2015-2016 Program Development Training Workshop

Regulatory Changes
&
Authorities

2 CFR 200

Office of Executive Councils, Chief Financial Officers Council

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COFAR

Council on Financial Assistance Reform 2 C.F.R 200: Uniform Guidance

OMB together with Federal awarding agencies is issuing a joint interim final rule to implement the new guidance at 2 C.F.R. 200 titled Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (Uniform Guidance). The rule will be available for public inspection December 18th, published in the Federal register December 19th (at www.Federalregister.gov) and effective for new awards or some funding increments on or after December 26, 2014.

The final guidance and implementing regulations delivers on President Obama's second term management agenda and his first term directives under Executive Order 13520, the February 28, 2011 Presidential Memorandum, and the objectives laid out in OMB Memorandum M-13-17 to better target financial risks and better direct resources to achieve evidence-based outcomes. The final guidance, which was originally published December 26, 2013 (available at 78 FR 78589) simultaneously improves performance, transparency, and oversight for Federal awards. The COFAR will measure the impact of this guidance as described under M-14-17.

Resources for Understanding the Uniform Guidance

- 2 CFR 200 – Uniform Guidance(*Note: the CFR will be updated to reflect the technical corrections and changes to agency regulations after the December 26th effective date.*)
- Joint Interim Final Rule Implementing the Uniform Guidance (xx FR xxxx)
- Blog Post Announcing Implementation of the Uniform Guidance
- Uniform Guidance Crosswalk for Federal agency Exceptions and Additions
- Preamble and original Federal Register Notice for Uniform Guidance (78 FR 78589)
- Frequently Asked Questions- updated as of November 2014
- Uniform Guidance Crosswalk from Predominant Source in Existing Guidance (29 pages, 442 kb)
- Uniform Guidance Crosswalk to Predominant Source in Existing Guidance (10 pages, 282 kb)
- Uniform Guidance Cost Principles Text Comparison (174 pages, 1.62 mb)
- Uniform Guidance Audit Requirements Text Comparison (46 pages, 731 kb)
- Uniform Guidance Definitions Text Comparison (76 pages, 476 kb)
- Uniform Guidance Administrative Requirements Text Comparison (123 pages, 1 mb)
- M-13-17 Next Steps in the Evidence and Innovation Agenda
- M-14-17 Metrics for Uniform Guidance

Measuring the Impact of the Uniform Guidance

Metrics

On September 30, 2014, OMB published Memorandum M-14-17 Metrics for Uniform Guidance to measure the impact of the Uniform Guidance and to evaluate the extent to which it achieves the COFAR's goal of reducing administrative burden and risk of waste, fraud and abuse.

The feedback tool for non-Federal stakeholders closed on March 17th and the COFAR and OMB are in the process of reviewing submissions. Once aggregate and summarize the information, we will publish the non-Federal feedback and Federal awarding agency metrics here.

Mission & Vision

GCC serves as the chief advisory body to the governor and the secretary of the Department of Public Safety on crime and justice issues. The mission of the Grants Management section is to ensure the efficient management of federal grant funds consistent with federal, state and GCC guidelines and to serve as resources for the citizens of North Carolina. The Grants Management section is dedicated to providing high quality, efficient and effective sub-recipient customer service through guidance, support services, collaboration, compliance, and technical expertise that aligns with the Governor's Crime Commission mission and goals.

Pre-Award Requirements

Must be signed and returned:

- Grant Award
- Special Conditions
- Certifications:
  - *Lobbying, Debarment, Suspension* ***(NP & Gov't)***
  - *Drug-Free Workplace* ***(NP)***
  - *OJP form 40616* ***(NP & Gov't)***
  - *No Over Due Taxes* ***(NP)***

Required Documents…*continued*

- Conflict of Interest **(NP & Gov't)**
- Whistleblower Policies **(NP & Gov't)**
- Discrimination Policy **(NP & Gov't)**
- EEO Certification **(if applicable)**
- Agency Web URL
- 500 word or less description of agency

Grant Award

STATE OF NORTH CAROLINA
DEPARTMENT OF PUBLIC SAFETY
GOVERNOR'S CRIME COMMISSION
1201 Front Street, Suite 200
Raleigh, NC 27609
Telephone:(919) 733-4564 Fax:(919) 733-4625
http://www.ncgccd.org

GRANT AWARD

Applicant:	Department of Public Safety	**Project Name:**	TEST TEST TEST TEST
Authorizing Official:	Meghan Test sgth sth wath	**Implementing Agency:**	State Capitol Police Division - DPS
Address:	4701 Mail Service Center Raleigh, North Carolina 27699-4701	**Project Director:**	Meghan Test sgth sth wath
		Project Number:	PROJ007960
Vendor Number:	300712287	**Account Manager:**	Ranjith Balmoori

Grant Period: 01/01/2011 - 07/06/2013

Budgets

Period	Personnel	Contractual	Travel	Supplies	Equipment	Total
Year 1	$176.00	$25.00	$6,078.00	$0.00	$2,600.00	$8,879.00
Year 2 (*Reserved*)	$16.00	$0.00	$6,078.00	$0.00	$4,700.00	$10,794.00
					Grant with Reserve Budget Total	***$19,673.00***

Source	Federal Grant #	CFDA #	% Funding	Federal Award
			100%	$19,673.00

In accordance with the laws and regulations of the United States and the State Of North Carolina, and on the basis of the grantee's application, the Department of Public Safety hereby awards to the foregoing grantee an award in the amount above.

This grant is subject to the conditions listed in the approved grant application as well as all applicable rules, regulations and conditions, as may be described by the Department of Public Safety. Special conditions are attached to this award.

This grant shall become effective, as of the start date of the grant period listed, once this original grant award has been properly executed on behalf of the grantee and returned to the Governor's Crime Commission, attention of the Grants Management Director. The grant award must be returned within 30 days of the date the award is mailed from the Governor's Crime Commission. No alterations of any kind may be made on this grant award.

The use of the second year reserve is contingent upon the successful completion of the first year of the grant, and the timely submission of all required reports.

Authorizing Official

Signature of Authorizing Official — Date

Meghan Test, sgth sth wath
Name and Title of Authorizing Official

Governor's Crime Commission

Signature of Director — Date

L. David Huffman, Executive Director
Name and Title of Director

Project Director

Signature of Project Director — Date

Meghan Test, sgth sth wath
Name and Title of Project Director

☐ This award is subject to the attached conditions, which must be signed by both the authorizing official and the project director, and returned along with this Grant Award. No alterations of any kind may be made on this grant award.

Special Conditions

DEPARTMENT OF PUBLIC SAFETY GOVERNOR'S CRIME COMMISSION 1201 FRONT STREET, SUITE 200 RALEIGH, NORTH CAROLINA 27609	AWARD CONTINUATION SHEET GRANT	- 1 -

CRIME VICTIMS' SERVICES COMMITTEE
GRANT AWARD
SPECIAL CONDITIONS
VIOLENCE AGAINST WOMEN ACT FUNDING

SUBRECIPIENT:
GRANT TITLE:
PROJECT NUMBER: PROJ008814

1. The recipient agrees to comply with the financial and administrative requirements set forth in the current edition of the Office on Violence Against Women (OVW) Financial Grants Management Guide and the current edition of Governor's Crime Commission Grant Award Packet.

The OJP Financial Guide should be used until OVW post their own financial guide online. The OJP Financial Guide can be viewed online at: www.ojp.usdoj.gov/financialguide

2. The recipient acknowledges that failure to submit an acceptable Equal Employment Opportunity Plan (if recipient is required to submit one pursuant to 28 C.F.R. Section 42.302), that is approved by the Office for Civil Rights, is a violation of its Certified Assurances and may result in suspension or termination of funding, until such time as the recipient is in compliance.

3. The recipient agrees to comply with the organizational audit requirements of OMB Circular A-133, Audits of States, Local Governments, and Non-Profit Organizations, and further understands and agrees that funds may be withheld, or other related requirements may be imposed, if outstanding audit issues (if any) from OMB Circular A-133 audits (and any other audits of OJP grant funds) are not satisfactorily and promptly addressed, as further described in the current edition of the OVW Financial Grants Management Guide.

The recipient agrees to comply with the requirements of NC G.S. 143C-6-23, Use of State funds by non-State entities.

4. The recipient understands and agrees that it cannot use any federal funds, either directly or indirectly, in support of the enactment, repeal, modification or adoption of any law, regulation or policy, at any level of government, without the express prior written approval of OVW, in order to avoid violation of 18 USC § 1913. The recipient may, however, use federal funds to collaborate with and provide information to Federal, State, local, tribal, and territorial public officials and agencies to develop and implement policies to reduce or eliminate domestic violence, dating violence, sexual assault, and stalking (as those terms are defined in 42 USC 13925(a)) when such collaboration and provision of information is consistent with the activities otherwise authorized under this grant program.

5. The recipient must promptly refer to the DOJ OIG and the GCC any credible evidence that a principal, employee, agent, contractor, subgrantee, subcontractor, or other person has either 1) submitted a false claim for grant funds under the False Claims Act; or 2)committed a criminal or civil violation of laws pertaining to fraud, conflict of interest, bribery, gratuity, or similar misconduct involving grant funds. This condition also applies to any subrecipients. Potential fraud, waste, abuse, or misconduct should be reported to the OIG and GCC by -

Mail:
Office of the Inspector General
U.S. Department of Justice
Investigations Division
950 Pennsylvania Avenue, N.W.
Room 4706
Washington, DC 20530

AND

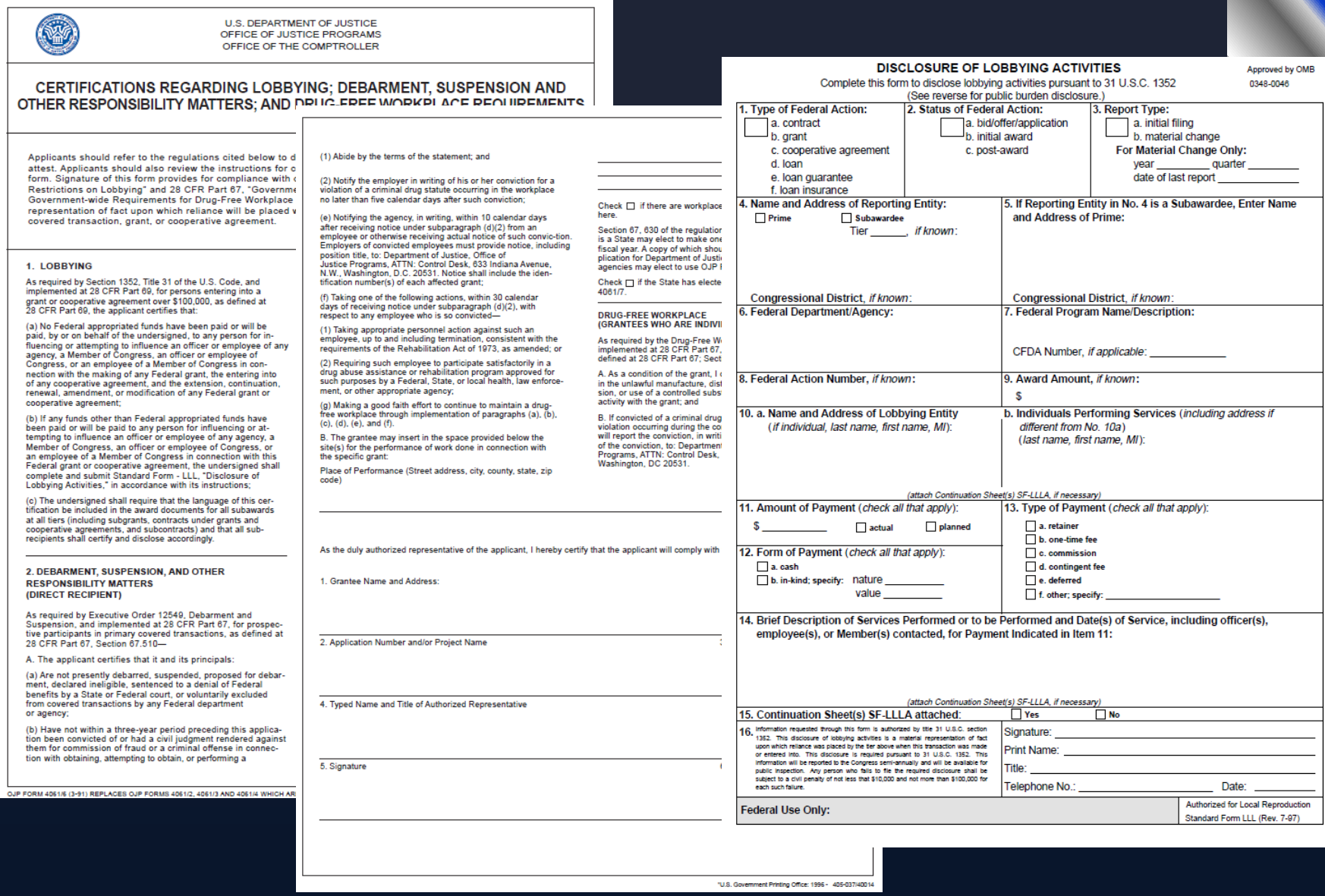
NC Governor's Crime Commission
1201 Front Street
Suite 200
Raleigh, NC 27609

e-mail: (your Grants Mgmt. specialist)

e-mail: oig.hotline@usdoj.gov

hotline: (contact information in English and Spanish): (800) 869-4499

Authorizing Official: Jack Barto	Project Director: Christy Spivey



U.S. DEPARTMENT OF JUSTICE
OFFICE OF JUSTICE PROGRAMS
OFFICE OF THE COMPTROLLER

CERTIFICATIONS REGARDING LOBBYING; DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS; AND DRUG-FREE WORKPLACE REQUIREMENTS

Applicants should refer to the regulations cited below to d
attest. Applicants should also review the instructions for c
form. Signature of this form provides for compliance with
Restrictions on Lobbying" and 28 CFR Part 67, "Governme
Government-wide Requirements for Drug-Free Workplace
representation of fact upon which reliance will be placed
covered transaction, grant, or cooperative agreement.

1. LOBBYING

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

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

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

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

2. DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS (DIRECT RECIPIENT)

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

A. The applicant certifies that it and its principals:

(a) 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;

(b) 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

OJP FORM 4061/6 (3-91) REPLACES OJP FORMS 4061/2, 4061/3 AND 4061/4 WHICH AR

(1) Abide by the terms of the statement; and

(2) 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;

(e) Notifying the agency, in writing, within 10 calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such convic-tion. Employers of convicted employees must provide notice, including position title, to: Department of Justice, Office of Justice Programs, ATTN: Control Desk, 633 Indiana Avenue, N.W., Washington, D.C. 20531. Notice shall include the identification number(s) of each affected grant;

(f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted—

(1) 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

(2) 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;

(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).

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 workplace here.

Section 67, 630 of the regulation is a State may elect to make one fiscal year. A copy of which shou plication for Department of Justi agencies may elect to use OJP

Check ☐ if the State has electe 4061/7.

DRUG-FREE WORKPLACE (GRANTEES WHO ARE INDIVI

As required by the Drug-Free W implemented at 28 CFR Part 67, defined at 28 CFR Part 67; Sect

A. As a condition of the grant, I in the unlawful manufacture, dist sion, or use of a controlled subs activity with the grant; and

B. If convicted of a criminal drug violation occurring during the co will report the conviction, in writi of the conviction, to: Departmen Programs, ATTN: Control Desk, Washington, DC 20531.

As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with

1. Grantee Name and Address:

2. Application Number and/or Project Name

4. Typed Name and Title of Authorized Representative

5. Signature

*U.S. Government Printing Office: 1996 - 405-037/40014

DISCLOSURE OF LOBBYING ACTIVITIES

Approved by OMB 0348-0046

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352
(See reverse for public burden disclosure.)

1. Type of Federal Action:
☐ a. contract
b. grant
c. cooperative agreement
d. loan
e. loan guarantee
f. loan insurance

2. Status of Federal Action:
☐ a. bid/offer/application
b. initial award
c. post-award

3. Report Type:
☐ a. initial filing
b. material change
For Material Change Only:
year _____ quarter _____
date of last report _____

4. Name and Address of Reporting Entity:
☐ Prime ☐ Subawardee
Tier _____, *if known*:
Congressional District, *if known*:

5. If Reporting Entity in No. 4 is a Subawardee, Enter Name and Address of Prime:
Congressional District, *if known*:

6. Federal Department/Agency:

7. Federal Program Name/Description:
CFDA Number, *if applicable*: _____

8. Federal Action Number, *if known*:

9. Award Amount, *if known*:
$

10. a. Name and Address of Lobbying Entity (*if individual, last name, first name, MI*):

b. Individuals Performing Services (*including address if different from No. 10a*) (*last name, first name, MI*):

(attach Continuation Sheet(s) SF-LLLA, if necessary)

11. Amount of Payment (*check all that apply*):
$ _____ ☐ actual ☐ planned

12. Form of Payment (*check all that apply*):
☐ a. cash
☐ b. in-kind; specify: nature _____ value _____

13. Type of Payment (*check all that apply*):
☐ a. retainer
☐ b. one-time fee
☐ c. commission
☐ d. contingent fee
☐ e. deferred
☐ f. other; specify: _____

14. Brief Description of Services Performed or to be Performed and Date(s) of Service, including officer(s), employee(s), or Member(s) contacted, for Payment Indicated in Item 11:

(attach Continuation Sheet(s) SF-LLLA, if necessary)

15. Continuation Sheet(s) SF-LLLA attached: ☐ Yes ☐ No

16. Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than $10,000 and not more than $100,000 for each such failure.

Signature: _____
Print Name: _____
Title: _____
Telephone No.: _____ Date: _____

Federal Use Only:

Authorized for Local Reproduction
Standard Form LLL (Rev. 7-97)

Lobbying, Debarment & Suspension, Drug-Free Workplace

No Over Due Tax Certification

State Grant Certification – No Overdue Tax Debts

Instructions:	Grantee should complete this certification for all state funds received. Entity should enter appropriate data in the yellow highlighted areas. The completed and signed form should be provided to Governor's Crime Commission to be attached to the contract for the grant funds. A copy of this form, along with the completed contract, should be kept by the funding agency and available for review by the Office of State Budget and Management

Entity's Letterhead

[Date of Certification (mmddyyyy)]

To: State Agency Head and Chief Fiscal Officer

Certification

We certify that the [Insert organization's name] does not have any overdue tax debts, as defined by N.C.G.S. 105-243.1, at the Federal, State, or local level. We further understand that any person who makes a false statement in violation of N.C.G.S. 143C-6-23(c) is guilty of a criminal offense punishable as provided by N.C.G.S. 143-34(b).

Sworn Statement:

[Name of Board Chair] and [Name of Project Director] being duly sworn, say that we are the Board Chair and [Project Director], respectively, of [Insert name of organization] of [City] in the State of [Name of State]; and that the foregoing certification is true, accurate and complete to the best of our knowledge and was made and subscribed by us. We also acknowledge and understand that any misuse of State funds will be reported to the appropriate authorities for further action.

_____
[Board Chair]

_____
[Project Director]

Sworn to and subscribed before me on the day of the date of said certification

_____ My Commission Expires: _____
(Notary Signature and Seal)

If there are any questions please contact the Governor's Crime Commission's Grants Management Director at, (919) 733-4564 or you may contact the North Caroline Office of State Budget and Management at, NCGrants@osbm.nc.gov – (919) 706-04665.

G.S. 105-243.1 defines: "Overdue tax debt. – Any part of a tax debt that remains unpaid 90 days or more after the notice of final assessment was mailed to the taxpayer. The term does not include a tax debt, however, if the taxpayer entered into an installment agreement for the tax debt under G.S. 105-237 within 90 days after the notice of final assessment was mailed and has not failed to make any payments due under the installment agreement."

Conflict of Interest

Agency Officials **SHOULD NOT**:

- Satisfy personal interests
- Stray from protocol
- Give preferential treatment
- Exercise impartiality

CONFLICT OF INTEREST POLICY

EXAMPLE

Instructions: This document is intended
interest policy. It is not intended to be use
organizations as they craft their individual
considered unacceptable, and the consec
use this template should take care to mak

Conflict of Interest Defined:
A conflict of interest is defined as a
member/Board member) in an actic
in, personal, organizational, or prof
employee/Board member has a dir
conflict of interest could include:

- Ownership with a member
one or the other has superv
services.
- Employment of or by a mer
where one or the other has
receives services.
- Contractual relationship wit
employee where one or the
client who receives service
- Creditor or debtor to a mem
where one or the other has
receives services.
- Consultative or consumer r
Directors/Trustees or an en
over the other or with a clie

The definition of conflict of interest
decision-making process that woul
organization or group. An example,
employee and a Board member, or
members as consultants.

Employee Responsibilities:
It is in the interest of the organizati
trust and confidence in each other,
effect and to minimize organization
conflict of interest.

Employees are to avoid any conflic
interest. This organization serves th
special interest group.
The appearance of a conflict of inte
and jeopardize the credibility of the
of interest, or the appearance of a
immediately.

"Establishing Effective Grant Monitoring Pr
Office of the State Auditor

Handout #13

Employees are to maintain independence and objectivity with clients, the community, and organization. Employees are called to maintain a sense of fairness, civility, ethics and personal integrity even though law, regulation, or custom does not require them.

Acceptance of Gifts:
Employees, members of employee's immediate family, and members of the Board are prohibited from accepting gifts, money or gratuities from the following:

a. Persons receiving benefits or services from the organization;
b. Any person or organization performing or seeking to perform services under contract with the organization; and
c. Persons who are otherwise in a position to benefit from the actions of any employee of the organization.

Employees may, with the prior written approval of their supervisor, receive honoraria for lectures and other such activities while on personal days, compensatory time, annual leave, or leave without pay. If the employee is acting in any official capacity, honoraria received by an employee in connection with activities relating to employment with the organization are to be paid to the organization.

"Establishing Effective Grant Monitoring Programs"
Office of the State Auditor

Conflict of Interest Policy

WHISTLEBLOWER POLICY
EXAMPLE

Instructions: This document is intended as an aid to assist non-State entities in establishing a whistleblower policy. It is not intended to be used verbatim, but rather to serve as a template for nongovernmenta organization that ch the individual organ group's specific nar

General:
The Organization's Code of Et employees to observe high sta duties and responsibilities. As practice honesty and integrity i laws and regulations.

Reporting Responsibility:
It is the responsibility of all dire report violations or suspected

No Retaliation:
No director, officer, or employe harassment, retaliation, or adv against someone who has repo including termination of employ enable employees and others t resolution outside the Organiza

Reporting Violations:
The Code addresses the Orga their questions, concerns, sugg properly. In most cases, an em an area of concern. However, not satisfied with your supervis Human Resources Department approaching. Supervisors and of Conduct to the Organization responsibility to investigate all satisfied or uncomfortable with contact the Organization's Com

Compliance Officer:
The Organization's Compliance complaints and allegations con senior management and/or the audit committee of the board of annually on compliance activity the audit committee, or membe

Accounting and Auditing Mat
The audit committee of the boa regarding corporate accounting shall immediately notify the aud until the matter is resolved.

WHISTLEBLOWER POLICY
EXAMPLE

Acting in Good Faith:
Anyone filing a complaint concerning a violation or suspected violation of the Code must be acting in good faith and have reasonable grounds for believing the information disclosed indicates a violation of the Code. Any allegations that prove not to be substantiated and which prove to have been made maliciously or knowingly to be false will be viewed as a serious disciplinary offense.

Confidentiality:
Violations or suspected violations may be submitted on a confidential basis by the complainant or may be submitted anonymously. Reports of violations or suspected violations will be kept confidential to the extent possible, consistent with the need to conduct an adequate investigation.

Handling of Reported Violations:
The Compliance Officer will notify the sender and acknowledge receipt of the reported violation or suspected violation within five business days. All reports will be promptly investigated and appropriate corrective action will be taken if warranted by the investigation.

Whistleblower Policy

EEO Certification

CERTIFICATION FORM

Compliance with the Equal Employment Opportunity Plan (EEOP) Requirements

Please read carefully the Instructions (see below) and then complete Section A or Section B or Section C, not all three.

Recipient's Name:		DUNS Number:
Address:		
Grant Title:	Grant Number:	Award Amount:
Name and Title of Contact Person:		
Telephone Number:	E-Mail Address:	

Section A—Declaration Claiming Complete Exemption from the EEOP Requirement

Please check all the following boxes that apply:

☐ Recipient has less than fifty employees. ☐ Recipient is an I
☐ Recipient is a nonprofit organization. ☐ Recipient is an e

I, _____
certify that
not required to prepare an EEOP for the reason(s) checke
I further certify that _____
will comply with applicable federal civil rights laws tha
services.

_____
Print or Type Name and Title *Si*

Section B—Declaration Claiming Exemption fron
That an EEOP Is on File for Review

If a recipient agency has fifty or more employees and is receiving a sin
recipient agency does not have to submit an EEOP to the OCR for rev

I, _____
certify that _____
which has fifty or more employees and is receiving a
$500,000, has formulated an EEOP in accordance with
twenty-four months, the proper authority has formulated
federal law, it is available for review by the public, empl
Civil Rights, Office of Justice Programs, U.S. Departmen

_____
_____
_____
Print or Type Name and Title *Si*

Section C—Declaration Stating that an EEOP Uti
Civil Rights for Review

If a recipient agency has fifty or more employees and is receiving a sin
send an EEOP Utilization Report to the OCR for review.

I, _____
certify that _____
which has fifty or more employees and is receiving a s
accordance with 28 CFR pt. 42, subpt. E, and sent it for
Office for Civil Rights, Office of Justice Programs, U.S. I

_____
Print or Type Name and Title *Si*

OMB Approval No. 1121-0340 Expiration Date: 05/31/14

INSTRUCTIONS

Completing the Certification Form
Compliance with the Equal Employment Opportunity Plan (EEOP) Requirements

The federal regulations implementing the Omnibus Crime Control and S
amended, require some recipients of financial assistance from the U.S.
administrative provisions to create, keep on file, submit to the Office fo
Programs (OJP) for review, and implement an Equal Employment Opportu
E. All awards from the Office of Community Oriented Policing Services (
many awards from OJP, including awards from the Bureau of Justice Assis
Delinquency Prevention (OJJDP), and the Office for Victims of Crime (OV
many awards from the Office on Violence Against Women (OVW) are a
have any questions as to whether your award from the U.S. Department
EEOP requirements, please consult your grant award document, your progr

Recipients should complete *either* Section A *or* Section B *or* Section C, r

Section A

The regulations exempt some recipients from all of the EEOP requirement
from all of the EEOP requirements if it meets any of the following criteria
institution, a medical institution, or an Indian tribe; *or* it received an a
employees. To claim the complete exemption from the EEOP requirements

Section B

Although the regulations require some recipients to create, maintain on
allow some recipients to forego submitting the EEOP to the OCR for rev
local government, an agency of state or local government, or a private bu
and (3) have received a single grant award of $25,000 or more, but less th
from the submission requirement by completing Section B. In completin
EEOP on file has been prepared within twenty-four months of the date of th

Section C

Recipients that (1) are a unit of state or local government, an agency of st
and (2) have fifty or more employees, *and* (3) have received a single gra
maintain on file, *submit to the OCR for review*, and implement an EEO
Utilization Report (or in the process of submitting one) to the OCR, should

Submission Process

If a recipient receives multiple awards subject to the Safe Streets Act, the
for each grant. Recipients should download the online Certification
electronically scan the signed document, and then send the signed
EEOPForms@usdoj.gov. *The document must have the following title: EE*
completing or submitting the Certification Form, please contact the Office
810 7th Street, NW, Washington, DC 20531 (Telephone: (202) 307-0690 ar

OMB Approval No. 1121-0340 Expiration Date: 05/31/14

Public Reporting Burden Statement

Paperwork Reduction Act Notice. Under the Paperwork Reduction Act, a person is not required to respond to a collection of information unless it displays a current valid OMB control number. We try to create forms and instructions that are accurate, can be easily understood, and which impose the least possible burden on you to provide us with information. The estimated minimum average time to complete and file this application is 20 minutes per form. If you have any comments regarding the accuracy of this estimate, or suggestions for making this form simpler, you can write to the Office of Justice Programs, 810 7th Street, N.W., Washington, D.C. 20531.

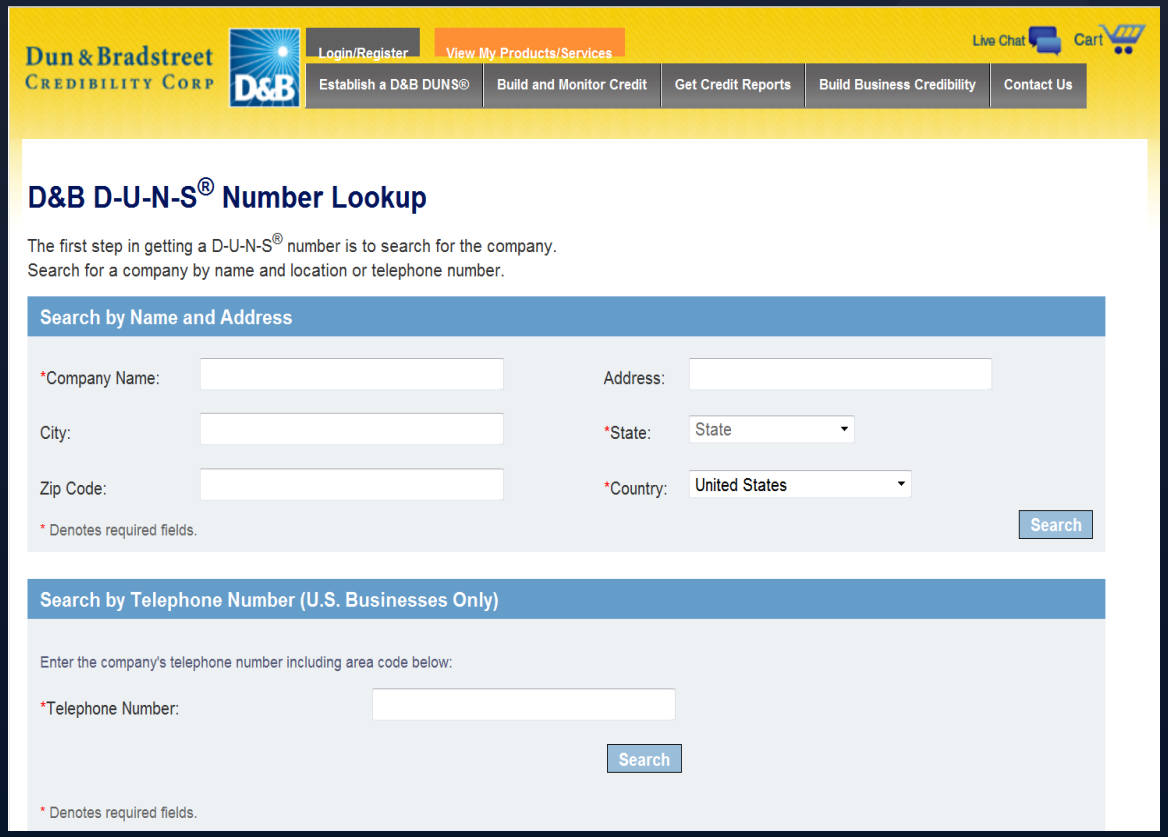
Non-Discrimination Policy

Submit policy with Grant Award Packet

Report occurrences based on:

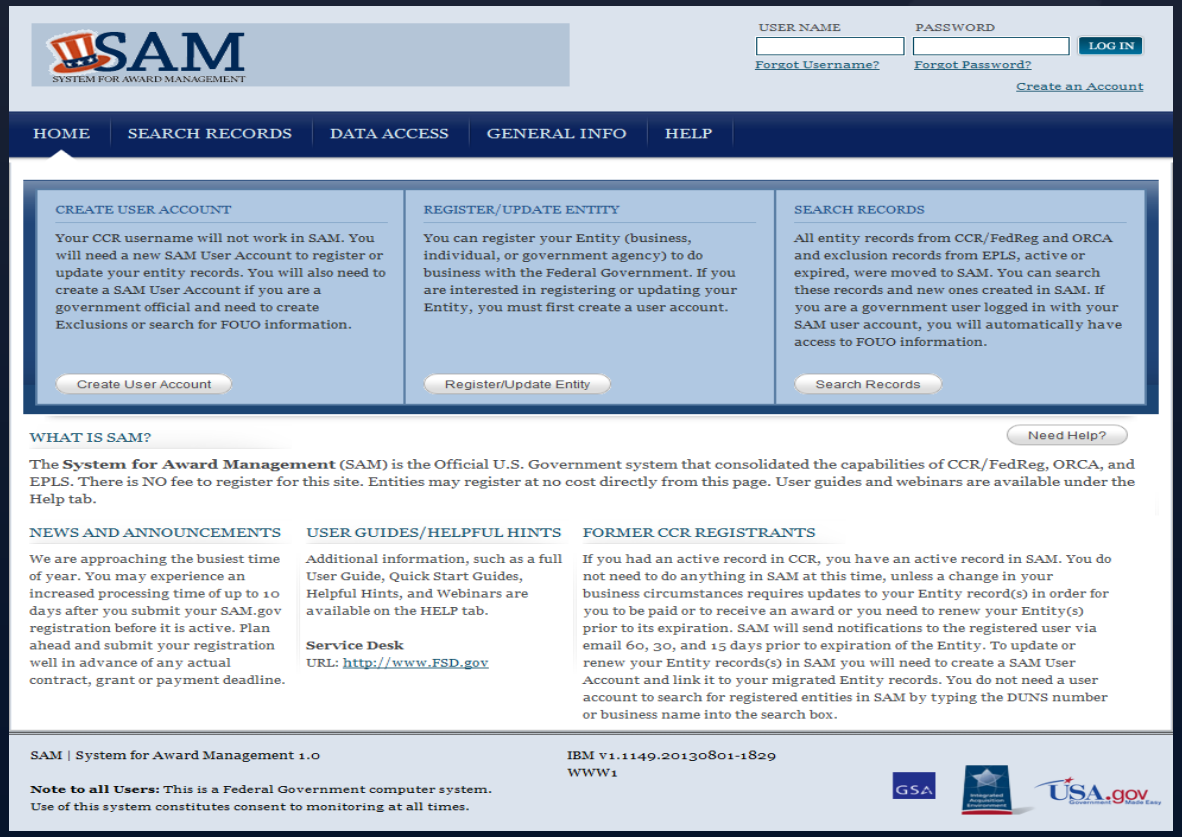
- *Race, Age, Color*
  - *Religion, Gender*
    - *National Origin or Disability*

Dun & Bradstreet Data Universal Numbering System (DUNS)



https://mycredit.dnb.com/search-for-duns-number/

System for Award Management (SAM)



https://www.sam.gov/portal/public/SAM/#1

Policy on Making Awards

Eligible

- Compliance
- Required documents returned
- Funds available to GCC

NOT Eligible

- Audit findings
- SOFL
- Debarred or Suspended
- Documents not returned
- Funds not available to GCC

Financial Management

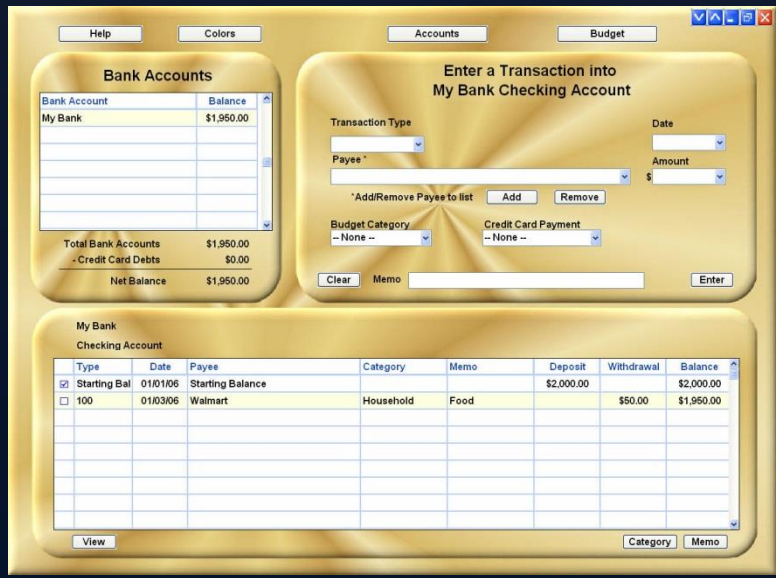
- Accounting Systems and financial records must show:
- Accurate & current reporting
- Internal controls
- Budget controls
- Allowable costs
- Appropriate documentation

applicable to federal and matching funds

Financial Management

- **No Commingling of funds** – keep the money separate

- No Supplanting



Availability of $$$

- **Do not** obligate prior to the project start date
- **Do not** obligate after the project end date
- Funds revert after the 45-day close-out period

$$ can be withheld if:

- Programmatic Reports are delinquent
- Non-compliance **(Special Conditions, SOFL, SAM)**
- Improper Use of funds

On the SOFL??

Step 1: http://www.osbm.state.nc.us/

Step 2: https://www.ncgrants.gov

Step 3: **AFTER** Steps 1 & 2, *then* call GCC

Grant Enterprise Management System

Project Overview

WARNING!

Your organization is on the State Budget and Management Suspension of Funding List (SOFL). Reimbursements will not be paid for any grants in your organization until the SOFL hold is removed. For questions regarding SOFL, please refer to the SOFL help document.

Project Reimbursements Summary

Action	Period Dates	Paid Date	Reimbursement Requested	Match Requested	Reimbursement Approved	Match Approved	Status
Review	06/01/2013 - 06/30/2013		$0.00	$459.72	$0.00	$0.00	Submitted
Review	11/22/2012 - 01/14/2013	02/04/2013	$4,458.01	$1,042.43	$4,458.01	$1,042.43	Paid
Review	11/01/2011 - 11/30/2011	03/07/2012	$550.00	$0.00	$550.00	$0.00	Paid
Review	07/01/2011 - 02/24/2012	03/14/2012	$6,730.50	$3,728.79	$6,730.50	$3,728.79	Paid
Review	11/24/2012 - 02/20/2013	04/08/2013	$3,086.23	$753.30	$3,086.23	$753.30	Paid
Review	01/01/2012 - 03/28/2012	04/25/2012	$7,854.04	$584.42	$7,854.04	$584.42	Paid
Review	02/21/2013 - 04/30/2013	07/03/2013	$24,691.80	$5,578.10	$24,691.80	$5,578.10	Paid
Review	07/02/2011 - 06/18/2012	07/11/2012	$16,314.39	$4,535.98	$16,314.39	$4,535.98	Paid
Review	06/01/2012 - 06/30/2012	08/15/2012	$2,734.97	$1,663.78	$2,560.87	$1,402.08	Paid
Review	07/01/2012 - 08/26/2012	09/24/2012	$4,957.04	$3,196.39	$4,957.04	$3,196.39	Paid

Office of State Budget and Management

Balancing Needs - Improving Government

SEARCH

HOME | BUDGET | MANAGEMENT | FACTS AND FIGURES | ECONOMIC ANALYSIS | OSBM LIBRARY | ABOUT OSBM

Citizen Resources

- Budget Information
- Socioeconomic Data
- NCGrants
- NCOpenBook
- Population Estimates and Projections

State Agency Resources

- Budget Publications
- Memorandums
- Forms
- NC IBIS - Integrated Budget Information System
- Budget Systems
- Services for State Agencies
- Regulatory Analysis
- Program Budgeting
- Internal Audits
- Data Websites by Topic
- Other Agency Resources
- Strategic Planning
- Staff Directory

Latest News

Tuesday, April 22, 2014

2013-15 Certified State Budget documents are now available here (in PDF).

Recent Releases

- April 2014, Week 4 Suspension of Funding memo (04/21/2014) and Excel spreadsheet
- 2013-14 Budget Management Initiatives memo (03/27/2014)
- Annual Fee Collections for FY 2012-13 Report memo (02/05/2014) and Contact List
- Capital Budget Preparation Instructions for FY 2014-15 memo (02/04/14) and NGF Capital Budget Request Form
- Instructions for FY 2014-15 Budget Preparation memo (12/12/13)

Events and Training

Online IBIS Training Materials

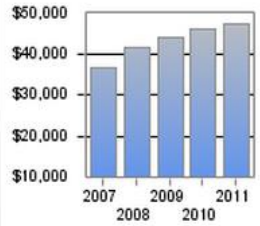
User guides and online tutorials are available here.

Internal Audit Trainings

Internal Audit trainings available. See full postings under Professional Development.

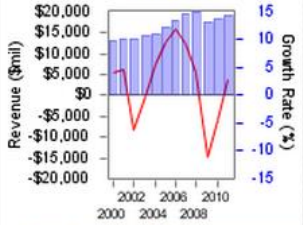
Data Highlights

Total NC Budget ($mil)



Click on chart for larger version and additional indicators

General Fund Revenue



Click on chart for larger version and additional indicators

Featured Documents

- Budget Manual Updated January 2014
- 2013-15 Governor's Budget Summary
- 2013-15 Budget Support Documents
- Fee Report for FY 2011-12
- Budget Instructions for 2013-15 biennium
- Disaster Recovery Guide
- LINC
- Census
- State Demography
- State Data Center
- Statewide Information Technology
- News
- Events

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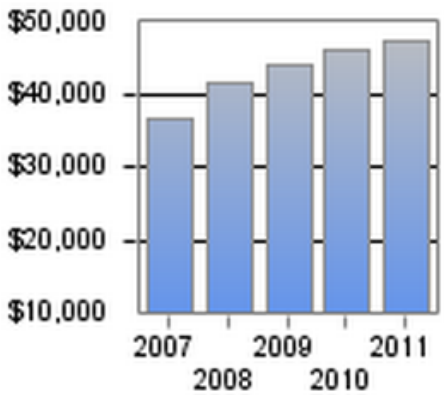


Grants

- Help

NCRECOVERY.GOV

NC OPENBOOK

NC GRANTS

NCGrants.gov is the state's one stop resource on grants - providing online reporting access for grant recipients, and grant information and resources for the general public, grant seekers, grant recipients and state agencies.

Online Reporting for Grantees

A primary function of NCGrants.gov is to help State granting agencies and grant recipients manage all grant funds in accordance with GS 143C-6. These statutes cover the disbursement and use of State funds to non-State entities, including federal funds that flow through the State. Through NCGrants.gov, grantees file required reports online and state agencies monitor and review grantees for compliance with state requirements.

Login to NCGrants.gov or go to the Help page for further information and assistance.

Grant Opportunities

To search for information on grant opportunities, visit the Community Resource Information System (CRIS), a resource for local governments, small businesses, nonprofit organizations, state agencies, legislators, and citizens to quickly locate sources for government grants and other types of assistance.

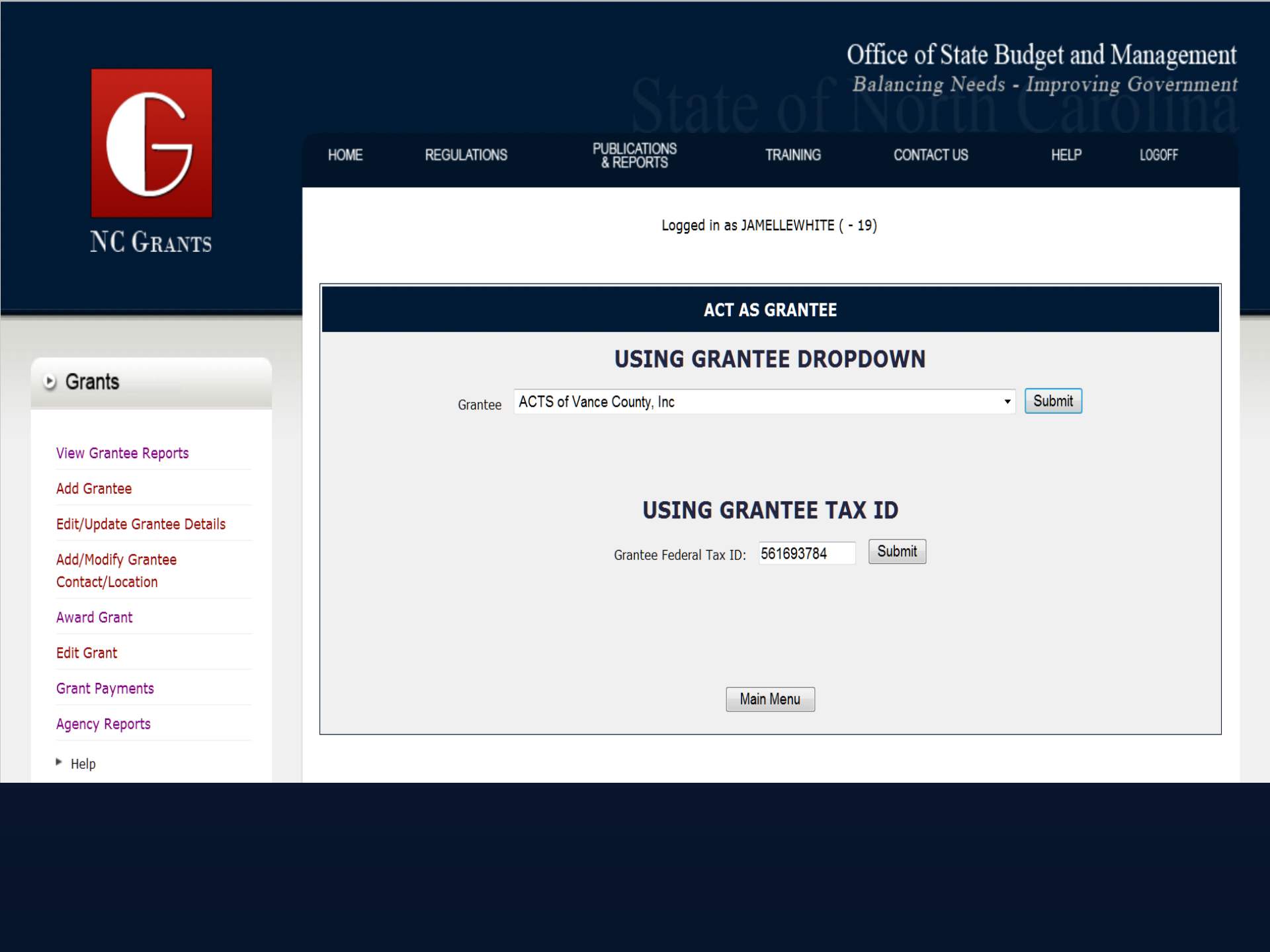
To find funding opportunities available through the American Recovery and Reinvestment Act, please visit NC Recovery.

Public Information

NCGrants.gov is designed to facilitate compliance with Governor Perdue's Executive Order No. 4, which created NC OpenBook, a single, searchable website on State spending for grants and contracts. Grant information tracked and reported through NCGrants.gov is made available to the public through NC OpenBook.

copyright State of North Carolina

NC Office of State Budget and Management
Office of the Governor
NCGrants@osbm.nc.gov
(919) 807-4795


NC GRANTS
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Balancing Needs - Improving Government
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Logged in as JAMELLEWHITE (- 19)
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View Grantee Reports
Add Grantee
Edit/Update Grantee Details
Add/Modify Grantee Contact/Location
Award Grant
Edit Grant
Grant Payments
Agency Reports
Help
ACT AS GRANTEE
USING GRANTEE DROPDOWN
Grantee
ACTS of Vance County, Inc
Submit
USING GRANTEE TAX ID
Grantee Federal Tax ID:
561693784
Submit
Main Menu

IMPORTANT: the oldest "Not Submitted" reports should always be submitted first.

- No Disbursements - Not Submitted - Submitted/Work In Progress - Rejected - Approved

Reports for your current fiscal year will not generate until your fiscal year ends. Please log back in once your fiscal year ends to complete any new reports.

2012 - Level 1

Agency	Grant	State Grants Compliance Reporting: < $25,000	Certification Form
Public Safety	Victims of Crime Act 2010-27844	Not Submitted	Not Submitted

2011 - Level 1

Agency	Grant	State Grants Compliance Reporting: < $25,000	Certification Form
Public Safety	Victims of Crime Act 2010-27844	Approved	Approved

2010 - Level 2

Agency	Grant	State Grants Compliance Reporting: >= $25,000	Program Activities and Accomplishments Report	Schedule of Receipts and Expenditures	Certification Form
Public Safety	Victims of Crime Act 2010-27844	Approved	Approved	Approved	Approved

2009 - Level 1

Agency	Grant	State Grants Compliance Reporting: < $25,000	Certification Form
Public Safety	Victims of Crime Act 2010-27844	Approved	Approved

NC Office of State Budget and Management
Office of the Governor
NCGrants@osbm.nc.gov
(919) 807-4795

Jamelle White, Accountant
NC Department of Public Safety
Controller's Office
2020 Yonkers Road
MSC #4220
Raleigh, North Carolina 27699-4220
919-324-1094

General Information

Match

- **Types**: Cash, In-Kind: donations
- Documentation showing value required
- Must be allowable
- Cannot be Federal $$
- Relevant & pro-rated
- Reported with-in the grant period

Proving Match Value

- Provide copies of original receipts
- Use IRS website to determine the **Fair Market Value** for donated items

Overmatch =

Program Income

- Report registration fees from grant-funded trainings and conferences
- Subject to same regulations

Prior Approval

- Consultant Expenses
- Out-of-State Travel
- All Conferences
  - *Conference/training literature*
  - *Venue*
  - *Host entity*
  - *Cost*
  - Purpose/Scope
- *Registration information*
- *Lodging information*
- *Mode of Transportation*

Consultant/Contractual Rates

- $81.25 per hour
- $650 per day

Copyright

GCC **has the right to**:

- Reproduce, publish and use documents printed using grant funds

Printed documents must:

- Acknowledge OJP and GCC on printed documents
- Include Federal Award No.

Costs must be:

Allowable

Reasonable

Allocable

Necessary

Allowable Costs

Food

- CACs
- DV & SA Residential Shelters
- After School Programs
- Culinary Projects

All other food is unallowable per OJP

Unallowable Costs

Food and Beverages

No grant related $$$ can be used to purchase food for:

staff meetings, receptions, volunteer meetings, conferences or trainings

Fundraising

Land purchases, building purchases (mortgage payments)

Sales Tax (state & local)

Fines, Penalties, Late Fees

Stipends, Incentives, Honorariums, Bonuses

Gifts, Gift Cards, Gas Cards

Common Area Maintenance Fees

Sporting, Entertainment/Amusement Parks

Passports, Tips, Alcoholic Beverages,

Costs incurred outside the grant period

Call if you are unsure BEFORE the cost is incurred.

Retention & Access

- FIVE YEARS
- Open longer if being audited
- Maintain each award individually
- Protect records from water & fire damage

Sanctions: Non-Compliance

- Temporarily withhold reimbursements
- Disallow all/part of the cost
- Wholly/partly suspend/terminate current award
- Withhold further awards
- Legal remedies

Termination

- Written notice from GCC ED
- Reason for termination
- Reasonable time to stop project
- Seek support from other sources
- Programmatic reports still required

Closeout

- 45-days after grant end date
- Do not incur costs after end date
- No final payment without **ALL** program reports

Refunds to GCC

Brief memo including:

- PROJ_____
- Name of Project & Project Director
- Reason for refund
- List relative budget line items
- Check made payable to: NC DPS
- Mail check to: GCC

Audit Requirements

- Single Audit threshold **increased to $750k**
- Send Single Audit reports to the NC State Auditor's office **AND**:

Jamelle White
Department of Public Safety
Controller's Office
4220 MSC
Raleigh, NC, 27699-4220

Audit Requests

Send request to your GCC Account Manager

Include:

- PROJ00_ _ _ _ & Project Name
- E-mail address for GCC staff to send information

GRANT AWARD

Project Name:	TEST TEST TEST TEST
Implementing Agency:	State Capitol Police Division - DPS
Project Director:	Meghan Test sgth sth wath
Project Number:	PROJ007960
Account Manager:	Ranjith Balmoori

http://www.ncgccd.org

Questions
???