid, and the number of jobs created and jobs preserved) separately from all other funds (including other COPS and federal grants awarded for the same or similar purposes).

***(H) Additional Requirements and Guidance***

The recipient agrees to comply with any modifications or additional requirements that may be imposed by law and future COPS (including government-wide) guidance and clarifications of Recovery Act requirements.

**What are the specific rules regarding termination of grant funding?**

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

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

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

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

## Accepting the Grant Award

After you have reviewed the conditions of your COPS award and your agency agrees with these conditions, you are ready to accept the award. The Acting Director of the COPS Office has signed the Award Document indicating approval of your grant, an obligation of federal funds to your organization, and our commitment to the award. As stated at the beginning of this section, to officially begin your grant and draw down your funds, the authorized officials (see Section IX, "Glossary of Terms") must sign the Award Document and return the original document to:

**U.S. Department of Justice  
Office of Community Oriented Policing Services (COPS)  
ATTN: COPS Hiring Recovery Program Control Desk, 8<sup>th</sup> Floor  
1100 Vermont Avenue, N.W.  
Washington, DC 20530  
(For overnight delivery, please use 20005 as the ZIP Code.)**

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

### *Who should sign the Award Document for our agency?*

The "authorized officials" are the law enforcement and government executives who have ultimate and final responsibility for all programmatic and financial decisions regarding this grant as representatives of the legal grantee. COPS grants require that both the top law enforcement executive (e.g., Chief of Police, Sheriff, or equivalent) and the top government executive (e.g., Mayor, Board Chairman, or equivalent) sign the Award Document. For non-law enforcement agencies (universities, etc.), the authorized officials are the programmatic and financial officials who have the ultimate signatory

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authority to sign contracts on behalf of your organization. Typically, these are the same executives named on your agency's CHRP application (if one or both of these individuals have changed, please complete a Change of Information form online at [www.cops.usdoj.gov](http://www.cops.usdoj.gov) through the Account Access option). If you have any questions as to who should sign the award, please contact your jurisdiction's local legal advisor.

***When must the Award Document be returned?***

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

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## II. Accessing Grant Funds



## II. ACCESSING GRANT FUNDS

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

### Payment Method

#### *What method of payment is used?*

There is currently one method of payment available for accessing federal grant funds—the Phone Activated Paperless Request System (PAPRS). PAPRS enables grantees to use their touch-tone telephone to request funds. Approved payment requests will be automatically scheduled for payment by the U.S. Treasury Department. The system also provides online information to grantees about the status of their requests.

If you do not have a touch-tone telephone, please contact the COPS Office Response Center at 800.421.6770. If you need to request a reprinted PAPRS package, please contact the Office of the Chief Financial Officer, Customer Service Center, Office of Justice Programs at 800.458.0786.

COPS grantees will be informed of any additional payment options that may become available during the grant life cycle.

### Setting Up Your Account

#### *How do we set up a PAPRS account?*

If you are a new grantee to the COPS Office, you should receive a packet of financial documents shortly after COPS receives your original signed Award Document. This packet will contain all of the information that your agency needs to set up your payment method. You will receive a PAPRS user's manual under separate cover from the Office of the Chief Financial Officer, Office of Justice Programs (OJP). Once you receive your Office of Justice Programs vendor number (which may or may not be the same as your taxpayer identification number), please use your PIN and Grant ID numbers (included in the PAPRS package) and follow the directions in the user's manual to access your funds.

#### *How do we fill out the payment enrollment forms?*

Your agency will receive an Automated Clearing House (ACH) Vendor/Miscellaneous Payment (SF-3881) enrollment form from OJP. **Prior to accessing your grant funds, your agency must mail the original form to:**

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

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

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

### ***When should Financial Status Reports be filed?***

After your agency returns the signed Award Document to the COPS Office, under current regulations, you are required to submit quarterly Financial Status Reports (FSRs) using a Standard Form 269A (SF-269A). This report reflects the actual monies spent and unliquidated obligations incurred by your agency. You will not be able to make drawdowns from your grant account if the SF-269A for the most recent reporting quarter is not on file with the COPS Office by the deadline date. Grantees are encouraged to submit their SF-269A reports via the Internet at <https://www.cops.usdoj.gov>.

For more information on how to complete and where to submit your quarterly FSRs, see Section V of this Grant Owner’s Manual titled “Reports.”

Please be advised that on or after October 1, 2009, the COPS Office plans to discontinue the use of the SF-269A and recipients will be required to use the government-wide Standard Form 425 (SF-425) Federal Financial Report. The COPS Office will notify grantees in advance of any changes to the quarterly Financial Status Report requirement. Until further notice, recipients should continue to submit their quarterly SF-269A.

*Filing the Financial Status Report identifies your federal and local expenditures made during that calendar quarter. However, to receive actual payment, you must request it through PAPRS.*

## **Additional Payment Questions**

### ***Can we receive advances?***

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

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

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

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

#### ***How often do we request reimbursement of costs?***

There are no limitations on how often your agency may request reimbursements. However, reimbursement is only for costs that were approved in the Financial Clearance Memorandum under the CHRP grant. As a general guideline, most agencies request reimbursement on a monthly or quarterly basis.

#### ***Can we earn interest on our grant funds?***

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

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

### **Matching Funds**

Under the COPS Hiring Recovery Program, no local match is required. The COPS Office is funding 100 percent of the approved entry-level sworn officer salary and fringe benefit costs detailed in your Financial Clearance Memorandum. [Any costs higher than entry-level must be paid by your agency with local funds.]

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# **III. Financial Record Maintenance**





### **III. FINANCIAL RECORD MAINTENANCE**

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

#### ***What accounting systems are required?***

To comply with the reporting requirements under the Recovery Act, grantees must track and report CHRP funding separately from other funding sources (including other COPS and federal grants) to ensure accurate financial reporting on a timely basis.

Grantees should ensure that they have proper financial internal controls in place to monitor the use of CHRP funding and ensure that its use is consistent with the grant terms and conditions. As a matter of good practices, your accounting system should:

- Have written accounting practices
- Track all drawdowns and grant expenditures, including the actual costs of salaries and fringe benefits paid to the CHRP-funded officers
- Be able to track when each CHRP position is filled or vacant including whether the position was for a new hire or a rehire
- Be able to provide necessary information for periodic financial review and audit.

#### ***What records must be kept?***

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

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

The following list of supporting documentation should be maintained:

- Copy of CHRP grant final application
  - W2 Employee Forms (Copy)
  - Records of salary and approved fringe benefit rates for each person hired under the grant
  - Records of hire dates for each person hired under the grant
  - Records demonstrating dates and reasons for lay-offs of rehired officers
  - Payroll records and time and attendance records
  - Postal receipts and/or fax transmission reports (to prove submission dates)
  - Log of reimbursement requests made via PAPRS
  - Copies of checks or wire transfer documents (if applicable)
  - Copies of financial office journal entries (if applicable)
  - Copies of financial status reports for each quarter of the grant period.
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### ***How long must documents be kept?***

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

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

### ***What if we have more than one grant?***

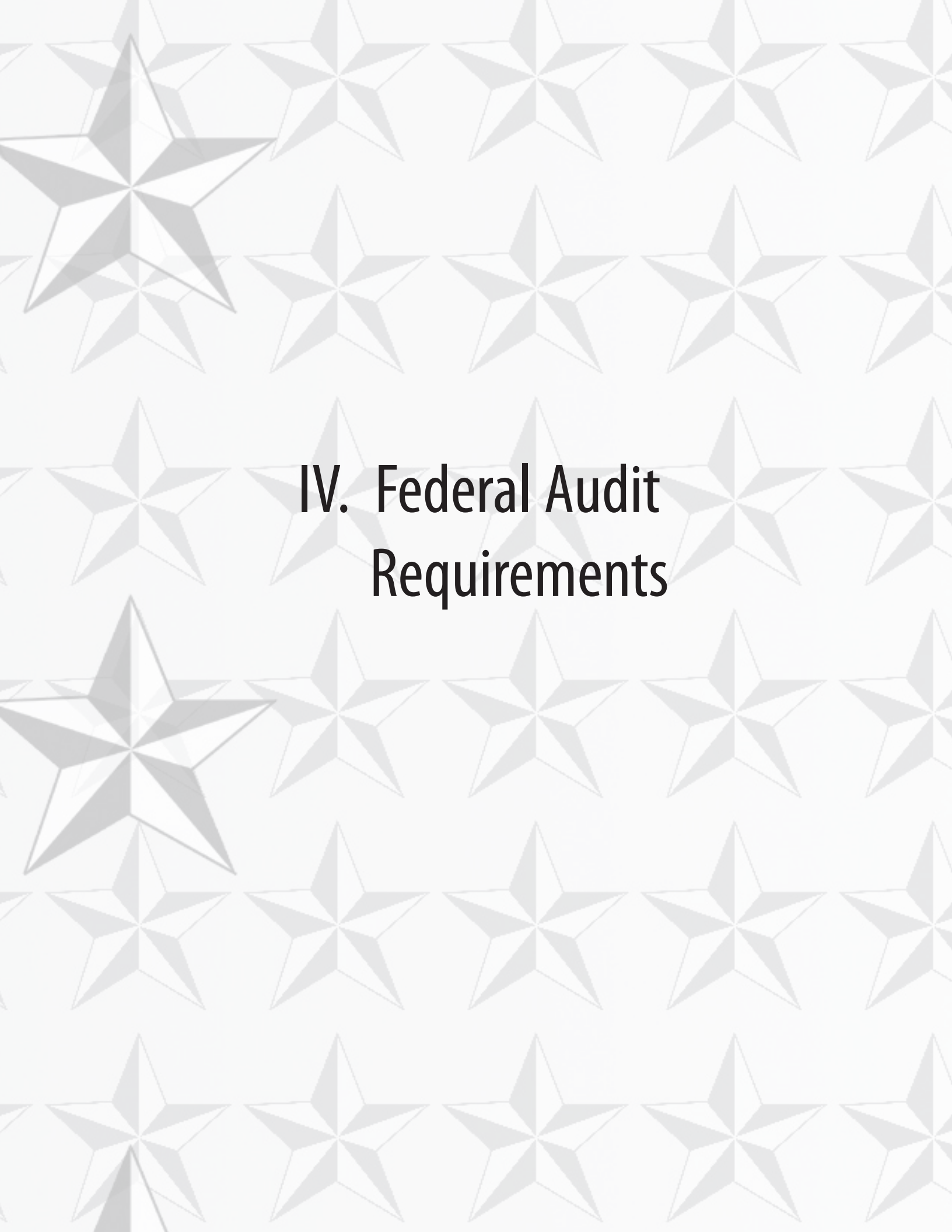
If your agency has more than one COPS grant or a grant from another federal agency, funds received under one project may not be used to support another project without specific written authorization from COPS, or in the case of a grant from another agency, from both awarding agencies. Your accounting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

### ***Who may access our records?***

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

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

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## **IV. Federal Audit Requirements**



## IV. FEDERAL AUDIT REQUIREMENTS

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

### *What are the regulations governing SAA requirements?*

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

### *Who must have an SAA audit?*

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

Failure to have an audit performed may result in sanctions imposed by federal agencies for noncompliance with OMB Circular A-133. These sanctions could include withholding part of your federal award until a required audit is completed satisfactorily, withholding or disallowing unnecessary or unreasonable audit costs, or suspending your award until the audit is performed.

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

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

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



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

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

### ***How are COPS grants selected for an OIG audit?***

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

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

## **Typical Audit Findings**

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

- Unallowable costs—Grantee incurred costs which were not approved in the original budget, were in excess of the approved budget, or were charged to the grant after the expiration date and a grant extension was not obtained.
  - Unsupported costs—Specific grant expenditures and reimbursements could not be supported by adequate documentation.
  - Lack of complete/timely programmatic and financial reporting—Grantee failed to submit required programmatic and financial reports in a timely manner and/or had inadequate record keeping systems.
  - Failure to retain—Grantee lacked documentation to support retention planning efforts during the grant period and/or failed to demonstrate an increase in the baseline of locally-funded sworn officer positions at the conclusion of the 36 months of federal funding, over and above what the grantee would have funded in absence of the grant.
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- Supplanting—Grantee could not document efforts to backfill vacant local sworn officer positions, or grantee could not explain reductions in local law enforcement budget or in sworn officer positions during the grant award period.
- Lack of adequate community policing—Grantee had difficulty demonstrating community policing activities.
- Funds to better use—Funds could be used more efficiently based on management actions such as: a) reductions in outlays; b) deobligation of funds; c) withdrawal; d) costs not incurred by implementing recommended improvements; or e) any other savings which are specifically identified.
- Questioned costs—Costs that are questioned by the auditor because of an audit finding which resulted from a violation or possible violation of a provision of law, regulation, grant terms and conditions, or other document governing the use of federal funds; or because costs incurred appear unreasonable and do not reflect the actions a prudent person would take under the same circumstances; or because costs at the time of the audit are not supported by adequate documentation.

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

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# V. Reports



## V. REPORTS

As part of the COPS Hiring Recovery Program, your agency will be required to submit quarterly Financial Status Reports as well as quarterly Program Progress Reports. Awarded agencies should be prepared to track and report CHRP funding separately from other funding sources (including other COPS and federal grants) to ensure accurate financial and programmatic reporting on a timely basis. Your agency should ensure that you have financial internal controls in place to monitor the use of CHRP funding and ensure that its use is consistent with the grant terms and conditions. Good practices in this area would include written accounting practices, an accounting system that tracks all drawdowns and grant expenditures, and the ability to track when each CHRP position is filled or vacant (including if the position was for a new hire or a rehire). *Failure to submit complete reports, or submit them in a timely manner, may result in the suspension and possible termination of your agency's COPS grant funding or other remedial actions.*

### Financial Status Reports

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

Please be advised that on or after October 1, 2009, the COPS Office plans to discontinue the use of the SF-269A and recipients will be required to submit quarterly financial status reports within 30 days after the end of each calendar quarter using the government-wide Standard Form 425 (SF-425) Federal Financial Report. A final SF-425 will be due within 90 days after the end of the grant period. The COPS Office will notify grantees in advance of any changes to the quarterly Financial Status Report requirement, including instructions on how to submit the new SF-425. Until further notice, recipients should continue to submit their quarterly SF-269A.

#### *How do we file Financial Status Reports?*

Under current regulations, the FSR is due at the COPS Office no later than 45 days following each calendar quarter. However, please be advised that the 45-day requirement may be shortened in the future. The COPS Office will notify grantees in advance of any changes to this reporting requirement. A chart showing the reporting quarter end dates and due dates under the current regulations is provided on the next page. Grantees are strongly encouraged to submit their SF-269A reports via the Internet at:

<https://www.cops.usdoj.gov>.

**If you are unable to complete the FSR online, please contact the COPS Office Response Center at 800.421.6770, or by e-mail at [AskCopsRC@usdoj.gov](mailto:AskCopsRC@usdoj.gov).**

**If you need assistance in completing the SF-269A properly, please contact the COPS Office Response Center at 800.421.6770, by e-mail at [AskCopsRC@usdoj.gov](mailto:AskCopsRC@usdoj.gov), or review the "Helpful Hints Guide for Completing a Financial Status Report" at [www.cops.usdoj.gov/files/RIC/publications/e02085123.pdf](http://www.cops.usdoj.gov/files/RIC/publications/e02085123.pdf).**

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For your first SF-269A submission, use the chart below to determine when the most recent SF-269A reporting quarter ended and complete an SF-269A to cover the period from the award start date of your grant to that particular end date. You are required to submit an SF-269A even if you have not spent any money or incurred any costs during a reporting period. The due dates for online filing of SF-269As are the same as for the submission of paper copies. Under current regulations, the SF-269As must be submitted not later than 45 days after the last day of each reporting quarter as follows:

SF-269A Reporting Quarters	Date Due
01-01-YY to 03-31-YY	No later than 05-15-YY
04-01-YY to 06-30-YY	No later than 08-14-YY
07-01-YY to 09-30-YY	No later than 11-14-YY
10-01-YY to 12-31-YY	No later than 02-14-YY

**Example:**

If your award start date is 02-01-09 and the current date is 04-15-09, then your first SF-269A would be due no later than 05-15-09 and would cover the period 02-01-09 (award start date) through 03-31-09 (end of the most recent reporting quarter). This SF-269A must be on file with the COPS Office so that you can successfully complete a drawdown of funds through PAPRS.

The online SF-269A requires the same reporting information as the paper version. The use of this online application enables authorized users to view current and past SF-269As, and allows them to file or amend the SF-269A for the current quarter.

Grantees who do not submit the SF-269A by the due date will be unable to draw down funds. The payment system contains a function which checks for SF-269A delinquency and will reject a drawdown attempt if the SF-269A is not up to date.

E-mail reminders will be sent prior to the SF-269A submission due date, and subsequent e-mail, fax, and/or hard copy reminders may be sent to the grantee if the SF-269A is delinquent.

***How will grant funds be monitored?***

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

**Program Progress Reports**

Recovery Act quarterly programmatic progress reports completed through the [www.FederalReporting.gov](http://www.FederalReporting.gov) website will be required. Additional quarterly reports and a final programmatic closeout report will also be required to be submitted directly to the COPS Office through the Account Access portion of the COPS Office website at [www.cops.usdoj.gov](http://www.cops.usdoj.gov).

***When will these reports be due?***

The quarterly reports through [www.FederalReporting.gov](http://www.FederalReporting.gov) will be due no later than the 10th day after the calendar quarter ends.

Reporting Quarters	Date Due
01-01-YY to 03-31-YY	No later than 04-10-YY
04-01-YY to 06-30-YY	No later than 07-10-YY
07-01-YY to 09-30-YY	No later than 10-10-YY
10-01-YY to 12-31-YY	No later than 01-10-YY

The quarterly reports submitted to the COPS Office will be due no later than 30 days after the calendar quarter ends.

Reporting Quarters	Date Due
01-01-YY to 03-31-YY	No later than 04-30-YY
04-01-YY to 06-30-YY	No later than 07-30-YY
07-01-YY to 09-30-YY	No later than 10-30-YY
10-01-YY to 12-31-YY	No later than 01-30-YY

***What kind of information will these reports require?***

The quarterly reports through [www.FederalReporting.gov](http://www.FederalReporting.gov) will ask questions related to Section 1512 of the Recovery Act and require grantees to include the following types of information:

- Total amount of funds received; and of that, the amount spent on projects and activities;
- A list of those projects and activities funded by name to include:
  - » Description
  - » Completion status
  - » Estimates on jobs created and preserved

The reports submitted directly to the COPS Office will request information about the status of your agency's hiring and/or rehiring of additional career law enforcement officers and your grant-related community policing activities.



***Do we need to request a progress report?***

No. The COPS Office will notify your agency directly when both reports are due. A notification for submitting your quarterly Program Progress Report to [www.FederalReporting.gov](http://www.FederalReporting.gov) will be sent in December/March/June/September. A notification for submitting your quarterly Program Progress Report to the COPS Office will be sent in January/April/July/October, covering activities for the preceding calendar quarter. Notification for submitting your final Program Progress Report will be sent to your agency in the month following your grant end date.

***How do we file Program Progress Reports?***

All grantees will be required to submit their quarterly Recovery Act reports to [www.FederalReporting.gov](http://www.FederalReporting.gov).

All grantees will be required to submit their quarterly COPS Office reports through the COPS E-gov Account Access site at [www.cops.usdoj.gov](http://www.cops.usdoj.gov).

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

***Will the data that I submit be publicly available?***

All reports submitted pursuant to Section 1512 of the Recovery Act will be made available on [www.Recovery.gov](http://www.Recovery.gov).

Reports submitted to the COPS Office will not be posted, but data may be aggregated and reported publicly or in response to a Freedom of Information Act request.

***How can I complete a COPS Progress Report online?***

Please access the COPS Office website at [www.cops.usdoj.gov](http://www.cops.usdoj.gov) and click on Account Access at the top right-hand side of the page. Log in by typing your user name and password. Once you are logged in, click on the CHRP Progress Report and follow the instructions to complete your report.

***How do I obtain a user name and password to complete the COPS Progress Report?***

If you do not have your user name and/or password, please contact the COPS Office Response Center by phone at 800.421.6770 (from Monday through Friday between 9 AM and 5 PM Eastern time) or email the Response Center at [egov.issues@usdoj.gov](mailto:egov.issues@usdoj.gov).

***How do we register to use the [www.FederalReporting.gov](http://www.FederalReporting.gov) solution?***

Grantees need to be registered as authorized users of the [www.FederalReporting.gov](http://www.FederalReporting.gov) solution prior to submitting recipient reports into the website. The registration function will be available on [www.FederalReporting.gov](http://www.FederalReporting.gov) no later than August 26, 2009. Grantees must have a Dun and Bradstreet (D&B) Data Universal Numbering System (DUNS) number and be registered with the Central Contractor Registration (CCR) prior to registering with [www.FederalReporting.gov](http://www.FederalReporting.gov).

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The process for registering with [www.FederalReporting.gov](http://www.FederalReporting.gov) will be as follows:

- **Go to the website:** Launch your Web browser software application (e.g., Internet Explorer or Firefox) and navigate to the website [www.FederalReporting.gov](http://www.FederalReporting.gov).
- **Provide registration information:** Select the Registration link on the main page and fill in the required registration information. All grantees will be asked for a preferred User Identifier (User ID), a password, an email address, and a primary phone number. Grantees will also be required to provide their DUNS number. Depending on the user's role in the system, some additional information may also be required. When the website registration has been successfully concluded, the [www.FederalReporting.gov](http://www.FederalReporting.gov) solution will send a confirmation of registration to you by email.

Please note that registering with CCR and/or D&B requires additional processing time for the two organizations to validate user organization registration information. Combined CCR and D&B registration time can range from one to several days depending on the particular organization and type of registration(s). If your agency does not have an active CCR registration, or needs to register with CCR and/or D&B, please allow sufficient time to complete the registrations in order to still meet Recovery Act reporting deadlines. **Advance registration is strongly recommended.**

### ***How do we submit our reports in the [www.FederalReporting.gov](http://www.FederalReporting.gov) solution?***

There are two primary methods to submit reports into the [www.FederalReporting.gov](http://www.FederalReporting.gov) solution.

- 1) Online data entry in a Web browser:** The website provides a straightforward data entry form.

**Technical requirements:** A commercial Web browser such as Microsoft's Internet Explorer or Firefox is required to access the website.

- 2) Excel spreadsheet:** The website will make a Microsoft Excel spreadsheet available for report submission. You can download this spreadsheet, open the spreadsheet in Microsoft's Excel spreadsheet program and fill it in. The spreadsheet can then be uploaded to the website at [www.FederalReporting.gov](http://www.FederalReporting.gov). The spreadsheet is "locked" to restrict modification of the spreadsheet and allow data entry only in the required fields.

**Note: Grantees must not modify the structure of the spreadsheet or risk non-compliance due to an invalid submission.**

**Technical requirements:** Microsoft Office's Excel (Version 2003 or newer) is required to open and edit the spreadsheet file. A Web browser such as Microsoft's Internet Explorer or Firefox is required to access the website.

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***What if I make a mistake or need to change something on my report?***

Grantees may need to make a change or may be asked by a subsequent COPS reviewer to make a correction to a submission. The recipient can update the submission using the same two submission methods above.

***Is there a helpdesk to call for assistance with the [www.FederalReporting.gov](http://www.FederalReporting.gov) solution?***

The registration and reporting processes will be supported by a helpdesk. The helpdesk contact information will be available on the [www.FederalReporting.gov](http://www.FederalReporting.gov) website at the start of registration and will provide help with user functions related to the registration.

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## **VI. Community Policing Activities**



## VI. COMMUNITY POLICING ACTIVITIES

The COPS Office defines community policing as a philosophy that promotes organizational strategies, which support the systematic use of partnerships and problem-solving techniques, to proactively address the immediate conditions that give rise to public safety issues such as crime, social disorder, and fear of crime. CHRP grants must be used to initiate or enhance community policing activities. All newly hired, additional or rehired officers (or an equal number of redeployed veteran officers) funded under CHRP must engage in community policing activities.

In your application, you specified a community policing implementation plan for the CHRP grant, with specific reference to the following elements of community policing: (a) community partnerships and support, including consultation with community groups, private, and/or other public agencies; (b) related governmental and community initiatives that complement your agency's proposed use of CHRP funding; and (c) organizational transformation – how your agency will use these funds to reorient its mission to community policing or enhance its involvement in and commitment to community policing.

Your organization may be audited or monitored to ensure that it is initiating or enhancing community policing in accordance with this plan. If your community policing needs change during the life of your CHRP grant, minor changes to this plan may be made without prior approval of the COPS Office. We also recognize that this plan may incorporate a broad range of possible community policing strategies and activities, and that your agency may implement particular community policing strategies from the plan on an as-needed basis throughout the life of the grant. If your agency's community policing plan changes significantly, however, you must submit those changes 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 original community policing plan submitted with your application.

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## **VII. When the Grant Period Has Ended**



## **VII. WHEN THE GRANT PERIOD HAS ENDED**

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

After the end of the grant period, your agency will be asked to submit a final Financial Status Report and a final program progress report.

### **Final Financial Status Report**

The final Financial Status Report (SF-269A) for your grant is due to the COPS Office no later than 90 days after the end of the grant period. The final report should reflect the total amount of federal expenditures and the amount of unobligated funds, if any. The federal funds expended should reflect only the actual allowable incurred salary and fringe benefit costs for the 36-month grant period that each grant position was occupied. Additionally, it should reconcile with the amount of funds drawn down by your agency.

#### ***When should all of the grant monies be spent?***

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

*Please be advised that 28 C.F.R. 66.50(c) requires grantees to submit final SF-269As and to draw down the final reimbursement for expended funds within 90 days after the expiration of the grant. In addition, be advised that failure to complete the drawdown of funds within the 90-day period following award expiration will result in the forfeiture of the remaining eligible balance.*

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

### **Final Program Progress (Closeout) Report**

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

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## Retention

At the conclusion of 36 months of federal funding for each awarded officer position, your agency must implement its plan, submitted at the time of application, to retain the additional COPS-funded officer position(s) with state and/or local funds for a minimum of 12 months as required by Grant Condition #5 in this manual. If an agency is awarded several officer positions, the retention period for each individual officer position begins upon completion of 36 months of federal funding for each position (not based on the cumulative grant award end date). The additional officer positions should be added to your agency's law enforcement budget with state and/or local funds for at least 12 months, over and above the number of locally-funded officer positions that would have existed in the absence of the grant. If a position becomes vacant during the retention period, your agency must take active and timely steps consistent with its hiring policies and procedures to fill the position with a new, additional officer to complete the remainder of the 12-month retention period.

Absorbing CHRP-funded officers through attrition (rather than adding the extra positions to your budget with additional funding) does not meet the retention requirement.

If you have any questions regarding the retention requirement, please contact your COPS Grant Program Specialist at 800.421.6770 or via email at [AskCOPSRC@usdoj.gov](mailto:AskCOPSRC@usdoj.gov).



## VIII. Conclusion



## VIII. CONCLUSION

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

**U.S. Department of Justice**  
**Office of Community Oriented Policing Services**  
**ATTN: COPS Hiring Recovery Program Control Desk, 8<sup>th</sup> Floor**  
**1100 Vermont Avenue, N.W.**  
**Washington, DC 20530**  
**(For overnight delivery, please use 20005 as the ZIP Code.)**

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

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## IX. Glossary of Terms



## IX. GLOSSARY OF TERMS

### **Allowable Costs**

Allowable costs are costs that will be paid for by this grant program. The only allowable costs under CHRP 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 grant award start date. Officers previously employed by your agency may be rehired using CHRP grant funds, but any costs higher than entry-level must be paid by your agency with local funds. Funding must be limited to your agency's entry-level salary and benefits. Upon review of your submitted budget, any unallowable costs were removed. The Financial Clearance Memorandum that was included in your award package outlined your allowable costs and noted any relevant revisions that were made to your original budget submission. *Approved entry-level salaries and benefits paid during basic academy training are allowable when it is the agency's policy to pay all newly hired officers during this training.*

### **Audit**

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

### **Authorized Officials**

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

### **Award Start Date**

This is the date on or after which your agency is authorized to hire and/or rehire positions that were approved by the COPS Office. The award start date is found on your grant Award Document. *Grantees may not expend funds or hire or rehire grant-funded officers prior to this date without written approval from the COPS Office.*

### **Career Law Enforcement Officer**

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

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### **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 COPS grants is 16.710.

### **Central Contractor Registration (CCR)**

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

### **Closeout**

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

### **Cognizant Federal Agency**

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

### **Community Policing**

Community policing is a philosophy that promotes organizational strategies, which support the systematic use of partnerships and problem-solving techniques, to proactively address the immediate conditions that give rise to public safety issues such as crime, social disorder, and fear of crime. All newly hired, additional or rehired officers (or an equal number of redeployed veteran officers) funded under COPS programs must engage in community policing activities.

### **COPS Finance Staff**

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

### **COPS Office**

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

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**Criminal Intelligence Officer**

A criminal intelligence officer, whether working directly with a law enforcement agency or assigned to the appropriate state or regional fusion center, works in the field of criminal intelligence and may conduct data collection, research and analysis to produce finished intelligence reports or other products designed to assist in the prevention, detection, or investigation of violations of criminal laws.

**Data Universal Numbering System (DUNS) Number**

Since FY 2004, the Office of Management and Budget has required all agencies applying for federal funding to obtain this number prior to application. The DUNS number is a unique nine-digit identification number that is assigned upon request to agencies by Dun & Bradstreet (D&B). This number will be used by the federal government to better track grant recipient information throughout the grant cycle and to provide consistent name and address data for electronic grant application systems. To obtain a DUNS number, visit the Dun & Bradstreet website at [www.dnb.com](http://www.dnb.com) or call 866.705.5711.

**Employer Identification Number (EIN) / OJP Vendor Number**

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

**Federally Recognized Tribe**

Tribal entities that are recognized and eligible for funding and services from the 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 grant funds. For further information, contact: Bureau of Indian Affairs, Division of Tribal Government Services, MS-4631-MIB, 1849 C Street, N.W., Washington, D.C. 20240, 202.208.2475.

**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.

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### **Grant Monitoring Specialist**

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

### **Grant Number**

The grant number identifies your agency's specific CHRP grant, and can be found on your grant Award Document. This number should be used as a reference when corresponding with the COPS Office. Your grant number is in the following format: 2009-RJWX-0000 or 2009-RKWX-0000. The COPS Office tracks grant information based upon this number.

### **Grant Program Specialist**

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

### **Matching Funds**

What a locality must contribute as a cash match toward total allowable project costs over the life of the program. There is no matching fund requirement for the CHRP program (although higher than entry-level costs for rehired officers must be paid with local funds).

### **Obligation of Funds**

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

### **Originating Agency Identifier (ORI) Number**

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

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### **Primary Law Enforcement Authority**

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

### **The Public Safety Partnership and Community Policing Act of 1994**

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

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

### **Rehire**

CHRP provides funding to rehire full-time officers who had already been laid off at the time of application and/or were scheduled to be laid off on a specific future date at the time of the application as a result of state, local or tribal budget reductions. A grantee may use CHRP funding to rehire an experienced full-time officer, but any additional costs higher than entry-level that your agency pays the rehired officer must be paid with local agency funds, not CHRP funds.

### **Retention Period**

After thirty-six (36) months of COPS funding, CHRP grantees are required to retain each additional COPS-funded position awarded using local, state, or other sources of non-COPS funds. Each awarded position must be retained for at least 12 months after 36 months of federal funding have expired for that position. This time span is referred to as the “retention period.”

### **Supplanting**

COPS grant funds may not be used to supplant (replace) state, local, or Bureau of Indian Affairs funds that would be made available in the absence of federal COPS grant funding. CHRP funds must be used to increase the amount of state, local, or Bureau of Indian Affairs funds otherwise budgeted for the sworn officer positions, plus any additional state, local, or Bureau of Indian Affairs funds budgeted for these purposes.

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# X. Appendixes



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## X. APPENDIXES

### Appendix A – List of Source Documents

#### A. Primary Sources

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

American Recovery and Reinvestment Act of 2009, Public Law 111-5

#### B. Secondary Sources

Code of Federal Regulations (CFR)/Office of Management and Budget (OMB):

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

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

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

28 CFR Part 23, "Criminal Intelligence Systems Operating Policies"

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 Workplaces (Grants)"

28 CFR Part 69, "Government-wide New Restrictions on Lobbying"

28 CFR Part 70, "Uniform Administrative Requirements for Grants and 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"

2 CFR Part 220 (OMB Circular A-21), "Cost Principles for Educational Institutions"

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

2 CFR Part 225 (OMB Circular A-87), "Cost Principles for State and Local Governments"

2 CFR Part 230 (OMB Circular A-122), "Cost Principles for Non-Profit Organizations"

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

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

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

Executive Orders:

Executive Order 12291, "Regulations"

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

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

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## Appendix B – Assurances

Several provisions of federal law and policy apply to all grant programs. The Office of Community Oriented Policing Services needs to secure your assurance that the applicant will comply with these provisions. If you would like further information about any of these assurances, please contact your state's COPS Grant Program Specialist at 800.421.6770.

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

1. It has been legally and officially authorized by the appropriate governing body (for example, mayor or city council) to apply for this grant and that the persons signing the application and these assurances on its behalf are authorized to do so and to act on its behalf with respect to any issues that may arise during processing of this application.
2. It will comply with the provisions of federal law, which limit certain political activities of grantee employees whose principal employment is in connection with an activity financed in whole or in part with this grant. These restrictions are set forth in 5 U.S.C. § 1501, et seq.
3. It will comply with the minimum wage and maximum hours provisions of the Federal Fair Labor Standards Act, if applicable.
4. It will establish safeguards, if it has not done so already, to prohibit employees from using their positions for a purpose that is, or gives the appearance of being, motivated by a desire for private gain for themselves or others, particularly those with whom they have family, business or other ties.
5. It will give the Department of Justice or the Comptroller General access to and the right to examine records and documents related to the grant.
6. It will comply with all requirements imposed by the Department of Justice as a condition or administrative requirement of the grant, including but not limited to: the requirements of 28 CFR Part 66 and 28 CFR Part 70 (governing administrative requirements for grants and cooperative agreements); 2 CFR Part 225 (OMB Circular A-87), 2 CFR 220 (OMB Circular A-21), 2 CFR Part 230 (OMB Circular A-122) and 48 CFR Part 31.000, et seq. (FAR 31.2) (governing cost principles); OMB Circular A-133 (governing audits) and other applicable OMB circulars; the applicable provisions of the Omnibus Crime Control and Safe Streets Act of 1968, as amended; 28 CFR Part 38.1; the current edition of the COPS Grant Monitoring Standards and Guidelines; the applicable COPS Grant Owner's Manuals; and with all other applicable program requirements, laws, orders, regulations, or circulars.
7. If applicable, it will, to the extent practicable and consistent with applicable law, seek, recruit and hire qualified members of racial and ethnic minority groups and qualified women in order to further effective law enforcement by increasing their ranks within the sworn positions in the agency.
8. It will not, on the ground of race, color, religion, national origin, gender, disability or age, unlawfully exclude any person from participation in, deny the benefits of or employment to any person, or subject any person to discrimination in connection with any programs or activities funded in whole or in part with federal funds. These civil rights requirements are found in the non-discrimination provisions of the Omnibus Crime Control and Safe Streets Act of 1968, as amended (42 U.S.C. § 3789d); Title VI of the Civil Rights Act of 1964, as amended (42 U.S.C. § 2000d); the Indian Civil Rights Act (25 U.S.C. §§ 1301-1303); Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 794); Title II, Subtitle A of the Americans with Disabilities Act (ADA) (42 U.S.C. § 12101, et seq.); the Age Discrimination Act of 1975 (42 U.S.C. § 6101, et seq.); and Department of Justice Non-Discrimination Regulations contained in Title 28, Parts 35 and 42 (subparts C, D, E and G) of the Code of Federal Regulations.
  - A. In the event that any court or administrative agency makes a finding of discrimination on grounds of race, color, religion, national origin, gender, disability or age against the applicant after a due process hearing, it agrees to forward a copy of the finding to the Office for Civil Rights, Office of Justice Programs, 810 7th Street, NW, Washington, D.C. 20531.
  - B. If your organization has received an award for \$500,000 or more and has 50 or more employees, then, it has to prepare an EEOP and submit it to the Office for Civil Rights ("OCR"), Office of Justice Programs, 810 7th Street, N.W., Washington, DC 20531, for review within 60 days of the notification of the award. If your organization received an award between \$25,000 and \$500,000 and has 50 or more employees, your organization still has to prepare an EEOP, but it does not have to submit the EEOP to OCR for review. Instead, your organization has to maintain the EEOP on file and make it available for review on request. In addition, your organization has to complete Section B of the Certification Form and return it to OCR. If your organization received an award for less than \$25,000; or if your organization has less than 50 employees, regardless of the amount of the award; or if your organization is a medical institution, educational institution, nonprofit organization or Indian tribe, then your organization is exempt from the EEOP requirement. However, your organization must complete Section A of the Certification Form and return it to OCR.
9. Pursuant to Department of Justice guidelines (June 18, 2002 Federal Register (Volume 67, Number 117, pages 41455-41472)), under Title VI of the Civil Rights Act of 1964, it will ensure meaningful access to its programs and activities by persons with limited English proficiency.
10. It will ensure that any facilities under its ownership, lease or supervision which shall be utilized in the accomplishment of the project are not listed on the Environmental Protection Agency's (EPA) list of Violating Facilities and that it will notify us if advised by the EPA that a facility to be used in this grant is under consideration for such listing by the EPA.



11. If the applicant's state has established a review and comment procedure under Executive Order 12372 and has selected this program for review, it has made this application available for review by the state Single Point of Contact.
12. It will submit all surveys, interview protocols, and other information collections to the COPS Office for submission to the Office of Management and Budget for clearance under the Paperwork Reduction Act of 1995 if required.
13. It will comply with the Human Subjects Research Risk Protections requirements of 28 CFR Part 46 if any part of the funded project contains non-exempt research or statistical activities which involve human subjects and also with 28 CFR Part 22, requiring the safeguarding of individually identifiable information collected from research participants.
14. Pursuant to Executive Order 13043, it will enforce on-the-job seat belt policies and programs for employees when operating agency-owned, rented or personally-owned vehicles.
15. It will not use COPS funds to supplant (replace) state, local, or Bureau of Indian Affairs funds that otherwise would be made available for the purposes of this grant, as applicable.
16. If the awarded grant contains a retention requirement, it will retain the increased officer staffing level and/or the increased officer redeployment level, as applicable, with state or local funds for a minimum of 12 months following expiration of the grant period.
17. It will not use any federal funding directly or indirectly to influence in any manner a Member of Congress, a jurisdiction, or an official of any government, to favor, adopt, or oppose, by vote or otherwise, any legislation, law ratification, policy or appropriation whether before or after the introduction of any bill, measure, or resolution proposing such legislation, law, ratification, policy or appropriation as set forth in the Anti-Lobby Act, 18 U.S.C. 1913.
18. In the event that a portion of grant reimbursements are seized to pay off delinquent federal debts through the Treasury Offset Program or other debt collection process, it agrees to increase the non-federal share (or, if the awarded grant does not contain a cost sharing requirement, contribute a non-federal share) equal to the amount seized in order to fully implement the grant project.

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

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

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

\_\_\_\_\_  
Signature of Law Enforcement Executive (or Official with Programmatic Authority, as applicable)

\_\_\_\_\_  
Date

\_\_\_\_\_  
Signature of Government Executive (or Official with Financial Authority, as applicable)

\_\_\_\_\_  
Date



## Appendix B – Certifications

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

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

#### 1. Lobbying

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

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

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

As required by Executive Order 12549, Debarment and Suspension, and implemented at 2 CFR Part 2867, for prospective participants in primary covered transactions, as defined at 2 CFR Part 2867, Section 2867.437 -

- A. The applicant certifies that it and its principals:
  - i. Are not presently debarred, suspended, proposed for debarment, declared ineligible, sentenced to a denial of federal benefits by a state or federal court, or voluntarily excluded from covered transactions by any federal department or agency;

- ii. Have not within a three-year period preceding this application been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (federal, state or local) or private agreement or transaction; violation of federal or state antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, tax evasion or receiving stolen property, making false claims, or obstruction of justice, or commission of any offense indicating a lack of business integrity or business honesty that seriously and directly affects your present responsibility;
  - iii. Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (federal, state or local) with commission of any of the offenses enumerated in paragraph (A)(ii) of this certification; and
  - iv. Have not within a three-year period preceding this application had one or more public transactions (federal, state or local) terminated for cause or default.
- B. Where the applicant is unable to certify to any of the statements in this certification, he or she shall attach an explanation to this application.

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

As required by the Drug-Free Workplace Act of 1988, and implemented at 28 CFR Part 83, for grantees, as defined at 28 CFR Part 83, Sections 83 and 83.510 -

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



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

**Grantee Agency Name and Address:**

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

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

\_\_\_\_\_  
\_\_\_\_\_

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

4. Coordination

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

**Grantee Agency Name and Address:**

\_\_\_\_\_  
\_\_\_\_\_

**Grantee IRS/ Vendor Number:**

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

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

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

Typed Name and Title of Law Enforcement Executive (or Official with Programmatic Authority, as applicable):

\_\_\_\_\_

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Typed Name and Title of Government Executive (or Official with Financial Authority, as applicable)

Signature: \_\_\_\_\_ Date: \_\_\_\_\_



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## Appendix C – Community Policing Defined

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

### Community Partnerships

Collaborative partnerships between the law enforcement agency and the individuals and organizations they serve to develop solutions to problems and increase trust in police.

- Other Government Agencies
- Community Members/Groups
- Nonprofits/Service Providers
- Private Businesses
- Media

Community policing, recognizing that police rarely can solve public safety problems alone, encourages interactive partnerships with relevant stakeholders. The range of potential partners is large and these partnerships can be used to accomplish the two interrelated goals of developing solutions to problems through collaborative problem solving and improving public trust. The public should play a role in prioritizing public safety problems.

### Other Government Agencies

Law enforcement organizations can partner with a number of other government agencies to identify community concerns and offer alternative solutions. Examples of agencies include legislative bodies, prosecutors, probation and parole, public works departments, neighboring law enforcement agencies, health and human services, child support, ordinance enforcement, and schools.

### Community Members/Groups

Individuals who live, work, or otherwise have an interest in the community—volunteers, activists, formal and informal community leaders, residents, visitors and tourists, and commuters—are a valuable resource for identifying community concerns. Partnerships with these factions of the community can engage the community in achieving specific goals at town hall meetings, neighborhood association meetings, decentralized offices/storefronts in the community, and team beat assignments.

### Nonprofits/Service Providers

Advocacy and community-based organizations that provide services to the community and advocate on its behalf can be powerful partners. These groups often work with or are composed of individuals who share certain interests and can include such entities as victims groups, service clubs, support groups, issue groups, advocacy groups, and the faith community.

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### **Private Businesses**

For-profit businesses also have a great stake in the health of the community and can be key partners because they often bring considerable resources to bear on problems of mutual concern. Businesses can help identify problems and provide resources for responses, often including their own security apparatus and community outreach. The local chamber of commerce can also assist in disseminating information about police and business partnerships and initiatives.

### **Media**

The media represent a powerful mechanism by which to communicate with the community. It can assist with publicizing community concerns and available solutions, such as services from government or community agencies or new laws or codes that will be enforced. In addition, the media can have a significant impact on public perceptions of the police, crime problems, and fear of crime.

## **Organizational Transformation**

The alignment of organizational management, structure, personnel, and information systems to support community partnerships and proactive problem-solving.

### ***Agency Management***

- Climate and culture
- Leadership
- Labor relations
- Decision-making
- Strategic planning
- Policies
- Organizational evaluations
- Transparency

### ***Organizational Structure***

- Geographic assignment of officers
- Despecialization
- Resources and finances

### ***Personnel***

- Recruitment, hiring, and selection
  - Personnel supervision/evaluations
  - Training
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### ***Information Systems (Technology)***

- Communication/access to data
- Quality and accuracy of data

The community policing philosophy focuses on the way that departments are organized and managed and how the infrastructure can be changed to support the philosophical shift behind community policing. It encourages the application of modern management practices to increase efficiency and effectiveness. Community policing emphasizes changes in organizational structures to institutionalize its adoption and infuse it throughout the entire department, including the way it is managed and organized, its personnel, and its technology.

### **Agency Management**

Under the community policing model, police management needs to infuse community policing ideals throughout the agency by making a number of critical changes in climate and culture, leadership, formal labor relations, decentralized decision-making and accountability, strategic planning, policing and procedures, organizational evaluations, and increased transparency.

#### ***Climate and culture***

Changing the climate and culture means supporting a proactive orientation that values systematic problem solving and partnerships. Formal organizational changes should support the informal networks and communication that take place within agencies to support this orientation.

#### ***Leadership***

Leaders serve as role models for taking risks and building collaborative relationships to implement community policing and they use their position to influence and educate others about it. Leaders, therefore, must constantly emphasize and reinforce community policing's vision, values, and mission within their organization and support and articulate a commitment to community policing as the dominant way of doing business.

#### ***Labor relations***

If community policing is going to be effective, police unions and similar forms of organized labor need to be a part of the process and function as partners in the adoption of the community policing philosophy. Including labor groups in agency changes can ensure support for the changes that are imperative to community policing implementation.

#### ***Decision-making***

Community policing calls for decentralization both in command structure and decision-making. Decentralized decision-making allows front-line officers to take responsibility for their role in community policing. When an officer is able to create solutions to problems and take risks, he or she ultimately feels accountable for those solutions and assumes a greater responsibility for the well-being of the community. Decentralized decision-making involves flattening the hierarchy of the agency, increasing tolerance for risk-taking in problem-solving efforts, and allowing officers discretion in handling calls.

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In addition, providing sufficient authority to coordinate various resources to attack a problem and allowing the officers the autonomy to establish relationships with the community will help define problems and develop possible solutions.

### ***Strategic planning***

The department should have a written statement reflecting a department-wide commitment to community policing and a plan that matches operational needs to available resources and expertise. If a strategic plan is to have value, the members of the organization should be well-versed in it and be able to give examples of their efforts that support the plan. Components such as the organization's mission and value statement should be simple and communicated widely. Everything should connect back to this plan.

### ***Policies***

Community policing affects the nature and development of department policies and procedures to ensure that community policing principles and practices have an effect on activities on the street. Problem solving and partnerships, therefore, should become institutionalized in policies, along with corresponding sets of procedures, where appropriate.

### ***Organizational evaluations***

In addition to the typical measures of police performance (arrest, response times, tickets issued, and crime rates) community policing calls for a broadening of police outcome measures to include such things as community satisfaction, less fear of crime, the alleviation of problems, and improvement in quality of life. Community policing calls for a more sophisticated approach to evaluation—one that looks at how feedback information is used, not only how it measures outcomes.

### ***Transparency***

Community policing involves decision-making processes that are more open than traditional policing. If the community is to be a full partner, the department needs mechanisms for readily sharing relevant information on crime and social disorder problems and police operations with the community.

### ***Organizational Structure***

It is important that the organizational structure of the agency ensures that local patrol officers have decision-making authority and are accountable for their actions. This can be achieved through long-term assignments, the development of officers who are "generalists," and using special units appropriately.

### ***Geographic assignment of officers***

With community policing, there is a shift to the long-term assignment of officers to specific neighborhoods or areas. Geographic deployment plans can help enhance customer service and facilitate more contact between police and citizens, thus establishing a strong relationship and mutual accountability. Beat boundaries should correspond to neighborhood boundaries and other government services should recognize these boundaries when coordinating government public-service activities.

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### ***Despecialization***

To achieve community policing goals, officers have to be able to handle multiple responsibilities and take a team approach to collaborative problem solving and partnering with the community. Community policing encourages its adoption agency-wide, not just to special units, although there may be a need for some specialist units that are tasked with identifying and solving particularly complex problems or managing complex partnerships.

### ***Resources and finances***

Agencies have to devote the necessary human and financial resources to support community policing to ensure that problem-solving efforts are robust and that partnerships are sustained and effective.

### **Personnel**

The principles of community policing need be infused throughout the entire personnel system of an agency including recruitment, hiring, selection, and retention of all law enforcement agency staff, including sworn officers, nonsworn officers, civilians, and volunteers, as well as personnel evaluations, supervision, and training.

### ***Recruitment, hiring, and selection***

Agencies need a systematic means of incorporating community policing elements into their recruitment, selection, and hiring processes. Job descriptions should recognize community policing and problem-solving responsibilities and encourage the recruitment of officers who have a "spirit of service," instead of only a "spirit of adventure." A community policing agency also has to thoughtfully examine where it is looking for recruits, whom it is recruiting and hiring, and what is being tested. Some community policing agencies also look for involvement of the community in this process through the identification of competencies and participation in review boards.

### ***Personnel supervision/evaluations***

Tie performance evaluations to community policing principles and activities that are incorporated into job descriptions. Performance, reward, and promotional structures should support sound problem-solving activities, proactive policing and community collaboration, and citizen satisfaction with police services.

### ***Training***

Training at all levels—academy, field, and in-service—must support community policing principles and tactics. It also needs to encourage creative thinking, a proactive orientation, communication and analytical skills, and techniques for dealing with quality-of-life concerns and maintaining order. Officers can be trained to identify and correct conditions that could lead to crime, raise public awareness, and engage the community

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in finding solutions to problems. Field training officers and supervisors need to learn how to encourage problem solving and help officers learn from other problem-solving initiatives. Until community policing is institutionalized in the organization, training in its fundamental principles will need to take place regularly.

### **Information Systems (Technology)**

Community policing is information-intensive and technology plays a central role in helping to provide ready access to quality information. Accurate and timely information makes problem-solving efforts more effective and ensures that officers are informed about the crime and community conditions of their beat. In addition, technological enhancements can greatly assist with enhancing two-way communication with citizens and in developing agency accountability systems and performance outcome measures.

#### ***Communication/access to data***

Technology provides agencies with an important forum by which to communicate externally with the public and internally with their own staff. To communicate with the public, community policing encourages agencies to develop two-way communication systems through the Internet to provide online reports, reverse 911 and e-mail alerts, discussion forums, and feedback on interactive applications (surveys, maps), thereby creating ongoing dialogs and increasing transparency.

Technology also encourages effective internal communication through memos, reports, newsletters, e-mail and enhanced incident reporting, dispatch functions, and communications interoperability with other entities for more efficient operations. Community policing also encourages the use of technology to develop accountability and performance measurement systems that are timely and contain accurate metrics and a broad array of measures and information.

Community policing also encourages the use of technology to provide officers with ready access to timely information on crime and community characteristics within their beats, either through laptop computers in their patrol cars or through personal data devices. In addition, technology can support crime/problem analysis functions by enabling agencies to gather information on the greater aspects of events including more detailed information on offenders, victims, crime locations, and quality-of-life concerns, and to further enhance analysis.

#### ***Quality and accuracy of data***

Information is only as good as its source and, therefore, it is not useful if it is not of high quality and accurate. Community policing encourages agencies to put safeguards in place to ensure that information from various sources is collected in a systematic fashion and entered into central systems that are linked to one another and checked for accuracy so that it can be used effectively for strategic planning, problem solving, and performance measurement.

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## Problem Solving

The process of engaging in the proactive and systematic examination of identified problems to develop effective responses that are evaluated rigorously.

- Scanning: Identifying and prioritizing problems
- Analysis: Analyzing
- Response: Responding to problems
- Assessment: Assessing problem-solving initiatives
- Using the crime triangle to focus on immediate conditions (victim/offender/location)

Community policing emphasizes proactive problem solving in a systematic and routine fashion. Rather than responding to crime only after it occurs, community policing encourages agencies to proactively develop solutions to the immediate underlying conditions contributing to public safety problems. Problem solving must be infused into all police operations and guide decision-making efforts. Agencies are encouraged to think innovatively about their responses and view making arrests as only one of a wide array of potential responses. A major conceptual vehicle for helping officers to think about problem solving in a structured and disciplined way is the SARA (Scanning, Analysis, Response and Assessment) problem-solving model.

### Scanning: Identifying and prioritizing problems

The objectives of scanning are to identify a basic problem, determine the nature of that problem, determine the scope of seriousness of the problem, and establish baseline measures. An inclusive list of stakeholders for the selected problem is typically identified in this phase. A problem can be thought of as two or more incidents similar in one or more ways and that is of concern to the police and the community. Problems can be a type of behavior, a place, a person or persons, a special event or time, or a combination of any of these. The police, with input from the community, should identify and prioritize concerns.

### Analysis: Analyzing

Analysis is the heart of the problem-solving process. The objectives of analysis are to develop an understanding of the dynamics of the problem, develop an understanding of the limits of current responses, establish correlation, and develop an understanding of cause and effect. As part of the analysis phase, it is important to find out as much as possible about each aspect of the crime triangle by asking Who? What? When? Where? How? Why? and Why Not? about the victim, offender, and crime location.

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### **Response: Responding to problems**

The response phase of the SARA model involves developing and implementing strategies to address an identified problem by searching for strategic responses that are both broad and uninhibited. The response should follow logically from the knowledge learned during the analysis and should be tailored to the specific problem. The goals of the response can range from either totally eliminating the problem, substantially reducing the problem, reducing the amount of harm caused by the problem, or improving the quality of community cohesion.

### **Assessment: Assessing problem-solving initiatives**

Assessment attempts to determine if the response strategies were successful by determining if the problem declined and if the response contributed to the decline. This information not only assists the current effort but also gathers data that build knowledge for the future. Strategies and programs can be assessed for process, outcomes, or both. If the responses implemented are not effective, the information gathered during analysis should be reviewed. New information may have to be collected before new solutions can be developed and tested. The entire process should be viewed as circular rather than linear.

### **Using the crime triangle to focus on immediate conditions (victim/offender/location)**

To understand a problem, many problem solvers have found it useful to visualize links among the victim, offender, and location (the crime triangle) and those aspects that could have an impact on them, for example, capable guardians for victims, handlers for offenders, and managers for locations. Rather than addressing root causes of a problem, the police focus on the factors that are within their reach, such as limiting criminal opportunities and access to victims, increasing guardianship, and associating risk with unwanted behavior.

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## Appendix D

### COPS Hiring Recovery Program (CHRP) File Management: Documents to Maintain in CHRP Grant File

Records must be maintained throughout the three-year CHRP grant period and for at least three years following the official closeout of the CHRP grant.

GRANT PROGRAM \_\_\_ CHRP \_\_\_\_\_ GRANT # \_\_\_\_\_

GRANT AWARD START DATE \_\_\_\_\_ ORIGINAL AWARD END DATE \_\_\_\_\_

EXTENDED AWARD END DATE (if applicable) \_\_\_\_\_

\_\_\_\_\_ **COPY OF GRANT APPLICATION** (You can access the final copy of your CHRP application through the COPS website at [www.cops.usdoj.gov](http://www.cops.usdoj.gov) using the Account Access link, print a copy of the application, and keep it with your agency's CHRP grant records)

\_\_\_\_\_ **COPY OF GRANT AWARD DOCUMENT**

\_\_\_\_\_ **FINANCIAL CLEARANCE MEMO**

\_\_\_\_\_ **GRANT AWARD MODIFICATION APPROVAL LETTERS (w/ Revised Budget Information) AND/OR GRANT EXTENSION APPROVAL LETTERS** (if applicable)

\_\_\_\_\_ **QUARTERLY FINANCIAL STATUS REPORT – SF-269A** (for each quarter of the grant period)

\_\_\_\_\_ **PROGRAM PROGRESS REPORTS**

- CHRP Progress Reports (for each quarter of the grant period)
- CHRP Recovery Act Reports
- Closeout Report

\_\_\_\_\_ **SUPPORTING DOCUMENTATION FOR DRAWDOWNS**

- W2 Employee Forms (Copy)
- Records of salary / approved fringe benefits rates for each person hired under the grant
- Records of hire dates for each person hired under the grant
- Payroll records / Time & attendance records
- Postal receipts / Fax transmission reports (to prove submission dates)
- Log of reimbursement requests made via PAPRS
- Copies of checks or wire transfer documents (if applicable)
- Copies of financial office journal entries (if applicable)

\_\_\_\_\_ **ADDITIONAL SUPPORTING DOCUMENTATION FOR REHIRES**

- Records of the date of lay-off(s)
- Records demonstrating the reason(s) for the lay-off(s), specifically showing fiscal reasons that are unrelated to the availability or receipt of CHRP funds. [Records that may be used to prove that scheduled lay-offs are occurring for local economic reasons that are unrelated to the availability of CHRP grant funds may include (but are not limited to) council or departmental meeting minutes, memoranda, notices, or orders discussing the lay-offs; notices provided to the individual officers regarding the date(s) of the lay-offs; and/or budget documents ordering departmental and/or jurisdiction-wide budget cuts.]



- Records demonstrating that your agency continued funding the officers with local funds until the date of the scheduled lay-offs and did not draw down on CHRP funding for the positions until the lay-offs otherwise would have occurred.
- Records demonstrating that your agency paid any higher-than-entry-level salary and benefits costs to rehired officers with local funds and used CHRP funds only for the approved entry-level salary and benefits package.

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#### **SUPPORTING DOCUMENTATION FOR RETENTION**

- Records (e.g., council meeting minutes) demonstrating that your agency plans to retain.
- Personnel records (e.g., employee action forms) with the employment dates of each officer. [If a position becomes vacant during the grant and/or retention period, your agency must maintain records of the employment dates of any new officer(s) hired to fill the position.]
- Records demonstrating that your agency took timely and active steps to fill all vacancies occurring during the retention period in accordance with the agency's standard hiring practices and procedures.
- Records demonstrating the date each officer position was retained with local funds and that each position was retained with local funds for at least one year (12 months) following the 36-month grant period.

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#### **GRANT CORRESPONDENCE** (All other general correspondence between COPS and grantee)

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#### **MEDIA REPORTS**

[Newspaper clippings, magazine articles, certificates, and/or other noteworthy items should be included to illustrate achievements and successes of the grant program, such as community policing highlights and other grant-related accomplishments. In addition, any CDs, DVDs, electronic newsletters, brochures, website addresses, and/or other similar information published in connection with the grant should be referenced.]

**In the event of a COPS grant monitoring review, the following information should be retained:**

#### **Reduction-in-Force Review**

- The number of sworn officer positions (both full-time and part-time) funded in the agency's budget with local or other non-COPS funding during each fiscal year as of the threshold review date (please note that this may include vacant but funded positions).
  - Identify the current number of vacancies among the agency's locally-funded sworn personnel, the dates on which the positions were vacated, whether the agency intends to fill the vacancies, and the steps, if any, which have been taken to fill the vacancies.
  - Provide supporting documentation from the time the reduction-in-force occurred indicating the reason(s) for the reduction-in-force (examples of supporting documentation may include minutes from council meetings, budget directives, contemporaneous memoranda, etc.).
  - Identify the number of COPS-funded officers the agency currently employs.
  - Documentation regarding whether other local departments in the city/township have experienced similar manpower or budget reductions for the same reasons as the grantee agency.
  - Letters from the agency's government executive and law enforcement executive explaining the reduction-in-force and addressing whether the reduction-in-force was unrelated to the receipt of COPS CHRP funding and therefore would have occurred even in the absence of the CHRP grant.
  - Provide a request to continue implementing all applicable COPS grants (identifying which grants are in place) despite the reduction-in-force.
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### **Failure to Retain Review**

- Evidence to show that attempts have failed to add the COPS-funded positions to a request for local funding during local budget negotiations; attempts have failed to obtain other non-federal funding sources (such as state grants, for example) to support the additional positions at the termination of the COPS grant; and attempts have failed to seek additional law enforcement funding from private sources, including corporate, non-profit, and foundation donations or grants.
- Documentation of any of the following mitigating circumstances that may have hindered agency attempts to implement the retention plan:

Evidence to show that the 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; budgetary imbalance or expenditure cutbacks resulting in significant reductions in other services provided by the agency or significant lay-offs of the agency's personnel; extraordinary and unanticipated nonrecurring expenses and/or loss of revenue (including closure or relocation of major employers) resulting in a material effect on the jurisdiction's fiscal condition; significant downgrading of the jurisdiction's bond rating for fiscal-related reasons; filing for bankruptcy, receivership or similar measure, with the request for relief pending; location within an area in which a declaration of major disaster has been made pursuant to the Robert T. Stafford Disaster Relief and Emergency Assistance Act; and/or other events or conditions demonstrating severe fiscal distress.

### **Excess Cash Review**

- Identify the total amount of grant funding drawn down from the grant.
- Summary and supporting documentation of how the agency expended grant funding.
- Revised Financial Status Reports.

### **Unallowable/Unsupported Costs Review**

- Payroll ledgers for all expenses charged to the grant.

### **Community Policing Review**

- Brochures, newsletters or any documents detailing the agency's community policing efforts as specified in your grant application, particularly in the following key areas:
  - » **Organizational Commitment**
    - Community policing principles found in mission and values statements, policy and procedures manuals, etc.
    - Community policing training information from the academy.
  - » **Problem Solving Activities**
    - Building on information systems to enhance crime analysis capabilities.
    - Identifying crime problems by looking at crime trends.
    - Identifying crime problems with members of the community or other government agencies.
    - Preventing crime by focusing on conditions that lead to crime.



» **Community Partnerships**

- Meetings with community members to learn about specific problems.
  - Locating offices or stations within neighborhoods.
  - Use of volunteers.
  - Providing community policing training to citizens.
  - Police participation in community organization working groups and/or special programs for schools and other interest groups which enhance crime prevention.
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## Appendix E

### Obtaining a Data Universal Numbering System (DUNS) Number

The federal government requires that all applicants for federal grants and cooperative agreements have a DUNS number. The DUNS number is used to identify related organizations that are receiving funding under grants and cooperative agreements, and to provide consistent name and address data for electronic grant application systems.

The Data Universal Numbering System number is a unique nine-digit identification number provided by Dun & Bradstreet (D&B). The DUNS number is site-specific. Therefore, each distinct physical location of an entity (such as branches, divisions, and headquarters) may be assigned a DUNS number. Organizations should try to keep DUNS numbers to a minimum. In many instances, a central DUNS number with a DUNS number for each major division/department/agency that applies for a grant may be sufficient.

#### *How to Obtain a DUNS Number*

- a. You should verify that you have a DUNS number or take the steps needed to obtain one as soon as possible, if there is a possibility you will be applying for future federal grants or cooperative agreements. There is no need to wait until you are submitting a particular application.
  - b. ***If you already have a DUNS number.*** If you, as the entity applying for a federal grant or cooperative agreement, previously obtained a DUNS number in connection with the federal acquisition process or requested or had one assigned to you for another purpose, you should use that number on all of your applications. It is not necessary to request another DUNS number from D&B. You may request D&B to supply a family-tree report of the DUNS numbers associated with your organization. Organizations should work with D&B to ensure the right information is on the report. Organizations should not establish new numbers, but use existing numbers and update/validate the information associated with the number.
  - c. ***If you are not sure if you have a DUNS number.*** Call D&B using the toll-free number 866.705.5711, and indicate that you are a federal grant applicant or prospective applicant. D&B will tell you if you already have a number. If you do not have a DUNS number, D&B will ask you to provide the information listed on the following page and will immediately assign you a number, free of charge.
  - d. ***If you know you do not have a DUNS number.*** Call D&B using the toll-free number 866.705.5711, and indicate that you are a federal grant applicant or prospective applicant. D&B will ask you to provide the information listed on the following page and will immediately assign you a number, free of charge.
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The D&B toll-free number is staffed from 8 a.m. to 6 p.m. (local time of the caller when calling from within the continental United States). Calls placed to the above number outside of those hours will receive a recorded message requesting the caller to call back during the operating hours.

- The process to request a number takes about 5-10 minutes.
- A DUNS number will be assigned at the conclusion of the call.
- You will need to provide the following information:
  - » Legal Name
  - » Headquarters name and address for your organization
  - » Doing business as (DBA) or other name by which your organization is commonly known or recognized
  - » Physical address, city, state and ZIP Code
  - » Mailing address (if separate from headquarters and/or physical address)
  - » Telephone number
  - » Contact name and title
  - » Number of employees at your physical location.

Obtaining a DUNS number is absolutely free for all entities doing business with the federal government. This includes grant and cooperative agreement applicants or prospective applicants and federal contractors. Be certain that you identify yourself as a federal grant applicant or prospective applicant.

### ***Managing Your DUNS Number***

- D&B periodically contacts organizations with DUNS numbers to verify that their information is current. Organizations with multiple DUNS numbers may request a free family tree listing from D&B to help determine what branches/divisions have numbers and whether the information is current. Please call the dedicated toll-free DUNS number request line at 866.705.5711 to request your family tree.
- D&B recommends that organizations with multiple DUNS numbers have a single point of contact for controlling DUNS number requests to ensure that the appropriate branches/divisions have DUNS numbers for federal purposes.
- As a result of obtaining a DUNS number you have the option to be included on D&B's marketing list that is sold to other companies. If you do not want your name/organization included on this marketing list, request to be de-listed from D&B's marketing file when you are speaking with a D&B representative during your DUNS number telephone application.



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## Appendix F

### Central Contractor Registration

In addition to the DUNS number requirement, the COPS Office requires all applicants for federal financial assistance to maintain active registrations in the Central Contractor Registration (CCR) database. The CCR database is the repository for standard information about federal financial assistance applicants, recipients, and sub-recipients. Organizations that have previously submitted applications via Grants.gov are already registered with CCR, as it is a requirement for Grants.gov registration. Please note, however, that applicants must update or renew their CCR at least once per year to maintain an active status. Information about registration procedures can be accessed at [www.ccr.gov](http://www.ccr.gov).

#### To register with CCR:

- Go to [www.ccr.gov](http://www.ccr.gov).
- Click the Start New Registration link.
- Complete the Registration Worksheet.
- Complete the Registration Acknowledgement and Point of Contact Information.
- Register with Credential Provider.

#### To register with a Credential Provider:

1. Click the Register with Credential Provider link.
2. Enter your DUNS number and press Register.
3. On the Welcome screen, click User ID.
4. Complete the registration screens.

Note: You should record the User ID and password that you entered, as you may need this information for future online application submissions.

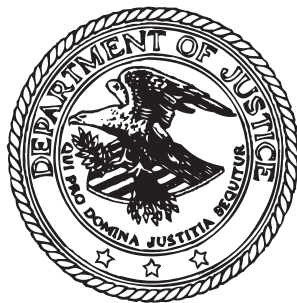
#### Helpful Online Resources:

DUNS Number information:

<http://fedgov.dnb.com/webform/displayHomePage.do>

Central Contractor Registration (CCR): <http://www.ccr.gov>

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FOR MORE INFORMATION:

U.S. Department of Justice  
Office of Community Oriented Policing Services  
1100 Vermont Avenue, N.W.  
Washington, DC 20530

To obtain details on COPS programs, call the  
COPS Office Response Center at 800.421.6770.

Visit COPS Online at the address listed below.

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