

Award Attachment 01 –

Equal Employment Opportunity Plan  
Certification

## **FY2020 Governor's Crime Commission Grant Award Supplemental Form: Award Attachment 01 – Equal Employment Opportunity Plan Certification**

An Equal Employment Opportunities Plan (EEO) is a workforce report that some organizations must complete as a condition for receiving Justice Department funding authorized by the Omnibus Crime Control and Safe Streets Act of 1968. The EEO's purpose is to ensure that subrecipients of financial assistance from the Justice Department are providing equal employment opportunities to men and women regardless of sex, race or national origin. Federal regulations establishing the EEO requirement also link a diverse workforce to effective law enforcement:

The experience of the [Justice Department] in implementing its responsibilities under the Omnibus Crime Control and Safe Streets Act of 1968, as amended, . . . has demonstrated that the full and equal participation of women and minority individuals in employment opportunities in the criminal justice system is a necessary component to the Safe Streets Act's program to reduce crime and delinquency in the United States. 28 C.F.R. § 42.301.

Justice Department regulations pertaining to the development of a comprehensive EEO can be found at [28 C.F.R. § 42.301-308](#).

The US Department of Justice Office of Civil Rights (OCR) developed the EEO Utilization Report to help recipients comply with the EEO regulations. Instead of requiring subrecipients to report all of the employment data that federal regulations require them to keep (see [28 C.F.R. § 42.301-308](#)), OCR uses the Report to prompt subrecipients to collect and analyze key employment data, organized by race, national origin and sex. OCR also uses the Report as an initial screening tool. If OCR's review of an agency's Report indicates that a more thorough examination of employment practices may be appropriate, it may request that the subrecipient provide additional employment data.

Subrecipients subject to the authority of the Safe Streets Act (as well as subrecipients of VOCA, VAWA and OJJDP funds) must develop an EEO if they meet **ALL** of the following criteria:

- The subrecipient is a state or local government agency or a business; AND
- The subrecipient has 50 or more employees; AND
- The subrecipient has received a single award of \$25,000 or more.

Subrecipients subject to the Safe Streets Act (as well as subrecipients receiving VOCA, VAWA and OJJDP funds) are exempt from the EEO requirement, if the subrecipient:

- is a nonprofit organization, a medical or educational institution or an Indian Tribe; OR
- has less than 50 employees; OR,
- received a single award for less than \$25,000.

Subrecipients that are exempt from the EEOP requirement must still claim the exemption from the EEOP requirement. To claim the exemption or to complete your organization's EEOP utilization report, your organization should log into the online Equal Employment Opportunity (EEO) Reporting System. This system will allow you to create your organization's account, then prepare and submit an EEO Certification Form and if required, create and submit an EEO Utilization Report. You will also be able to access your organization's saved information in subsequent logins.

To claim the exemption from developing an EEOP, the subrecipient must complete Section A of the [Certification Form](#) and submit it online. Subrecipient organizations who claim the exemption will receive a "Thank You" acknowledgement from OCR once they have submitted their exemption request (Section A). Subrecipients who must submit additional EEOP information will receive a "congratulations" acknowledgement once they submit the required information.

If a subrecipient does not wish to use the tool, they should fill out the form and submit it to [EEOPForms@usdoj.gov](mailto:EEOPForms@usdoj.gov). Note, however, that the criteria provided for Section B are no longer correct, and that all recipients of awards of \$25,000 or more are required to prepare and submit an EEOP.

**All subrecipients should save a screenshot/copy of their EEOP submission acknowledgement or a copy of the email sent to USDOJ at the address above. The Project Director or Authorizing Official should sign and date the screenshot or email copy. This document should be uploaded for Attachment 1.**

## Relevant Links

- EEOP Reporting Tool/EEO Reporting System Log-in
  - [www.ojp.gov/about/ocr/eeop](http://www.ojp.gov/about/ocr/eeop)
- EEOP Reporting Tool Job Aid (Instructions on how to complete the online EEO reports or claim exemption)
  - <https://www.ojp.gov/sites/g/files/xyckuh241/files/media/document/EEOReportToolJobAid.pdf>
- EEOP Frequently Asked Questions
  - <https://www.ojp.gov/program/civil-rights/equal-employment-opportunity-program-eeop-faqs>

Award Attachment 02 –  
Certification Regarding Lobbying, Debarment, and  
Suspension



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

Applicants should refer to the regulations cited below to determine the certification to which they are required to attest. Applicants should also review the instructions for certification included in the regulations before completing this form. Signature of this form provides for compliance with certification requirements under 28 CFR Part 69, "New Restrictions on Lobbying" and 28 CFR Part 67, "Government-wide Debarment and Suspension (Nonprocurement) and Government-wide Requirements for Drug-Free Workplace (Grants)." The certifications shall be treated as a material representation of fact upon which reliance will be placed when the Department of Justice determines to award the covered 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

public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and

(d) Have not within a three-year period preceding this application had one or more public transactions (Federal, State, or local) terminated for cause or default; and

B. Where the applicant is unable to certify to any of the statements in this certification, he or she shall attach an explanation to this application.

### 3. DRUG-FREE WORKPLACE (GRANTEES OTHER THAN INDIVIDUALS)

As required by the Drug-Free Workplace Act of 1988, and implemented at 28 CFR Part 67, Subpart F, for grantees, as defined at 28 CFR Part 67 Sections 67.615 and 67.620—

A. The applicant certifies that it will or will continue to provide a drug-free workplace by:

(a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(b) Establishing an on-going drug-free awareness program to inform employees about—

(1) The dangers of drug abuse in the workplace;

(2) The grantee's policy of maintaining a drug-free workplace;

(3) Any available drug counseling, rehabilitation, and employee assistance programs; and

(4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

(d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will—

(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)

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

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

Section 67, 630 of the regulations provides that a grantee that is a State may elect to make one certification in each Federal fiscal year. A copy of which should be included with each application for Department of Justice funding. States and State agencies may elect to use OJP Form 4061/7.

Check  if the State has elected to complete OJP Form 4061/7.

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

As required by the Drug-Free Workplace Act of 1988, and implemented at 28 CFR Part 67, Subpart F, for grantees, as defined at 28 CFR Part 67; Sections 67.615 and 67.620—

A. As a condition of the grant, I certify that I will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant; and

B. If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, I will report the conviction, in writing, within 10 calendar days of the conviction, to: Department of Justice, Office of Justice Programs, ATTN: Control Desk, 810 Seventh Street NW., Washington, DC 20531.

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

1. Grantee Name and Address:

2. Application Number and/or Project Name

3. Grantee IRS/Vendor Number

4. Typed Name and Title of Authorized Representative

5. Signature

6. Date

\_\_\_\_\_

## DISCLOSURE OF LOBBYING ACTIVITIES

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

Approved by OMB  
0348-0046

|   |   |  |
|---|---|--|
| <b>1. Type of Federal Action:</b><br><input type="checkbox"/> a. contract<br><input type="checkbox"/> b. grant<br><input type="checkbox"/> c. cooperative agreement<br><input type="checkbox"/> d. loan<br><input type="checkbox"/> e. loan guarantee<br><input type="checkbox"/> f. loan insurance   | <b>2. Status of Federal Action:</b><br><input type="checkbox"/> a. bid/offer/application<br><input type="checkbox"/> b. initial award<br><input type="checkbox"/> c. post-award | <b>3. Report Type:</b><br><input type="checkbox"/> a. initial filing<br><input type="checkbox"/> b. material change<br><b>For Material Change Only:</b><br>year _____ quarter _____<br>date of last report _____ |
| <b>4. Name and Address of Reporting Entity:</b><br><input type="checkbox"/> Prime <input type="checkbox"/> Subawardee<br>Tier _____, <i>if known</i> :<br><br><b>Congressional District, if known:</b>  | <b>5. If Reporting Entity in No. 4 is a Subawardee, Enter Name and Address of Prime:</b><br><br><br><b>Congressional District, if known:</b>                                    |  |
| <b>6. Federal Department/Agency:</b>  | <b>7. Federal Program Name/Description:</b><br><br>CFDA Number, <i>if applicable</i> : _____  |  |
| <b>8. Federal Action Number, if known:</b>  | <b>9. Award Amount, if known:</b><br>\$ _____   |  |
| <b>10. a. Name and Address of Lobbying Registrant</b><br><i>(if individual, last name, first name, MI):</i>   | <b>b. Individuals Performing Services</b> <i>(including address if different from No. 10a)</i><br><i>(last name, first name, MI):</i>   |  |
| <b>11.</b> 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: _____<br>Print Name: _____<br>Title: _____<br>Telephone No.: _____ Date: _____   |  |
| <b>Federal Use Only:</b>  |   | Authorized for Local Reproduction<br>Standard Form LLL (Rev. 7-97)   |

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## INSTRUCTIONS FOR COMPLETION OF SF-LLL, DISCLOSURE OF LOBBYING ACTIVITIES

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity 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 a covered Federal action. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
2. Identify the status of the covered Federal action.
3. Identify the appropriate classification of this report. If this is a followup report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, State and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
5. If the organization filing the report in item 4 checks "Subawardee," then enter the full name, address, city, State and zip code of the prime Federal recipient. Include Congressional District, if known.
6. Enter the name of the Federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitation for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application/proposal control number assigned by the Federal agency). Include prefixes, e.g., "RFP-DE-90-001."
9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.
10. (a) Enter the full name, address, city, State and zip code of the lobbying registrant under the Lobbying Disclosure Act of 1995 engaged by the reporting entity identified in item 4 to influence the covered Federal action.  
  
(b) Enter the full names of the individual(s) performing services, and include full address if different from 10 (a). Enter Last Name, First Name, and Middle Initial (MI).
11. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

According to the Paperwork Reduction Act, as amended, no persons are required to respond to a collection of information unless it displays a valid OMB Control Number. The valid OMB control number for this information collection is OMB No. 0348-0046. Public reporting burden for this collection of information is estimated to average 10 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0046), Washington, DC 20503.

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16. If the subrecipient receives funding under VAWA or from OVW, does it serve male victims of domestic violence, dating violence, sexual assault, and stalking?

Yes

No

Comments:

17. If the subrecipient receives funding under VAWA or from OVW, does the subrecipient provide sex- segregated or sex-specific services?

Yes

No

If yes, describe how the services are sex-segregated or sex-specific.

If yes, has the subrecipient determined that providing services that are sex-segregated or sex specific is necessary to the essential operation of the program?

Yes

No

If yes, describe how the subrecipient determined that providing sex-segregated or sex-specific services is necessary to the essential operation of the program.

Award Attachment 03 –  
Single Audit Certification Form



## GCC Subrecipient Single Audit Certification Form

Effective with fiscal years beginning on or after December 26, 2014, the Uniform Guidance requires all recipients of Federal funds to have a Single audit conducted when total Federal award expenditures are \$750,000 or more during a fiscal year. Subpart F—Audit Requirements

This threshold includes Federal award expenditures from all sources, not just from GCC. For this reason, the certification form should be completed by a financial official in your organization who has access to grant records for your entire organization.

Your assistance is needed in completing and returning this form to GCC. Please upload the completed form to: Documents in each project and send the original back with your signed grant award.

\_\_\_\_\_  
Sub-recipient Name

\_\_\_\_\_  
Tax ID Number

**Did your organization expend \$750,000 or more in total Federal awards in fiscal year 2018?**

YES  A Single Audit is required. \_\_\_\_\_  
(Expected completion date)

\*If the answer is YES above, your organization must submit a copy of your Single Audit reporting package to the Federal Audit Clearinghouse (FAC) within the earlier of 30 calendar days after receipt of the auditor's report(s), or nine months after the audit period. In addition, if the audit disclosed audit findings that relate to the award(s) provided by (GCC), your organization must concurrently submit the audit report package to GCC, along with a list of related findings and a corrective action plan to address those findings.

NO  A single audit is not required.

**I certify that, to the best of my knowledge, the above information is correct:**

Name: \_\_\_\_\_ Title: \_\_\_\_\_  
(Financial Officer)

Date: \_\_\_\_\_ E-mail: \_\_\_\_\_

Award Attachment 04 –  
Certification of No Overdue Tax Debts



Grant Certification – No Overdue Tax Debts  
NONGOVERNMENTAL ENTITIES ONLY

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

To: Agency Head and Chief Fiscal Officer

**Certification:**

We certify that \_\_\_\_\_ 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. §143C-10-1.

**Sworn Statement:**

\_\_\_\_\_ and \_\_\_\_\_ being duly sworn, say that we are the Board Chair and Project Director, respectively, of \_\_\_\_\_ of \_\_\_\_\_ in the State of North Carolina; 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, [NCGrants@osbm.nc.gov](mailto:NCGrants@osbm.nc.gov) - (919) 807-4795.

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."

Award Attachment 05 –  
Employment Eligibility Verification Certification



## Employment Eligibility Verification Certification

On behalf of this Subrecipient, and in support of this grant agreement, I hereby certify that, as part of the hiring and contracting processes, the employment eligibility of all individuals that are currently hired and/or contracted (or will be hired) and funded (in whole or in part) with grant funds awarded from the N.C. Governor's Crime Commission, has been verified (or will be verified) consistent with the provisions of 8 U.S.C. §1324a(a)(1) and (2).

I furthermore certify that:

a. All persons, who are or will be involved in activities under this award, have been notified or will be notified of both (1) the requirement for verification of employment eligibility, and (2) the associated provisions in 8 U.S.C. § 1324a(a)(1) and (2) that, generally speaking, make it unlawful, in the United States, to hire (or recruit for employment) certain aliens.

b. As part of the recordkeeping for this award (including pursuant to 2 CFR §200 - Uniform Requirements), records are maintained and will be maintained of all employment eligibility verifications pertinent to compliance with this award condition in accordance with Form I-9 record retention requirements, as well as records of all pertinent notifications and trainings.

c. For purposes of satisfying the requirement of verification of employment eligibility, our agency may also choose to participate in and use, E-Verify ([www.e-verify.gov](http://www.e-verify.gov)). An appropriate person, authorized to act on behalf of our agency, may use E-Verify (and will subsequently follow the proper E-Verify procedures, including those procedures related to a "Tentative Non-confirmation" or a "Final Non-confirmation") to confirm employment eligibility for all individuals that are currently hired and/or contracted (or will be hired and/or contracted) and funded (in whole or in part) with grant award funds.

d. I understand that these records may be monitored by the federal awarding agency and/or GCC at any time and will retain copies of the records in accordance with federal record retention requirements.

\_\_\_\_\_  
Project Name

\_\_\_\_\_  
Project Number

\_\_\_\_\_  
Agency

\_\_\_\_\_  
Authorizing Official Signature

\_\_\_\_\_  
Printed Name

\_\_\_\_\_  
Date

\_\_\_\_\_  
Financial Officer Signature

\_\_\_\_\_  
Printed Name

\_\_\_\_\_  
Date

\_\_\_\_\_  
Project Director Signature

\_\_\_\_\_  
Printed Name

\_\_\_\_\_  
Date

Award Attachment 06 –  
Certification of Advance Determination of Suitability for  
Individuals Interacting with Participating Minors





## Advance Determination of Suitability for Individuals Interacting with Participating Minors

On behalf of the Subrecipient, and in support of this grant agreement, I certify under penalty of perjury to the U.S. Department of Justice ("Department"), that all of the following are true and correct:

I have the authority to make the following representations on behalf of the subrecipient organization.

I certify that this organization will implement processes to make advance determination of suitability for all individuals who may interact with participating minors as part of programs/activities funded (in whole or in part) with funds awarded from the N.C. Governor's Crime Commission (GCC) or included in the GCC approved budget in accordance with the information provided.

1. Advance determination regarding suitability. The recipient (and any subrecipient at any tier) may not permit any covered individual (to include employees, consultants, contractors, employees of a contractor, trainees, volunteers, and/or teachers) to interact with any participating minor in the course of activities under the award, unless the recipient or subrecipient first has made a written determination of the suitability of that individual to interact with participating minors, based on current and appropriate information as described in paragraph 3.E., and taking into account the factors and considerations described in paragraph 4.

### 2. Updates and reexaminations

A. The recipient (or subrecipient) must, at least every five years, update the searches described reexamine the covered individual's suitability determination in light of those search results, and, if appropriate, modify or withdraw that determination.

B. The recipient also must reexamine a covered individual's suitability determination upon learning of information that reasonably may suggest unsuitability and, if appropriate, modify or withdraw that determination.

### 3.. "Current and appropriate information"

In addition to information resulting from checks or screening required by applicable federal, state, tribal, or local law, and/or by the recipient's (or subrecipient's) written policies and procedures, current and appropriate information includes the results of all required searches listed below, each of which must be completed no earlier than six months before the determination regarding suitability. I understand that the following searches are mandatory!!

**(1) Public sex offender and child abuse websites/registries**

A search (by current name, and, if applicable, by previous name(s) or aliases), of the pertinent and reasonably-accessible federal, state, and (if applicable) local and tribal sex offender and child abuse websites/public registries, including--

- (a) the Dru Sjodin National Sex Offender Public Website ([www.nsopw.gov](http://www.nsopw.gov));
- (b) the website/public registry for each state (and/or tribe, if applicable) in which the individual lives, works, or goes to school, or has lived, worked, or gone to school at any time during the past five years; and
- (c) the website/public registry for each state (and/or tribe, if applicable) in which the individual is expected to, or reasonably likely to, interact with a participating minor in the course of activities under the award.

**(2) Criminal history registries and similar repositories of criminal history records**

For each individual at least 18 years of age who is a covered individual under this FY 2019 award, a fingerprint search (or, if the recipient or subrecipient documents that a fingerprint search is not legally available, a name-based search, using current and, if applicable, previous names and aliases) (-- encompassing at least the time period beginning five calendar years preceding the date of the search request -- of pertinent state (and, if applicable, local and tribal) criminal history registries or similar repositories, including--

- (a) the criminal history registry for each state in which the individual lives, works, or goes to school, or has lived, worked, or gone to school at any time during the past five years; and
- (b) the criminal history registry for each state in which he or she is expected to, or reasonably likely to, interact with a participating minor in the course of activities under the award.

4.. Factors and considerations for determining suitability.

A. In addition to the factors and considerations that must or may be considered under applicable federal, state, tribal, or local law, and under the recipient's (or subrecipient's) written policies and procedures, in making a determination regarding suitability, the recipient (or subrecipient) must consider the current and appropriate information as collected within the applicable timeframes.

In particular (unless applicable law precludes it), with respect to either an initial determination of suitability or a subsequent reexamination, the recipient (or subrecipient) may not determine that a covered individual is suitable to interact with participating minors in the course of activities under the award if the covered individual--

- (a) Withholds consent to a criminal history search required by this condition;
- (b) Knowingly makes (or made) a false statement that affects, or is intended to affect, any search required by this condition;
- (c) Is listed as a registered sex offender on the Dru Sjodin National Sex Offender Public Website;

(d) To the knowledge of the recipient (or subrecipient), has been convicted -- whether as a felony or misdemeanor -- under federal, state, tribal, or local law of any of the following crimes (or any substantially equivalent criminal offense, regardless of the specific words by which it may be identified in law):

- sexual or physical abuse, neglect, or endangerment of an individual under the age of 18 at the time of the offense;
- rape/sexual assault, including conspiracy to commit rape/sexual assault;
- sexual exploitation, such as through child pornography or sex trafficking;
- kidnapping;
- voyeurism; or

(e) Is determined by a federal, state, tribal, or local government agency not to be suitable.

Furthermore, I certify that I understand that these records may be monitored by the federal awarding agency and/or GCC at any time and will retain copies of the records in accordance with federal record retention requirements.

\_\_\_\_\_  
Project Name

\_\_\_\_\_  
Project Number

\_\_\_\_\_  
Agency

\_\_\_\_\_  
Authorizing Official Signature

\_\_\_\_\_  
Printed Name

\_\_\_\_\_  
Date

\_\_\_\_\_  
Financial Officer Signature

\_\_\_\_\_  
Printed Name

\_\_\_\_\_  
Date

\_\_\_\_\_  
Project Director Signature

\_\_\_\_\_  
Printed Name

\_\_\_\_\_  
Date

Award Attachment 07 –  
NCID Acceptable Use Policy



## N.C. Department of Public Safety, Governor's Crime Commission NCID Acceptable Use Policy

### Section 1. Application

This policy applies to any state employee, contractor, **sub-recipient, or third party** who uses any device, whether state-owned or personal, to connect to the State Network. G.S. §143B—1336(a)(5) defines the State Network as “any connectivity designed for the purpose of providing Internet Protocol transport of information for State agencies.” State law also requires the Department of Information Technology (DIT) to manage the State Network.

### Section 2. Requirements

1. Users may not connect personal devices to the State Network without express written permission from the agency head or the agency head’s designee. This requirement does not apply to users who connect to the State Network through a state-supplied “guest” Wi-Fi network.
2. Personally owned “smart” devices may not be connected to the State Network. “Smart” devices, commonly referred to as the “Internet of Things,” include such devices as thermostats, wearable technologies, or appliances.
3. All devices connected to the State Network must have updated malware/anti-virus protection.
4. **Users must not attempt to access any data, documents, email correspondence, and programs contained on systems for which they do not have authorization.**
5. Systems administrators and authorized users must not divulge remote connection information or other access points to information technology resources to anyone without proper authorization.
6. **Users must not share their account(s), passwords, Personal Identification Numbers (PIN), Security Tokens (i.e. Smartcard), or other similar information or devices used for identification and authorization purposes.**
7. Users must not make unauthorized copies of copyrighted or state-owned software.
8. **Users must ensure all files downloaded from an external source to the State Network or any device connected to the State Network, including a diskette, compact disc (CD), USB flash drive, or any other electronic medium, is scanned for malicious software such as viruses, Trojan horses, worms or other malicious code.**
9. Users must ensure that the transmission or handling of personally identifiable information (PII) or other sensitive data is encrypted or has adequate protection.
10. Users may not download, install or distribute software to state-owned devices unless it has been approved by the agency head or the agency head’s designee.
11. Users must not download State data to personally owned devices unless approved by the agency head or the agency head’s designee.
12. Users must not purposely engage in activity that is illegal according to local, state or federal law, or activity that may harass, threaten or abuse others, or intentionally access, create, store or transmit material which may be deemed to be offensive, indecent or obscene.
13. Users accessing the State Network through a Local Area Network (LAN) must avoid unnecessary network traffic and interference with other users. Specific prohibitions include, but are not limited to, the following:
  - (a) Unsolicited commercial advertising by public employees and State Network users. For the purpose of this policy, “unsolicited commercial advertising” includes any transmission initiated by a vendor, provider, retailer, or manufacturer of goods, products, or services, or by a third party retained by, affiliated with, or related to the vendor, provider, retailer, or manufacturer that describes goods, products, or services. This prohibition does not include the following:

- (i) discussions of a product or service's relative advantages and disadvantages by users of those products or services (unless the user is also the vendor, retailer, or manufacturer, or related to or affiliated with the vendor, provider, retailer, or manufacturer);
- (ii) responses to questions, but only if such responses are direct replies to those who inquired via electronic mail, or
- (iii) mailings to individuals or entities on a mailing list so long as the individual or entity voluntarily placed his/her name on the mailing list.

(b) Any other type of mass mailing by employees and others accessing the State Network through the agency LAN that does not pertain to governmental business or a state-sponsored activity.

14. Users accessing the State Network through an agency LAN must only access Internet-streaming sites as consistent with the mission of the agency for the minimum amount of time necessary.
15. Users must not engage in activity that may degrade the performance of information resources, deprive an authorized user access to resources, obtain extra resources beyond those allocated, or circumvent information security measures.
16. Users must not download, install or run security programs or utilities such as password cracking programs, packet sniffers, or port scanners that reveal or exploit weaknesses in the security of information technology resources unless approved in writing by the agency head or the agency head's designee.
17. Information technology resources must not be used for personal benefit, political activity, unsolicited advertising, unauthorized fund raising, personal business ventures, or for the solicitation of performance of any activity that is prohibited by any local, state or federal law.
- 18. Access to the Internet from state-owned, home based, devices must adhere to all acceptable use policies. Employees must not allow family members or other non-employees to access nonpublic accessible information systems.**
19. Users must report any weaknesses in computer security to the Grant Management Specialist for follow-up investigation. Weaknesses in computer security include unexpected software or system behavior, which may indicate an unauthorized disclosure of information or exposure to security threats.
- 20. Users must report any incidents of possible misuse or violation of the Acceptable Use Policy.**
- 21. Users have a responsibility to promptly report the theft, loss or unauthorized disclosure of information.**

**Section 3. Violations**

Violation of this policy could result in disciplinary action, termination, loss of information resources and criminal prosecution.

**Section 4. References**

The following sections in the Statewide Information Security Manual provide additional guidance in the appropriate use of State information technology resources.

- 020201 Accessing State Resources in an Acceptable Way*
- 030301 Sending and Receiving Electronic Mail (Email)*
- 030302 Using the Internet for Work Purposes*
- 030303 Downloading Files and Information from the Internet*
- 030307 Filtering Inappropriate Material from the Internet*
- 040102 Implementing New / Upgraded Software*

I certify that I have read and understand the NCID Acceptable Use Policy and that I will ensure compliance with this policy.

\_\_\_\_\_  
Signature, Project Director

\_\_\_\_\_  
Date

\_\_\_\_\_  
Printed Name

\_\_\_\_\_  
Title

Award Attachment 08 –  
Confidentiality Assurance Certification



N.C. Governor's Crime Commission

Acknowledgement of Compliance with the Confidentiality and Privacy Provisions

Under the program rules at 28 CFR 94.115 of the Victims of Crime Act, Section 40002(b)(2) of the Violence Against Women Act, as amended (42 U.S.C 13925(b)(2), and 42 U.S.C 5676 Section 299E of the Juvenile Justice and Delinquency Prevention Act, subgrantees are required to meet the following terms in regard to nondisclosure of confidential or private information and to document their compliance. By signature on this form, applicants for grants from the Office of Justice programs acknowledge that that they are required to comply with these provisions, and will create and maintain documentation of compliance, such as policies and procedures for the release of victim information.

- (A) In general: In order to ensure the safety of juveniles, crime victims, and adult, youth, and child victims of domestic violence, dating violence, sexual assault, or stalking, and their families, grantees and subgrantees under this subchapter shall protect the confidentiality and privacy of persons receiving services.
- (B) Nondisclosure: Subject to subparagraphs (C) and (D), grantees and subgrantees shall not—
  - (i) disclose, reveal, or release any personally identifying information or individual information collected in connection with services requested, utilized, or denied through grantees' and subgrantees' programs, regardless of whether the information has been encoded, encrypted, hashed, or otherwise protected; or
  - (ii) disclose, reveal, or release individual client information without the informed, written, reasonably time-limited consent of the person (or in the case of an unemancipated minor, the minor and the parent or guardian or in the case of legal incapacity, a court-appointed guardian) about whom information is sought, whether for this program or any other Federal, State, tribal, or territorial grant program, except that consent for release may not be given by the abuser of the minor, incapacitated person, or the abuser of the other parent of the minor.

If a minor or a person with a legally appointed guardian is permitted by law to receive services without the parent's or guardian's consent, the minor or person with a guardian may release information without additional consent.

- (C) Release: If release of information described in subparagraph (B) is compelled by statutory or court mandate—
  - (i) grantees and subgrantees shall make reasonable attempts to provide notice to persons affected by the disclosure of information; and
  - (ii) grantees and subgrantees shall take steps necessary to protect the privacy and safety of the persons affected by the release of the information.
- (CI) **Information sharing:**
  - (i) Grantees and subgrantees may share—
    - (I) nonpersonally identifying data in the aggregate regarding services to their clients and nonpersonally identifying demographic information in order to be compliant with Federal, State, tribal, or territorial reporting, evaluation, or data collection requirements;



- (II) court-generated information and law enforcement-generated information contained in secure, governmental registries for protection order enforcement purposes; and
  - (III) law enforcement-generated and prosecution-generated information necessary for law enforcement and prosecution purposes.
- (ii) In no circumstances may—
- (I) an adult, youth, or child victim of domestic violence, dating violence, sexual assault, or stalking be required to provide a consent to release his or her personally identifying information as a condition of eligibility for the services provided by the grantee or subgrantee;
  - (II) any personally identifying information be shared in order to comply with Federal, tribal, or State reporting, evaluation, or data collection requirements, whether for this program or any other Federal, tribal, or State grant program.
- (E) **Statutorily mandated reports of abuse or neglect:** Nothing in this section prohibits a grantee or subgrantee from reporting suspected abuse or neglect, as those terms are defined and specifically mandated by the State or tribe involved.
- (F) **Oversight:** Nothing in this paragraph shall prevent the Governor’s Crime Commission from disclosing grant activities authorized through this award to the members of the Governor’s Crime Commission and other staff of the Governor’s Crime Commission. All disclosures shall protect confidentiality and omit personally identifying information, including location information about individuals.
- (G) **Confidentiality assessment and assurances:** Grantees and subgrantees must document their compliance with the confidentiality and privacy provisions required under this section.

As the duly authorized representative of the applicant, I hereby acknowledge that the applicant has received notice that if awarded funding they will comply with the above statutory requirements. This acknowledgement shall be treated as a material representation of fact upon which the Department of Justice will rely if it determines to award the covered transaction, grant, or cooperative agreement.

|                                 |                                   |      |
|---------------------------------|-----------------------------------|------|
| Project Name                    | Project Number                    |      |
| Agency                          |                                   |      |
| Signature, Authorizing Official | Authorizing Official (Print Name) | Date |
| Signature, Project Director     | Project Director (Print Name)     | Date |

Award Attachment 09 –  
Civil Rights Compliance Self Certification



## Civil Rights Compliance Self-Certification for GCC Grantees

**Completed for:** \_\_\_\_\_  
**Organization Name**

**GCC Project Number:** \_\_\_\_\_

I hereby certify that I have viewed the following online training modules offered by the U.S. Department of Justice, Office for Civil Rights (OCR) listed below.

I accept responsibility for ensuring that project staff members are trained and understand their responsibilities to comply with federal civil rights laws applicable to recipients of Department of Justice funds covered in the training materials cited below. I may do this by having project staff also view the OCR videos.

| <b>Training Video (Found at:<br/><a href="https://ojp.gov/about/ocr/assistance.htm">https://ojp.gov/about/ocr/assistance.htm</a>)</b>                  | <b>Date Completed</b> | <b># Staff Trained</b> |
|--|-----------------------|------------------------|
| What is the Office for Civil Rights and What Laws Does It Enforce?   |                       |                        |
| What are the Standard Assurances and How Does the Office for Civil Rights Enforce Civil Rights Laws?   |                       |                        |
| What Obligations Do Recipients of Justice Department Funding Have to Provide Services to Limited English Proficient Persons?                           |                       |                        |
| What are the Civil Rights Laws that Affect Funded Faith-Based Organizations?   |                       |                        |
| What Civil Rights Protections Do American Indians Have in Programs Funded by the Justice Department? What are the Obligations of Funded Indian Tribes? |                       |                        |

I also certify that I have read and understand “Civil Rights and Responsibilities for GCC Grantees” and that I will ensure that activities funded with federal grant funds under this project are in compliance with applicable civil rights laws. I understand that this self-certification is valid for the period of performance of the listed grant project.

\_\_\_\_\_  
Signature, Project Director

\_\_\_\_\_  
Date

\_\_\_\_\_  
Printed Name

\_\_\_\_\_  
Title

Award Attachment 10 –  
Civil Rights Compliance Checklist



## NC Governor's Crime Commission Civil Rights Compliance Checklist

The Office for Civil Rights (OCR), Office of Justice Programs (OJP), U.S. Department of Justice (DOJ) has authority to monitor civil rights compliance for grants awarded by the DOJ, such as those issued by the Bureau of Justice Assistance, Office for Victims of Crime, and Office on Violence Against Women. OCR has established monitoring standards for State Administering Agencies (e.g., GCC) of DOJ grants to ensure civil rights compliance by each subrecipient. This checklist was adapted from an OCR sample checklist and is part of the civil rights monitoring process. Please complete the checklist and upload a copy in GEMS to your project.

**Name of Agency**

**Project Number:**

**Contact Information:**

**Name**

**Title**

**Phone**

**Email**

**Date of Submission**

1. If the subrecipient is required to prepare an Equal Employment Opportunity Plan (EEOP) in accordance with 28 C.F.R. pt. 42, subpt. E, does the subrecipient have an EEOP on file for review? (If a subrecipient is unsure as to whether they are required to prepare an EEOP, they can find out at <https://ojp.gov/about/ocr/eeop.htm>, where they can also prepare and file their EEOP electronically).

Yes

No

If yes, on what date did the subrecipient complete the EEOP?

2. If the subrecipient is required to submit an EEOP Utilization Report to the Office for Civil Rights (OCR), Office of Justice Programs (OJP), U.S. Department of Justice (DOJ) in accordance with 28 C.F.R. pt. 42, subpt. E, has the subrecipient done so?

Yes

No

If yes, on what date did the subrecipient submit the EEOP Utilization Report?

3. Has the subrecipient submitted a Certification Form to the OCR certifying compliance with the EEOP requirements?

Yes

No

If yes, on what date did the subrecipient submit the Certification Form?

4. How does the subrecipient notify program participants and beneficiaries (e.g., through brochures, postings, or policy statements) that it does not discriminate in the delivery of services or benefits based on race, color, national origin, religion, sex, disability, and age (as well as sexual orientation and gender identity if the subrecipient receives funding from the Office on Violence Against Women (OVW) or under the Violence Against Women Act (VAWA) of 1994, as amended)?

Comments:

5. How does the subrecipient notify employees and prospective employees (e.g., through advertisements, recruitment materials, postings, dissemination of orders or policies) that it does not discriminate on the basis of race, color, national origin, religion, sex, and disability (as well as sexual orientation and gender identity if the subrecipient receives funding from OVW or under VAWA)?

Comments:

6. Does the subrecipient have written policies or procedures for notifying employees on how to file complaints alleging discrimination by the subrecipient?

Yes

No

If yes, explain these policies and procedures.

7. Does the subrecipient have written policies or procedures for notifying program participants and beneficiaries on how to file complaints alleging discrimination by the subrecipient, including how to file complaints with the NC Governor's Crime Commission and the OCR?

Yes

No

If yes, explain these policies and procedures.

8. If the subrecipient has fifty or more employees and receives DOJ funding of \$25,000 or more, has the subrecipient taken the following actions:

a. Adopted grievance procedures that incorporate due process standards and provide for the prompt and equitable resolution of complaints alleging a violation of the DOJ regulations implementing Section 504 of the Rehabilitation Act of 1973, found at 28 C.F.R. pt. 42, subpt. G, which prohibit discrimination on the basis of disability in employment practices and the delivery of services?

Yes

No

b. Designated a person to coordinate compliance with the prohibitions against disability discrimination contained in 28 C.F.R. pt. 42, subpt. G?

Yes

No

c. Notified program participants, beneficiaries, employees, applicants, and others that the subrecipient does not discriminate on the basis of disability?

Yes

No

Comments:

9. If the subrecipient operates an educational program or activity, has the subrecipient taken the following actions:

a. Adopted grievance procedures that provide for the prompt and equitable resolution of complaints alleging a violation of the DOJ regulations implementing Title IX of the Education Amendments of 1972, found at 28 C.F.R. pt. 54, which prohibit discrimination on the basis of sex?

Yes

No

b. Designated a person to coordinate compliance with the prohibitions against sex discrimination contained in 28 C.F.R. pt. 54?

Yes

No

c. Notified applicants for admission and employment, employees, students, parents, and others that the subrecipient does not discriminate on the basis of sex in its educational programs or activities?

Yes

No

Comments:

10. Has the subrecipient complied with the requirement to submit to the OCR any adverse findings of discrimination against the subrecipient based on race, color, national origin, religion or sex that are the result of a due process hearing conducted by a federal or state court or a federal or state administrative agency?

Yes

No

Comments:

11. What steps has the subrecipient taken to provide meaningful access to its programs and activities to persons who have limited English proficiency (LEP)?

Comments:

12. Does the subrecipient have a written language-access policy on providing services to LEP persons?

Yes

No

13. Does the subrecipient conduct any training for its employees on the requirements of applicable federal civil rights laws?

Yes

No

Comments

14. Does the subrecipient provide federally funded services to eligible beneficiaries regardless of religion, a religious belief, a refusal to hold a religious belief, or a refusal to attend or participate in a religious practice?



Yes

No

If the subrecipient engages in explicitly religious activities, does it do the following:

- a. Separate the explicitly religious activities in either time or location from the federally funded activities?

Yes

No

- b. Ensure that participation in the explicitly religious activities is voluntary for participants in the federally funded program?

Yes

No

Comments:

15. If the subrecipient is a religious institution or a faith-based organization, does the subrecipient do the following:

- a. Provide appropriate notice to program beneficiaries or prospective beneficiaries that the subrecipient does not discriminate on the basis of religion in the delivery of services or benefits?

Yes

No

- b. Provide appropriate notice to program beneficiaries or prospective beneficiaries that if they object to the “religious character” of the subrecipient, the subrecipient will make a reasonable effort to find an acceptable alternative provider in close geographic proximity that offers comparable services?

Yes

No

- c. Keep a record of the requests for an alternative provider from beneficiaries or prospective beneficiaries who object to the subrecipient’s “religious character,” noting the subrecipient’s efforts to find an appropriate alternative provider and to follow up with the beneficiary or prospective beneficiary?

Yes

No

Comments:

16. If the subrecipient receives funding under VAWA or from OVW, does it serve male victims of domestic violence, dating violence, sexual assault, and stalking?

Yes

No

Comments:

17. If the subrecipient receives funding under VAWA or from OVW, does the subrecipient provide sex- segregated or sex-specific services?

Yes

No

If yes, describe how the services are sex-segregated or sex-specific.

If yes, has the subrecipient determined that providing services that are sex-segregated or sex specific is necessary to the essential operation of the program?

Yes

No

If yes, describe how the subrecipient determined that providing sex-segregated or sex-specific services is necessary to the essential operation of the program.