

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

POLICY: LESO 1033 Program Compliance

I. PURPOSE

A. LESO Requirement

1. As a participant in the Defense Logistics Agency (DLA) Law Enforcement Support Office (LESO) 1033 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.
2. In addition, LEAs shall be responsible for the annual certification of inventory as identified in the Federal Excess Property Management Information System (FEPMIS) inventory tool for their agency. LESO requires the use of the FEPMIS tool to manage inventories.

B. State of Wisconsin Requirement

1. Wisconsin Emergency Management's (WEM's) LESO 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 (SPO) 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.
2. With assistance from WEM's compliance monitoring unit, 100 percent of participating LEA's shall be reviewed for compliance regarding Wisconsin's LESO 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.

II. REPORTING REQUIREMENTS

LEAs and The State of Wisconsin in accordance with the DLA Disposition Services Memorandum of Agreement (MOA) are subject to biannual Program Compliance Reviews (PCR). This review includes LEAs that have DLA LESO 1033 Program issued property in their possession. LEAs 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 1033 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 1033 Program will be kept on-file at the State Coordinator's Office.

III. PROCEDURES

A. Annual Inventory Certification

1. Per the DLA Instructions and Manuals and the DLA MOA, each State and participating LEA within is required to conduct an annual inventory certification of controlled property, which includes DEMIL "A" for one (1) year from Ship Date. Annual inventories start on October 1 of each year and end January 31 of each year. LEAs in Wisconsin must submit certified inventories by the date established by the State Coordinator in order to meet the January 31 deadline.
2. The State shall:
 - a. Receive, validate, and reconcile incoming certified inventories from the LEAs.
 - b. Ensure LEAs provide serial numbers and photos identified during the annual inventory process for inclusion in the LESO 1033 Program property accounting system for all controlled property identified in Paragraph III E of the SPO, small arms and other unique items as required. For equipment that does not contain a serial number, such as riot control or breaching equipment, a photograph will suffice.
 - c. Suspend the LEA as a result of the LEA's failure to properly conduct and/or certify and submit certified inventories, according to the aforementioned requirements.
3. The LEA shall:
 - a. Complete the annual physical inventory as required.

- b. Provide serial numbers and photos identified in the annual inventory process for inclusion in the LESO 1033 Program property accounting system for all controlled property identified in Paragraph III E of the SPO, small arms and other unique items, as required. For equipment that does not contain serial number, such as riot control or breaching equipment, a photograph will suffice.
- c. Certify the accountability of all controlled property received through the LESO 1033 Program annually by conducting and certifying the physical inventory. The LEA must adhere to additional annual certification requirements as identified by the LESO.
- d. The State and the LESO requires each LEA to submit certified inventories for their Agency by January 31 of each year. The Fiscal Year (FY) is defined as October 1 through September 30 of each year. This gives the LEA four (4) months to physically inventory LESO 1033 Program property in their possession and submit their certified inventories to the State Coordinators.
 - i. The LESO requires a front or side and data plate photo for Aircraft and Tactical Vehicles that are serial number controlled, received through the LESO 1033 Program.
 - ii. The LESO requires serial number photos for each small arm received through the LESO 1033 Program.
 - iii. Photos of other general property may be required as needed.
- e. The LEA's failure to submit the certified annual inventory by January 31 or the date established by the State Coordinator may result in the agency being suspended from operations within the LESO 1033 Program. Further failure to submit the certified annual inventory may result in a LEA termination.
- f. Be aware that High Profile Commodities (Aircraft, Tactical Vehicles and Small Arms) and High Awareness (controlled) property are subject to additional controls.

B. 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 1033 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.

C. 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.
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.
4. The internal PCR will include, at minimum:
 - a. A review of each selected LEAs' LESO 1033 Program files.
 - b. A review of the signed SPO.
 - c. A review of the LEA application and screener's letter.
 - d. A physical inventory of the LESO 1033 Program property at each selected LEA.
 - e. A specific review of each selected LEAs files for the following: DD Form 1348-1A for each item currently on inventory, small arms 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.

D. Program Expenses

The LEA will bear all expenses related to the repossession, transfer or turn-in of LESO 1033 Program controlled property to a different LEA or the nearest DLA Disposition Service site.

IV. CONCLUSION

Certain types of equipment used by the Department of Defense (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.