

# 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](http://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



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  
**Authorizing Official:** Meghan Test  
 sgth sth wath  
**Address:** 4701 Mail Service Center  
 Raleigh, North Carolina 27699-4701  
**Vendor Number:** 300712287

**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

**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
<b>Grant with Reserve Budget Total</b>						<b>\$19,673.00</b>

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.

# Grant Award



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](http://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](mailto:oig_hotline@usdoj.gov)

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

Authorizing Official: Jack Barto

Project Director: Christy Spivey

# Special Conditions



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

Applicants should refer to the regulations cited below to do attest. Applicants should also review the instructions for o form. Signature of this form provides for compliance with t Restrictions on Lobbying" and 28 CFR Part 87, "Governme Government-wide Requirements for Drug-Free Workplace representation of fact upon which reliance will be placed v 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 89, for persons entering into a grant or cooperative agreement over \$100,000, as defined at 28 CFR Part 89, 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 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 28 CFR Part 87, for prospective participants in primary covered transactions, as defined at 28 CFR Part 87, Section 87.510—

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

(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 conviction. 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)

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

Check  if there are workplace here.

Section 87, 830 of the regulation is a State may elect to make one fiscal year. A copy of which should be submitted to Department of Justice agencies may elect to use OJP I  
Check  if the State has elected 40617.

**DRUG-FREE WORKPLACE (GRANTEES WHO ARE INDIVIDUALS)**

As required by the Drug-Free Workplace Act of 1986, implemented at 28 CFR Part 87, Section 87.510, the applicant certifies that:

A. As a condition of the grant, I, in the unlawful manufacture, distribution, or use of a controlled substance activity with the grant; and  
B. If convicted of a criminal drug violation occurring during the term of the grant, in writing of the conviction, to: Department Programs, ATTN: Control Desk, Washington, DC 20531.

**DISCLOSURE OF LOBBYING ACTIVITIES**

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352

Approved by OMB  
0348-0048

<p><b>1. Type of Federal Action:</b>  <input type="checkbox"/> a. contract  <input type="checkbox"/> b. grant  <input type="checkbox"/> c. cooperative agreement  <input type="checkbox"/> d. loan  <input type="checkbox"/> e. loan guarantee  <input type="checkbox"/> f. loan insurance</p>		<p><b>2. Status of Federal Action:</b>  <input type="checkbox"/> a. bid/offer/application  <input type="checkbox"/> b. initial award  <input type="checkbox"/> c. post-award</p>		<p><b>3. Report Type:</b>  <input type="checkbox"/> a. initial filing  <input type="checkbox"/> b. material change  <b>For Material Change Only:</b>          year _____ quarter _____          date of last report _____</p>	
<p><b>4. Name and Address of Reporting Entity:</b>  <input type="checkbox"/> Prime <input type="checkbox"/> Subawardee          Tier _____, if known:          Congressional District, if known:</p>			<p><b>5. If Reporting Entity in No. 4 is a Subawardee, Enter Name and Address of Prime:</b>          Congressional District, if known:</p>		
<p><b>6. Federal Department/Agency:</b></p>			<p><b>7. Federal Program Name/Description:</b>          CFDA Number, if applicable: _____</p>		
<p><b>8. Federal Action Number, if known:</b></p>			<p><b>9. Award Amount, if known:</b>          \$ _____</p>		
<p><b>10. a. Name and Address of Lobbying Entity (if individual, last name, first name, MI):</b></p>			<p><b>b. Individuals Performing Services (including address if different from No. 10a) (last name, first name, MI):</b></p>		
(attach Continuation Sheet(s) SF-LLA, if necessary)					
<p><b>11. Amount of Payment (check all that apply):</b>          \$ _____ <input type="checkbox"/> actual <input type="checkbox"/> planned</p>			<p><b>13. Type of Payment (check all that apply):</b>  <input type="checkbox"/> a. retainer  <input type="checkbox"/> b. one-time fee  <input type="checkbox"/> c. commission  <input type="checkbox"/> d. contingent fee  <input type="checkbox"/> e. deferred  <input type="checkbox"/> f. other: specify: _____</p>		
<p><b>12. Form of Payment (check all that apply):</b>  <input type="checkbox"/> a. cash  <input type="checkbox"/> b. in-kind; specify: nature _____ value _____</p>					
<p><b>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:</b></p>					
(attach Continuation Sheet(s) SF-LLA, if necessary)					
<p><b>15. Continuation Sheet(s) SF-LLA attached:</b> <input type="checkbox"/> Yes <input type="checkbox"/> No</p>					
<p><b>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.</b></p>			<p>Signature: _____          Print Name: _____          Title: _____          Telephone No.: _____ Date: _____</p>		
<p><b>Federal Use Only:</b></p>			<p>Authorized for Local Reproduction Standard Form LLL (Rev. 7-97)</p>		

# 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

\_\_\_\_\_  
(Notary Signature and Seal)

My Commission Expires: \_\_\_\_\_

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 Carolina Office of State Budget and Management at, [NCGrants@osbm.nc.gov](mailto:NCGrants@osbm.nc.gov) – (919) 798-0486.

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



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

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.

**Conflict of Interest Defined:**

A conflict of interest is defined as a member/Board member) in an act 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 super 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 men where one or the other has receives services.
- > Consultative or consumer r Directors/Trustees or an en over the other or with a die

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 tl special interest group.

The appearance of a conflict of inte and jeopardize the credibility of the of interest, or the appearance of a immediately.

# 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 nongovernment organization that of the individual organ group's specific nar

WHISTLEBLOWER POLICY  
EXAMPLE

**General:**

The Organization's Code of Eth 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 v

**No Retaliation:**

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

**Reporting Violations:**

The Code addresses the Orga their questions, concerns, sugg properly. In most cases, an er 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 r satisfied or uncomfortable with contact the Organization's Corr

**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.

**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

**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 Indian tribe.
- Recipient is a nonprofit organization.     Recipient is an eligible small business.

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

I, \_\_\_\_\_, certify that \_\_\_\_\_ is not required to prepare an EEOP for the reason(s) checked below. I further certify that \_\_\_\_\_ will comply with applicable federal civil rights laws that apply to the services.

The federal regulations implementing the Omnibus Crime Control and Safe Streets Act of 1968, as amended, require some recipients of financial assistance from the U.S. Department of Justice to create, keep on file, submit to the Office of Justice Programs (OJP) for review, and implement an Equal Employment Opportunity Plan (EEO Plan). All awards from the Office of Community Oriented Policing Services (COPS), many awards from OJP, including awards from the Bureau of Justice Assistance (BJA), the Office of Justice Delinquency Prevention (OJJDP), and the Office for Victims of Crime (OVC), are subject to these requirements. If you have any questions as to whether your award from the U.S. Department of Justice requires an EEOP, please consult your grant award document, your program manager, or the Office of Justice Programs, U.S. Department of Justice, 810 7th Street, N.W., Washington, D.C. 20531.

Print or Type Name and Title

Signature

**Section B—Declaration Claiming Exemption from the EEOP That an EEOP Is on File for Review**

If a recipient agency has fifty or more employees and is receiving a significant award from the U.S. Department of Justice, the recipient agency does not have to submit an EEOP to the OCR for review if it meets any of the following criteria:

I, \_\_\_\_\_, certify that \_\_\_\_\_, which has fifty or more employees and is receiving a significant award from the U.S. Department of Justice of \$500,000, has formulated an EEOP in accordance with 28 CFR pt. 42, subpt. E, and sent it for review to the Office for Civil Rights, Office of Justice Programs, U.S. Department of Justice, 810 7th Street, N.W., Washington, D.C. 20531.

Recipients should complete either Section A or Section B or Section C, not all three.

**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: (1) it is a unit of state or local government, an agency of state or local government, a medical institution, or an Indian tribe; or (2) it received an award of \$25,000 or more, but less than \$50,000, from the submission requirement by completing Section B. To claim the complete exemption from the EEOP requirements, recipients should complete either Section A or Section B or Section C, not all three.

**Section B**

Although the regulations require some recipients to create, maintain on file, submit to the Office of Justice Programs (OJP) for review, and implement an EEOP, some recipients are allowed to forego submitting the EEOP to the OCR for review if they meet any of the following criteria: (1) they are a unit of state or local government, an agency of state or local government, a medical institution, or an Indian tribe; and (2) they have received a single grant award of \$25,000 or more, but less than \$50,000, from the submission requirement by completing Section B. In completing Section B, recipients should complete either Section A or Section B or Section C, not all three.

**Section C**

Recipients that (1) are a unit of state or local government, an agency of state or local government, a medical institution, or an Indian tribe; and (2) have fifty or more employees, and (3) have received a single grant award of \$25,000 or more, but less than \$50,000, from the submission requirement by completing Section B, should complete either Section A or Section B or Section C, not all three.

**Submission Process**

If a recipient receives multiple awards subject to the Safe Streets Act, the recipient should complete and submit an EEOP for each grant. Recipients should download the online Certification Form from [www.usdoj.gov/eeopforms](http://www.usdoj.gov/eeopforms), electronically scan the signed document, and then send the signed document to [EEOPForms@usdoj.gov](mailto:EEOPForms@usdoj.gov). The document must have the following title: *EEOP Certification Form for [Agency Name]*. If you are completing or submitting the Certification Form, please contact the Office of Justice Programs, U.S. Department of Justice, 810 7th Street, NW, Washington, DC 20531 (Telephone: (202) 307-0690 or (202) 307-0690).

Print or Type Name and Title

Signature

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

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**EEO****Certification****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)

**Dun & Bradstreet**  
CREDIBILITY CORP

**D&B**

Login/Register View My Products/Services

Establish a D&B DUNS® Build and Monitor Credit Get Credit Reports Build Business Credibility Contact Us

Live Chat Cart

## D&B D-U-N-S® Number Lookup

The first step in getting a D-U-N-S® number is to search for the company.  
Search for a company by name and location or telephone number.

### Search by Name and Address

\*Company Name:  Address:

City:  \*State:

Zip Code:  \*Country:

\* Denotes required fields.

### Search by Telephone Number (U.S. Businesses Only)

Enter the company's telephone number including area code below:

\*Telephone Number:

\* Denotes required fields.

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

# System for Award Management (SAM)

The screenshot shows the SAM website homepage. At the top left is the SAM logo with the text 'SYSTEM FOR AWARD MANAGEMENT'. To the right are login fields for 'USER NAME' and 'PASSWORD', a 'LOG IN' button, and links for 'Forgot Username?' and 'Forgot Password?'. Below the login fields is a 'Create an Account' link. A dark blue navigation bar contains links for 'HOME', 'SEARCH RECORDS', 'DATA ACCESS', 'GENERAL INFO', and 'HELP'. The main content area is divided into three columns: 'CREATE USER ACCOUNT', 'REGISTER/UPDATE ENTITY', and 'SEARCH RECORDS'. Each column contains descriptive text and a corresponding button. Below this is a 'WHAT IS SAM?' section with a 'Need Help?' button. Further down are three sections: 'NEWS AND ANNOUNCEMENTS', 'USER GUIDES/HELPFUL HINTS', and 'FORMER CCR REGISTRANTS'. The footer contains version information, a disclaimer, and logos for GSA, the Department of Defense, and USA.gov.

**SAM**  
SYSTEM FOR AWARD MANAGEMENT

USER NAME:  PASSWORD:  **LOG IN**  
[Forgot Username?](#) [Forgot Password?](#)  
[Create an Account](#)

**HOME** | **SEARCH RECORDS** | **DATA ACCESS** | **GENERAL INFO** | **HELP**

<p><b>CREATE USER ACCOUNT</b></p> <p>Your CCR username will not work in SAM. You will need a new SAM User Account to register or update your entity records. You will also need to create a SAM User Account if you are a government official and need to create Exclusions or search for FOUO information.</p> <p><a href="#">Create User Account</a></p>	<p><b>REGISTER/UPDATE ENTITY</b></p> <p>You can register your Entity (business, individual, or government agency) to do business with the Federal Government. If you are interested in registering or updating your Entity, you must first create a user account.</p> <p><a href="#">Register/Update Entity</a></p>	<p><b>SEARCH RECORDS</b></p> <p>All entity records from CCR/FedReg and ORCA and exclusion records from EPLS, active or expired, were moved to SAM. You can search these records and new ones created in SAM. If you are a government user logged in with your SAM user account, you will automatically have access to FOUO information.</p> <p><a href="#">Search Records</a></p>
--	---	---

**WHAT IS SAM?** [Need Help?](#)

The **System for Award Management (SAM)** is the Official U.S. Government system that consolidated the capabilities of CCR/FedReg, ORCA, and EPLS. There is **NO** fee to register for this site. Entities may register at no cost directly from this page. User guides and webinars are available under the Help tab.

<p><b>NEWS AND ANNOUNCEMENTS</b></p> <p>We are approaching the busiest time of year. You may experience an increased processing time of up to 10 days after you submit your SAM.gov registration before it is active. Plan ahead and submit your registration well in advance of any actual contract, grant or payment deadline.</p>	<p><b>USER GUIDES/HELPFUL HINTS</b></p> <p>Additional information, such as a full User Guide, Quick Start Guides, Helpful Hints, and Webinars are available on the HELP tab.</p> <p><b>Service Desk</b> URL: <a href="http://www.FSD.gov">http://www.FSD.gov</a></p>	<p><b>FORMER CCR REGISTRANTS</b></p> <p>If you had an active record in CCR, you have an active record in SAM. You do not need to do anything in SAM at this time, unless a change in your business circumstances requires updates to your Entity record(s) in order for you to be paid or to receive an award or you need to renew your Entity(s) prior to its expiration. SAM will send notifications to the registered user via email 60, 30, and 15 days prior to expiration of the Entity. To update or renew your Entity records(s) in SAM you will need to create a SAM User Account and link it to your migrated Entity records. You do not need a user account to search for registered entities in SAM by typing the DUNS number or business name into the search box.</p>
--	--	---

SAM | System for Award Management 1.0  
IBM v1.1149.20130801-1829  
WWW1

**Note to all Users:** This is a Federal Government computer system. Use of this system constitutes consent to monitoring at all times.

GSA | Department of Defense | USA.gov

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

# Policy on Making Awards

## Eligible

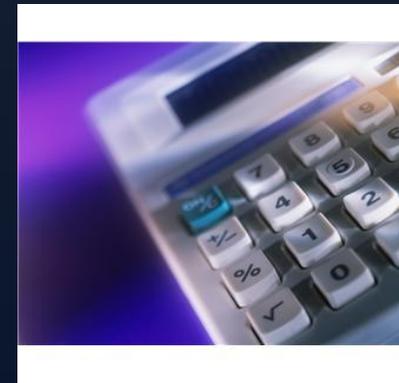
- Compliance
- Required documents returned
- Funds available to GCC

## 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

The screenshot displays a financial management application window with a gold-themed background. It features several panels:

- Bank Accounts:** A table showing the balance for 'My Bank' as \$1,950.00. Summary statistics include Total Bank Accounts (\$1,950.00), Credit Card Debts (\$0.00), and Net Balance (\$1,950.00).
- Enter a Transaction into My Bank Checking Account:** A form with fields for Transaction Type, Date, Payee, Amount, Budget Category, and Credit Card Payment. It includes 'Add' and 'Remove' buttons for the payee list.
- My Bank Checking Account:** A detailed transaction table.

Type	Date	Payee	Category	Memo	Deposit	Withdrawal	Balance
<input checked="" type="checkbox"/>	01/01/06	Starting Balance			\$2,000.00		\$2,000.00
<input type="checkbox"/>	01/03/06	Walmart	Household	Food		\$50.00	\$1,950.00

# 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 ▾
<a href="#">Review</a>	06/01/2013 - 06/30/2013		\$0.00	\$459.72	\$0.00	\$0.00	Submitted
<a href="#">Review</a>	11/22/2012 - 01/14/2013	02/04/2013	\$4,458.01	\$1,042.43	\$4,458.01	\$1,042.43	Paid
<a href="#">Review</a>	11/01/2011 - 11/30/2011	03/07/2012	\$550.00	\$0.00	\$550.00	\$0.00	Paid
<a href="#">Review</a>	07/01/2011 - 02/24/2012	03/14/2012	\$6,730.50	\$3,728.79	\$6,730.50	\$3,728.79	Paid
<a href="#">Review</a>	11/24/2012 - 02/20/2013	04/08/2013	\$3,086.23	\$753.30	\$3,086.23	\$753.30	Paid
<a href="#">Review</a>	01/01/2012 - 03/28/2012	04/25/2012	\$7,854.04	\$584.42	\$7,854.04	\$584.42	Paid
<a href="#">Review</a>	02/21/2013 - 04/30/2013	07/03/2013	\$24,691.80	\$5,578.10	\$24,691.80	\$5,578.10	Paid
<a href="#">Review</a>	07/02/2011 - 06/18/2012	07/11/2012	\$16,314.39	\$4,535.98	\$16,314.39	\$4,535.98	Paid
<a href="#">Review</a>	06/01/2012 - 06/30/2012	08/15/2012	\$2,734.97	\$1,663.78	\$2,560.87	\$1,402.08	Paid
<a href="#">Review</a>	07/01/2012 - 08/26/2012	09/24/2012	\$4,957.04	\$3,196.39	\$4,957.04	\$3,196.39	Paid



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).

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

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)

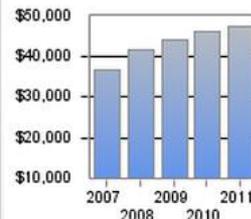
Events and Training

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.

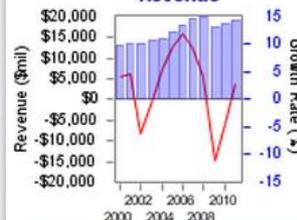
Data Highlights

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



Tuesday, April 22, 2014



## Latest News

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### Events and Training

#### Online IBIS Training Materials

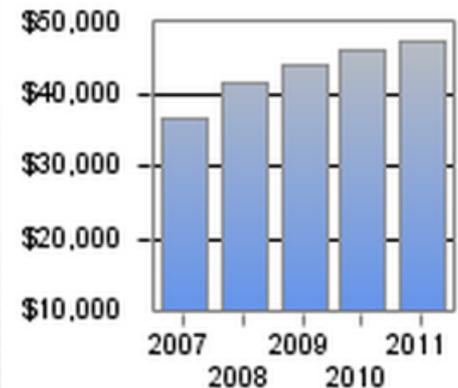
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### Data Highlights

#### Total NC Budget (\$mil)





NC GRANTS

HOME

REGULATIONS

PUBLICATIONS  
& REPORTS

TRAINING

CONTACT US

HELP

LOGIN



**NCGrants.gov**

North Carolina's Online Grant Reporting & Information Resource

#### 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.

Grants

Help

NCRECOVERY.GOV

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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Logged in as JAMELLEWHITE ( - 19)

### ACT AS GRANTEE

#### USING GRANTEE DROPDOWN

Grantee

#### USING GRANTEE TAX ID

Grantee Federal Tax ID:

#### ▸ Grants

[View Grantee Reports](#)

[Add Grantee](#)

[Edit/Update Grantee Details](#)

[Add/Modify Grantee](#)

[Contact/Location](#)

[Award Grant](#)

[Edit Grant](#)

[Grant Payments](#)

[Agency Reports](#)

▸ [Help](#)

**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

???