

	WISCONSIN EMERGENCY MANAGEMENT	
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	Reference Section:	Operations
	Subject/Description:	1033 Program Compliance
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	Approved By:	Brian M. Satula, Administrator

POLICY: 1033 Program Compliance

I. PURPOSE

A. LESO Requirement

As a participant in the Defense Logistics Agency (DLA) Law Enforcement Support Office (LESO) Program your Law Enforcement Agency (LEA) may be subject to selection in LESO compliance reviews. In addition to this requirement, LESO requires that the State will conduct annual internal 5% Program Compliance Reviews of LEAs participating in the LESO program in order to ensure accountability, program compliance and validate annual inventory submissions are accurate.

In addition, LEAs shall be responsible for the annual certification of inventory as identified in the FEPMIS inventory tool for their agency. LESO requires the use of the FEPMIS tool to manage inventories.

B. State of Wisconsin Requirement

Wisconsin Emergency Management’s (WEM’s) 1033 program compliance monitoring procedure ensures that participating LEA recipients of equipment through adhere to the program plans, policies and procedures as set forth by the “State Plan of Operations” agreement. The compliance monitoring process is designed to verify the proper accountability and utilization of equipment, vehicles, aircraft and weapons, by participating LEA’s. The procedure shall also include yearly site visits by compliance monitoring personnel.

With assistance from WEMs compliance monitoring unit, 100 percent of participating LEA’s shall be reviewed for compliance regarding Wisconsin’s 1033 program rules and requirements as they relate to controlled equipment, aircraft, vehicles and weapons. WEM’s compliance monitoring unit shall review at least five percent or 30 agencies, whichever is greater, per year. Subsequent recurring or follow up site visits shall be conducted as necessary. Each LEA that has controlled equipment on their property book shall receive a site monitoring visit at least once every four years, as long as that

equipment is maintained on the agency's inventory. This may also include the accounting for uncontrolled (archived) equipment.

II. REPORTING REQUIREMENTS

Law Enforcement Agencies (LEAs) and The State of Wisconsin in accordance with the DLA Disposition Services Memorandum of Agreement are subject to biannual Program Compliance Reviews (PCR). This review includes LEAs that have DLA LESO issued property in their possession. Law Enforcement Agencies that may be selected by the DLA LESO will be subject to a DLA LESO Property and Documentation review. As a participant in the DLA LESO Program, LEAs may be subject to selection in these reviews. Results of internal PCRs in terms of LEA non-compliance with terms and conditions of the LESO Program will be kept on-file at the State Coordinator's Office.

III. PROCEDURES

A. Review Process

The State internal review will include, at minimum:

1. A review of each selected LEAs LESO Program files.
2. A review of the signed State Plan of Operation.
3. A physical inventory and/or approved custody card verification of LESO Program property at each selected LEA.
4. A review of property accountability procedures to include the following criteria:
 - a. The proper security and storage of assets. (Secure controlled area with limited access).
 - b. Asset tracking and sign out procedures in place for LESO assets.
 - c. Prior approval of any transfer of high visibility assets.
 - d. Reporting of all lost, missing, or stolen assets.
 - e. Identification of all unused property. **
** The State and/or LEA will bear all expenses related to the repossession, transfer or turn-in of LESO Program property to a different LEA or the nearest DLA Disposition Service Site.
 - f. Property transfer policy and associated records.

B. Annual Inventory Certification

1. WEM shall communicate an inventory cutoff date to each LEA that is identified in FEPMIS of possessing controlled property as of that date.
2. WEM shall provide each LEA with a report that identifies the equipment that should be in the LEAs possession.
3. LEAs shall certify in the FEPMIS tool that the equipment in the agencies possession matches the equipment identified in the report. The certification must be made by the due date that is identified by WEM.
4. Discrepancies must be reported to WEM immediately so that they can be

corrected or accounted for to LESO's satisfaction prior to WEM's due date. **

**All dates will be set for LEAs so that the State will be compliant with LESO annual inventory requirements.

C. LESO Required Compliance Audits

1. Compliance consists of bi-annual federal compliance visits and state required compliance visits.
2. LESO will conduct compliance audits and equipment inventory visits of LEAs during bi-annual federal compliance visits
3. LESO requires that the State will conduct annual internal 5% Program Compliance Reviews of LEAs participating in the LESO program in order to ensure accountability, program compliance and validate annual inventory submissions are accurate.
4. LESO will notify the state of a successful audit with a letter to the governor's office and the state coordinator.

D. State Required Compliance Visits to LEAs

1. WEM shall randomly select a minimum of five percent of participating agencies or 30 participating agencies, whichever number is greater, that will be reviewed during the current reporting year. The agencies selected shall be those that have not been reviewed in the past four years unless the site visit is a follow up, recurring audit or a requested audit due to a special circumstance.
2. WEM shall draft a letter addressing it to the agencies selected advising them that they have been identified to participate in a site visit and that they will receive a call identifying a time and date when the visit will occur within the current reporting year. The letter will also describe inventory and related procedures that are subject to the review.
3. Based on the inventory list WEM compliance monitors shall account for all aircraft, vehicles, weapons and equipment assigned to the LEA. The compliance monitors will verify serial numbers and locations of the equipment. This to be accomplished through a site visit to the LEA and a meeting with the LEA's point of contact or his/her designee. The compliance visit shall be documented with the completion of the "compliance visit report" See attached.

E. Program Expenses

The LEA will bear all expenses related to the repossession, transfer or turn-in of LESO controlled property to a different LEA or the nearest DLA Disposition Service site.

Documentation

A specific review of each selected LEAs files for the following: DLA Form 1348-1A

<http://www.dispositionservices.dla.mil/turn-in/usable/Pages/documentation-usable.aspx> for each item currently on the FEPMIS inventory that includes weapons documentation, transfer documents, turn-in documents, inventory adjustment documents, exception to policy letters (if any), approved cannibalization requests (if any) and other pertinent documentation as required. The annual FEPMIS inventory certification is required for the LEA to remain in good standing.

IV. CONCLUSION

Certain types of equipment used by the DoD, due to the equipment capability, is to be strictly controlled. Therefore, LEA's obtaining the equipment must adhere to a process for compliance and documentation.