



# **TITLE VI COMPLIANCE REPORT AND IMPLEMENTATION PLAN FY 2017-2018**

*Administrative Office of the Courts  
Nashville City Center, Suite 600  
511 Union Street  
Nashville, TN 37219  
October 1, 2018*

**TITLE VI COMPLIANCE REPORT  
IMPLEMENTATION PLAN  
ADMINISTRATIVE OFFICE OF THE COURTS  
FY 2017-2018**

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*NOTE: All data is contained in the actual report, however, a separate Excel data file is included on the CD.*

## **1. Overview of the Administrative Office of the Courts**

The Administrative Office of the Courts provides support services to the Tennessee Supreme Court and the entire state court system. The director, appointed by the Supreme Court, is the chief executive officer for the courts and oversees daily operations. Duties of the office include preparing the court system's annual budget; providing judicial education, computers, equipment, training and technical support for judges and other court personnel; assisting judges with case assignments; administering payroll and human resource functions for the court system; conducting orientation for new judges; administering the state court reporters system; providing assistance to judicial committees; compiling data; and disbursing funds to court-appointed attorneys representing indigents and providing support to the Child Support Magistrate Program.

2. Responsible Officials

The Administrative Office of the Courts hereby agrees that we will comply with Title VI of the Civil Rights Act of 1964, TCA 4-21-203 and any directives and regulations issued pursuant to that act.

Responsible Official:



Deborah Taylor Tate  
Director, Administrative Office of the Courts  
Administrative Office of the Courts  
511 Union Street, Suite 600  
Nashville, TN 37219



Stephanie J. Holliday  
Human Resources Manager  
Administrative Office of the Courts  
511 Union Street, Suite 600  
Nashville, TN 37219

### 3. Definitions

**Assurances:** A written statement of agreement by one legally authorized to contractually bind an entity in which the signatory agrees on behalf of the organization to administer federally assisted programs in accordance with all applicable laws and regulations including those applicable to non-discrimination.

**Beneficiaries:** Those persons to whom assistance, services or benefits are ultimately provided.

**Compliance:** The fulfillment of the requirements of Title VI, other applicable laws, implementing regulations and instructions to the extent that no distinctions are made in the delivery of services or benefits based on race, color or national origin.

**Complaint:** A verbal or written allegation of discrimination, which indicates that any federally assisted program is, operated in such a manner that it, results in disparity of treatment to persons or groups of persons because of race, color or national origin.

**Discrimination:** To make any distinction between one person or group of persons and others intentionally, by neglect, or by the effect of actions or lack of actions based on race, color or national origin.

**Limited English Proficiency:** The inability to speak, read, write or understand the English Language at a level that permits an individual to interact with service providers.

**Minority:** A person or group of persons differing from others in some characteristics and often subjected to differential treatment because of race, color or national origin.

**Noncompliance:** Failure or refusal to comply with Title VI of the Civil Rights Act of 1964, other applicable civil rights laws, and implementing departmental regulations.

**Title VI of the Civil Rights Act of 1964, 42 U.S.C. 2000d-4:** Federal law prohibiting discrimination based on race, color or national origin. It covers all forms of federal aid except contracts or insurance and guaranty. It does not cover employment, except where employment practices result in discrimination against program beneficiaries or where the purpose of the federal assistance is to provide employment.

#### 4. Non-discrimination Policy

 <p style="text-align: center;"> <b>Administrative Policies And Procedures</b>  <b>Tennessee Supreme Court</b>  <b>Administrative Office of the Courts</b> </p>	Index #: 2.08   Page 1 of 5
	Effective Date: 03/01/2018 Supersedes: 2.08 (9/30/2015)
Approved by: Chief Justice <i>JBB</i> Jeff Bivins and Director Deborah Taylor Tate <i>DAT</i>	
Subject: Workplace Discrimination and Harassment	

- I. **Authority:** Tenn. Code Ann. § 16-3-502; Tenn. Code Ann. § 16-3-803; Tenn. Code Ann. § 4-21-101; Title VI of the Civil Rights Act of 1964; Title VII of the Civil Rights Act of 1964; Equal Pay Act of 1963; Age Discrimination in Employment Act of 1967; Americans' with Disabilities Act of 1990; Tenn. Code Ann. §§ 8-50-103; 8-50-104; Pregnancy Discrimination in Employment Act; Vocational Rehabilitation Act of 1973; Uniformed Services Employment and Reemployment Act of 1994; Tennessee Human Rights Act.

**The Tennessee Judiciary is committed to doing all it can to ensure its courts and workplaces are free from illegal discrimination and harassment for all individuals. The Code of Judicial Conduct mandates that “[a] judge shall perform the duties of judicial office, including administrative duties, without bias or prejudice,” and “shall not, in the performance of judicial duties, by words or conduct manifest bias or prejudice, or engage in harassment, including but not limited to bias, prejudice, or harassment based upon race, sex, gender, religion, national origin, ethnicity, disability, age, sexual orientation, marital status, socioeconomic status, or political affiliation, and shall not permit court staff, court officials, or others subject to the judge's direction and control to do so.” Tenn. Sup. Ct. R. 10, Canon 2, RJC 2.3(A)-(B).**

**Persons who are not “employees” as defined by this policy but who have information concerning a judge’s violation of this policy or the Code of Judicial Conduct are encouraged to contact the Human Resources Manager at the Administrative Office of the Courts at 615-741-2687 or [Human.Resources@tncourts.gov](mailto:Human.Resources@tncourts.gov) for assistance with reporting unethical conduct to the Board of Judicial Conduct. Similarly, persons having information concerning illegal discriminatory and harassing conduct by a judicial staff member or an employee of the judiciary in violation of this policy are encouraged to report such conduct to the Human Resources Manager at the Administrative Office of the Courts at 615-741-2687 or [Human.Resources@tncourts.gov](mailto:Human.Resources@tncourts.gov).**

**II. Definitions:**

- A. "Workplace Discrimination and Harassment" is unequal and unlawful treatment of an individual on the basis of a person's race, color, national origin, age (40 years of age and over), sex, pregnancy, religion, creed, disability, veteran's status, or any other category protected by state and/or federal civil rights laws. It prohibits any unwelcome conduct, or electronic communication that discriminates against a person because of that person's race, color, national origin, age (40 years of age and over), sex, pregnancy, religion, creed, disability, or veteran's status, or any other category protected by state and/or federal civil rights laws.

The following non-exhaustive list includes examples of workplace discrimination and harassment that violate this policy:

- Undermining a person's authority or work performance because of the person's protected characteristics;
  - Using stereotypes or assumptions to guide decision-making about a person's career;
  - Making unwelcome advances such as unwelcome touching or near-touching, making sexual innuendos, making personal inquiries, persistent unwanted courting, and sexist put-downs;
  - Making slurs or jokes about a class of persons, such as disabled persons or a racial group;
  - Sending or distributing via electronic means derogatory, demeaning, suggestive or threatening epithets, slurs, jokes, or remarks to a person or persons or a particular person or that promote stereotypes of a class of persons;
  - Displaying explicit or offensive calendars, posters, pictures, drawings or cartoons that are sexually suggestive or that disparage a class of persons or a particular person; or
  - Derogatory remarks about a person's national origin, race, language, or accent.
- B. "Hostile Work Environment" is an environment that a reasonable person and the person who is the subject of the harassment would consider hostile or abusive. A hostile work environment is determined by a totality of the circumstances including, but not limited to: (1) the frequency of the alleged harassing conduct; (2) the severity of the alleged harassing conduct; (3) whether the alleged harassing conduct was physically threatening or humiliating; and (4) whether the alleged harassing conduct has the purpose or effect of unreasonably interfering with an employee's work performance or creating an intimidating, hostile, or offensive environment.
- C. "Sexual Harassment" is any unwelcome sexual advance, request for favors, and other verbal, written, or physical conduct of a sexual nature by a

manager, supervisor, colleague, or co-worker, including interns or volunteers. Managerial harassment occurs when a manager or a supervisor gives or withholds a work-related benefit in exchange for sexual favors from the victim or takes an adverse action against an employee for refusing a request for sexual favors. Threatening to take such actions may also be a violation of this policy. Certain actions may also create a hostile work environment as defined in the immediately preceding paragraph.

- D. "Retaliation" occurs when any adverse action is taken against an individual or individuals for exercising rights under this policy.
- E. "Employee" is any person who works for the Administrative Office of the Courts ("AOC"), Appellate Court Clerk's Office, Board of Law Examiners ("BLE"), Board of Professional Responsibility ("BPR"), Commission on Continuing Legal Education and Specialization ("CLE"), or Tennessee Lawyer Assistance Program ("TLAP") in a full-time or part-time status.
- F. "Judge" is any state judge or justice who serves in a full-time or part-time status, including senior, special, and retired judges who are designated by the Chief Justice or as otherwise provided by law.
- G. "Judicial Staff" is any person who works for a state judge in a full-time or part-time status.

III. **Purpose:** To ensure a work environment free of discrimination and harassment of any individual because of that person's race, color, national origin, age (40 years of age and over), sex, pregnancy, religion, creed, disability, veteran's status or any other category protected by state and/or federal civil rights laws.

IV. **Application:**

- A. This policy shall apply be applied consistently throughout the divisions of the AOC, Appellate Court Clerk's Office, BLE, BPR, CLE, TLAP and to all employees. All employees shall receive mandatory annual training related to this policy.
- B. This policy shall be applied consistently among the judges and their judicial staff. All judges and judicial staff shall annually review this policy and shall provide to the AOC a signed acknowledgement form affirming that they have reviewed and understand this policy. If any judge or judicial staff requires additional information or assistance concerning this policy, it can be obtained by contacting the AOC human resources manager. Judges should also regularly familiarize themselves with the Code of Judicial Conduct's requirements related to preventing bias, prejudice, and harassment.

V. **Policy:** It is the policy of the state judiciary to provide an environment free of unlawful discrimination, harassment, or retaliation of any employee, judge, or judicial staff because of that person's race, color, national origin, age (40 years of age and over), sex, pregnancy, religion, creed, disability, or veteran's status, or any other category protected by state and/or federal civil rights laws. Employees or judicial staff engaged in any form of unlawful harassment are subject to appropriate corrective action, including termination. Judges engaged in any form of unlawful harassment are subject to discipline and possible legislative impeachment as provided by law. The fact that an alleged offender meant no harm or was teasing will not excuse conduct that violates this policy.

VI. **Reporting Incidents of Discrimination, Harassment or Retaliation:** If an employee, judge, or judicial staff member believes they have been subjected to discriminatory, harassing, or retaliatory conduct that violates this policy, the person is encouraged to report the incident as soon as possible after the event occurs.

If an individual believes they have been subjected to retaliation for engaging in protected conduct under this policy, they are encouraged to report those incidents as soon as reasonably possible after the event occurs.

Employees and judicial staff may file a complaint with the AOC director, AOC human resources manager, or immediate supervisor. Under no circumstances is the person alleging the workplace discrimination, harassment, or retaliation required to file a complaint with the alleged harasser. Judges may file a complaint with the AOC director, AOC human resources manager, or the Chief Justice.

Individuals who wish to file a complaint are encouraged to submit the complaint in writing and to include a description of the incident(s), as well as the date(s), time(s), place(s), and the name(s) of any witnesses. Although not required to report a complaint, a complaint form is provided within this policy.

VII. **Investigating and Resolving Complaints:** The AOC human resources manager will review all complaints and speak with the complainant to determine if conduct falls within the terms of the policy. If necessary, protective measures will be taken for the safety of the parties and any other impacted employees, judges, or judicial staff.

Any individual who provides information related to complaints will be protected against retaliation.

All complaints falling within the terms of this policy will be addressed on a case-by-case basis and will receive a thorough, neutral, and timely investigation by the AOC human resources manager or other designated investigator that the

circumstances may warrant. The investigation will include interviews with any witnesses or other individuals necessary to thoroughly address the complaint.

Following the investigation of an employee, the AOC director and the AOC human resources manager will determine whether a violation of the policy occurred and determine what, if any, corrective action is warranted.

If the complaint involves a judge accused of violating this policy, the AOC director or human resources manager will immediately forward the complaint to disciplinary counsel of the Board of Judicial Conduct.

If the complaint involves judicial staff having violated this policy, to the extent appropriate, the AOC director and AOC human resources manager will work with the judicial staff member's supervising judge concerning the complaint and together determine what, if any, corrective action is warranted.

- VIII. **Confidentiality:** To the extent permitted by law, the state judiciary will attempt to maintain the confidentiality of each party involved in a workplace discrimination or harassment investigation, provided it does not interfere with the ability to investigate the allegations or take corrective action. However, the state judiciary cannot guarantee confidentiality.
- IX. **Directive to Management and Supervising Personnel:** Management and supervisors, including judges, who receive a complaint alleging workplace discrimination or harassment, or learn of conduct that may violate this policy, should immediately report any such incident to the AOC human resources manager.
- X. **Corrective Action for Violation of this Policy:** Any employee, judge, or judicial staff who engages in conduct that violates this policy, or who encourages such conduct by others, is subject to corrective action. Such corrective action may include, but is not limited to, counseling, training, disciplinary action, termination, or for judges, legislative impeachment as provided by law.

## **5. Organization of the Civil Rights Office/Civil Rights Coordinator**

The Title VI Coordinator for the Administrative Office of the Courts is Stephanie J. Holliday, Human Resources Manager.

Administrative Office of the Courts

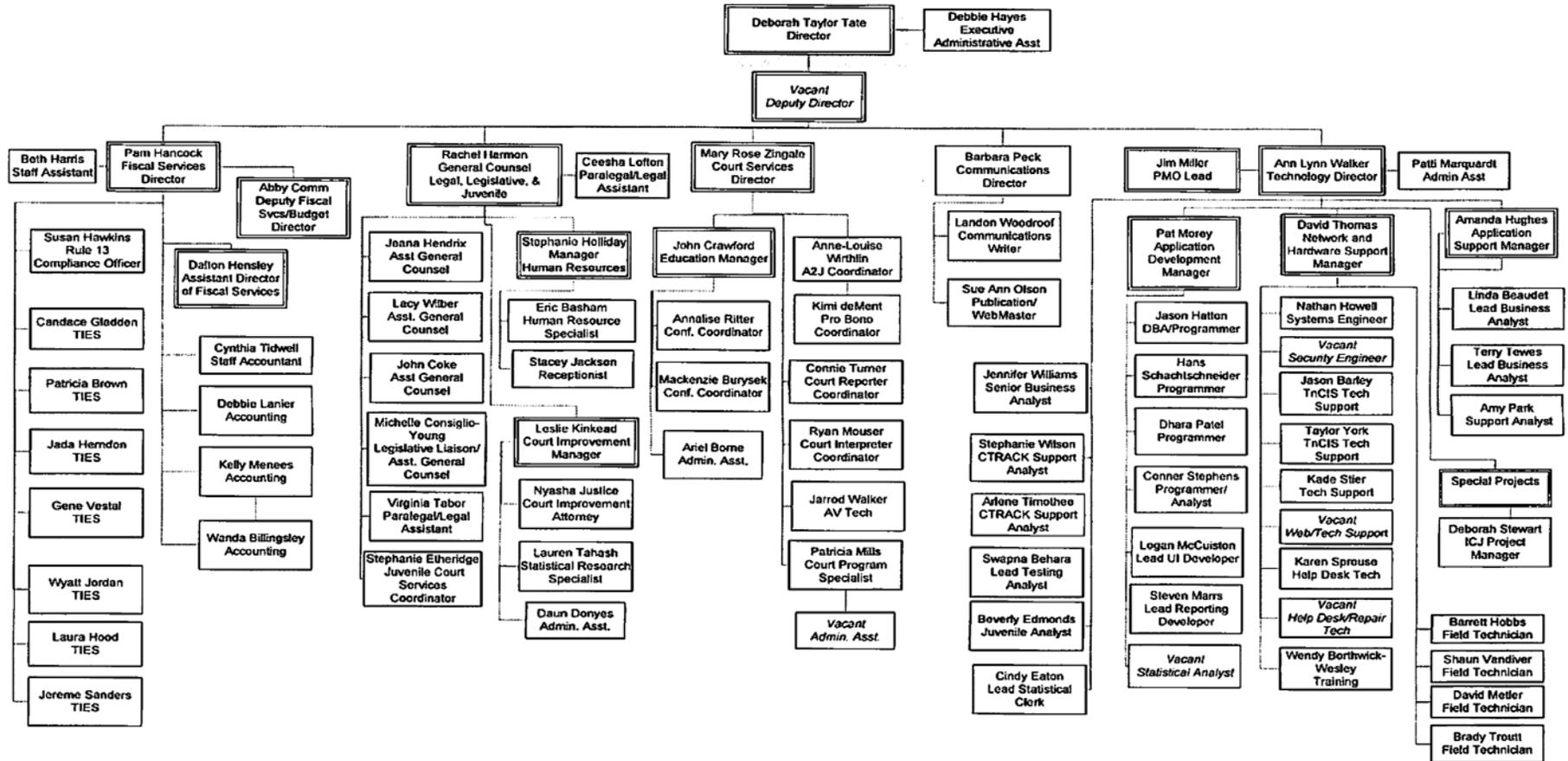
511 Union Street, Suite 600

Nashville, TN 37219

Phone: (615) 741-2687

The Title VI Coordinator monitors compliance with Title VI using the guidelines set forth by the Administrative Office of the Courts. The Coordinator develops the annual Title VI implementation plan, compiles reports describing Title VI compliance and related activities, and addresses complaints under the procedures outlined in this plan. The Coordinator provides forms for pre-award assurances and data collection and post-award compliance monitoring and reporting. The Coordinator develops and administers Title VI training for agency staff, sub-recipients and contractors. The ultimate responsibility for complying with Title VI is vested with the Administrative Director of the Courts who is accountable for overall administration of the programs and contracts of the Administrative Office of the Courts. Programs managers (grant managers) are responsible to monitor the compliance of each grant awarded in their program area. Program Managers work with the Title VI Coordinator to assure overall compliance and reporting functions are completed in a timely manner.

Administrative Office of the Courts



## 6. Discriminatory Practices

The Administrative Office of the Courts prohibits the following practices committed on the basis of race, color or national origin:

1. Denying any individual service, aid or other benefit provided under the program;

*Example: denying a non-English speaking defendant in an order of protection hearing the use of a certified court interpreter for the actual hearing and discussions with the defendant's attorney.*

2. Providing any service, aid, or other benefit to an individual which is different, or is provided in a different manner, from that provided to others under the program;

3. Treating an individual differently from others in determining whether he or she satisfies any requirement or condition which individuals must meet in order to be provided any service, aid or other benefit under the program;

*Example: Denying a trainee for a Juvenile Justice Training Program reimbursement of travel expenses that the trainee applied for because the program manager knows that the person is from Peru and other trainees applying for reimbursement of travel expenses are all native Tennesseans.*

4. Subjecting an individual to discrimination in employment practices under such program;

*Example: Selecting only white male applicants to participate in interviews for a court improvement program coordinator is prohibited and in direct violation of Title VI.*

5. Addressing an individual in a manner that denotes inferiority.

## 7. Federal Programs or Activities

### Schedule of Federal Financial Assistance Administrative Office of the Courts Actual 2017-2018

#	Grantor Name	Program Name	Grant Period	Other Identifying #	Grant Description	\$ Funding Amount
1	US Dept. of Health & Human Services FEDERAL	Court Improvement Program Basic Grant	10/01/2017-09/30/2018	CSCIPBASIC17	CIP was created as part of the OBRA of 1993. Grants were provided to state court systems to assess foster care laws and judicial processes, and to develop and implement a plan for improvement. ASFA of 1997, P.L. 105-89, reauthorized the CIP through 2001. The Promoting Safe and Stable Families Amendments of 2001, P.L. 107-133, reauthorized CIP through FY 2006 and expanded CIP: (1) include improvements necessary to provide for the safety, well-being, and permanence of children in foster care and (2) implement a corrective action plan, as necessary, in response to findings identified in child and family services review of the State's child welfare system. CIP authority was transferred to new § 438 of the Social Security Act. Child and Family Services Improvement and Innovation Act P.L. 112-34 extended CIP through 2016.	\$203,661.00
2	US Dept. of Health & Human Services FEDERAL	Court Improvement Program Training Grant	10/01/2017-09/30/2018	CSCIPTRAINING17	Appropriated through §438 of the Social Security Act to provide training to judges, attorneys and other stakeholders in the child welfare system to improve the outcomes of children and families.	\$182,853.00

#	Grantor Name	Program Name	Grant Period	Other Identifying #	Grant Description	\$ Funding Amount
3	US Dept. of Health & Human Services FEDERAL	Court Improvement Program Data Grant	10/01/2017-09/30/2018	CSCIPDATA17	Appropriated through §438 of the Social Security Act for collecting, analyzing and sharing data concerning the effectiveness of courts and child welfare agencies in meeting safety, well-being and permanency needs of children and families.	\$182,931.00
4	Tennessee Department of Children Services State FEDERAL	Court Training Foster Care	07/01/2017-06/30/2018	CSFOSTrev18	To Provide training to judges, attorneys and other stakeholders in the child welfare system to improve the outcomes of children and families.	\$75,500.00
5	Substance Abuse and Mental Health Services Agency FEDERAL	TEAM Recovery Project	10/1/14 to 9/30/18	5H79SM064167-04-CS12THDRUGCT16	This grant award is from the Substance Abuse and Mental Health Services Agency to implement TN's Treatment, Empowerment, and Assistance & Meaningful Recovery (TEAM Recovery) project. TEAM Recovery provides individualized, evidence-based, integrated treatment to adults (18+) in four rural counties (Franklin, Grundy, Marion and Sequatchie) who have behavioral health disorders and are engaged with the criminal justice system.	\$1,390,000.00
6	Tennessee Commission on Children and Youth- Juvenile Accountability Block Grant FEDERAL	Juvenile Justice Training Program	07/01/2017-9/30/2018	31601-15001-CSJUVACCTBLGR17	This grant provides scholarships to existing training outside the Administrative Office of the Courts as well as the development, coordination and execution of Juvenile and Family Court Judges training on juvenile justice delinquency prevention.	\$50,000.00

#	Grantor Name	Program Name	Grant Period	Other Identifying #	Grant Description	\$ Funding Amount
7	Governor's Highway Safety Office National Highway Safety, Transportation Administration FEDERAL	Integrated Criminal Justice Program Integrated Criminal Justice Portal	10/1/17-9/30/18	CFDA - 20.616 Z15GHS392- CSICJPORTACC15 Edison ID #56130	This grant is to pay for authorized law enforcement agencies and agencies for justice annual subscription fees to the Tennessee Integrated Criminal Justice Portal.	\$83,000.00
8	TN Dept. of Human Services FEDERAL	Title IV-D Child Support Adjudication	7/1/2014-6/30/2018	CSCSMAGISTSER14	This grant is for the provision of services to adjudicate child support cases filed by the TN Dept. of Human Services pursuant to Title IV-D of the SSA. (This grant had an addendum extra year added after 6/30/17 through 06/30/18)	\$8,647,122.00
9	TN Dept. of Human Services FEDERAL	Access & Visitation	10/1/2017-9/30/2018	CSACCESSVISIT17	The TN Department of Human Service, Child Support Division, awarded this grant. This grant is for the development of or continuation of initiatives that will aid self-represented litigants in accessing the TN court system regarding child support issues. The initiatives address the needs of divorced or never married parents and focus on services to help them resolve any or all issues concerning parenting and visitation in child support cases or cases involving child support issues.	\$182,270.00
10	State Justice Institute FEDERAL	State Justice Institute	07/01/2017-06/30/2018	SJI-15-T-190- CSSJITECHASSIST	State Justice Institute Technology Assistance Grant will provide one business analyst to conduct initial analysis of technology project for the development of a General Session's Court state wide data repository.	\$50,000.00
						<b>\$11,047,337.00</b>

#	Grantor Name	Program Name	Grant Period	Other Identifying #	Grant Description	\$ Funding Amount TOTAL FFA
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**Schedule of Federal Financial Assistance  
Administrative Office of the Courts  
Projected Grants 2018-2019**

#	Grantor Name	Program Name	Grant Period	Other Identifying #	Notes	\$ Funding Amount
1	US Dept. of Health & Human Services FEDERAL	Court Improvement Program Basic Grant	10/01/18-9/30/19	CSCIPBASIC17	CIP was created as part of the OBRA of 1993. Grants were provided to state court systems to assess foster care laws and judicial processes, and to develop and implement a plan for improvement. ASFA of 1997, P.L. 105-89, reauthorized the CIP through 2001. The Promoting Safe and Stable Families Amendments of 2001, P.L. 107-133, reauthorized CIP through FY 2006 and expanded CIP: (1) include improvements necessary to provide for the safety, well-being, and permanence of children in foster care and (2) implement a corrective action plan, as necessary, in response to findings identified in child and family services review of the State's child welfare system. CIP authority was transferred to new § 438 of the Social Security Act. Child and Family Services Improvement and Innovation Act P.L. 112-34 extended CIP through 2016.	\$204,697.00
2	US Dept. of Health & Human Services FEDERAL	Court Improvement Program Training Grant	10/01/18-9/30/19	CSCIPTRAINING17	Appropriated through § 438 of the Social Security Act to provide training to judges, attorneys and other stakeholders in the child welfare system to improve the outcomes of children and families.	\$183,840.00

#	Grantor Name	Program Name	Grant Period	Other Identifying #	Notes	\$ Funding Amount
3	US Dept. of Health & Human Services FEDERAL	Court Improvement Program Data Grant	10/01/18-9/30/19	CSCIPDATA17	Appropriated through § 438 of the Social Security Act for collecting, analyzing and sharing data concerning the effectiveness of courts and child welfare agencies in meeting safety, well-being and permanency needs of children and families.	\$183,840.00
4	Tennessee Department of Children Services State TN DCS	Court Training Foster Care	07/01/2017-06/30/2018	CSTECHFOSTCARE17	To Provide training to judges, attorneys and other stakeholders in the child welfare system to improve the outcomes of children and families.	\$75,500.00
5	TN Dept. of Human Services FEDERAL	Access & Visitation	10/1/2018-9/30/2019	CSACCESSVISIT18	The TN Department of Human Service, Child Support Division, awarded this grant. This grant is for the development of or continuation of initiatives that will aid self-represented litigants in accessing the TN court system regarding child support issues. The initiatives address the needs of divorced or never married parents and focus on services to help them resolve any or all issues concerning parenting and visitation in child support cases or cases involving child support issues.	\$179,870.00
6	Tennessee Commission on Children and Youth- Juvenile Justice Delinquency & Prevention FEDERAL	Juvenile Justice Training Program	10/01/2018-09/30/2019	31601-15001-CSJUVACCTBLGR18	This grant provides scholarships to existing training outside the Administrative Office of the Courts as well as the development, coordination and execution of Juvenile and Family Court Judges training on juvenile justice delinquency prevention.	\$37,500.00

#	Grantor Name	Program Name	Grant Period	Other Identifying #	Notes	\$ Funding Amount
7	State Justice Institute FEDERAL	State Justice Institute	05/01/18-12/1/18	SJI-15-T-190-CSSJITECHASSIST	State Justice Institute Technology Assistance Grant will provide one business analyst to conduct initial analysis of technology project for the development of a General Session's Court state wide data repository.	\$30,000
8	Tennessee Highway Safety Office National Highway Safety, Transportation Administration FEDERAL	Integrated Criminal Justice Program - ICJ Portal	10-1-17 through 09-30-2018	Edison ID #: 56130	This grant is used to pay authorized law enforcement and justice affiliated agencies annual subscription fees to the Tennessee Integrated Criminal Justice Portal.	\$83,000
	TN Dept. of Human Services FEDERAL	Title VI-D-CHILD Support Adjudication	07/1/18-06/30/19	CSCSMAGISTSER14	This grant is for the provision of services to adjudicate child support cases filed by the TN Dept. of Human Services pursuant to Title IV-D of the SSA.	\$1,771,179.00
						<b>\$ 2,749,426</b>
						<b>TOTAL FFA</b>



# Supreme Court of Tennessee

Administrative Office of the Courts  
Nashville City Center, Suite 600  
511 Union Street  
Nashville, Tennessee 37219  
615 / 741-2687 or 800 / 448-7970  
FAX 615 / 741-6285

DEBORAH TAYLOR TATE  
Director

## Sub-Recipient Title VI Assurance

**Administrative Office of the Courts** assures that no person shall on the grounds of race, color, national origin, or sex, as provided by Title VI of the Civil Rights Act of 1964 and as amended, and the Civil Rights Restoration Act of 1987 (P.L. 100.259) be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity receiving Federal financial assistance from the Tennessee Department of Transportation (TDOT).

**Administrative Office of the Courts** further assures every effort will be made to ensure nondiscrimination in all of its programs and activities, whether those programs or activities are federally funded or not.

In the event **Administrative Office of the Courts** distributes Federal Assistance to a consultant, contractor or subcontractor and other participants, **Administrative Office of the Courts** will include Title VI language in all written agreements and will monitor the consultant, contractor or sub-contractor and other participants for compliance.

The **Administrative Office of the Courts** Title VI Coordinator is responsible for initiating and monitoring Title VI activities, preparing required reports and other responsibilities as required by 23 CFR 200 and 49 CFR 21.

As required by the contractual agreement, **Administrative Office of the Courts** will comply with the applicable laws and regulations relative to nondiscrimination in federally or state assisted programs of the Tennessee Department of Transportation (TDOT).

Deborah Taylor Tate  
Administrative Head

9/20/18

Date

Stephanie J. Holliday  
Title VI Coordinator

9/20/18

Date

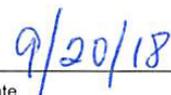
### ASSURANCES

The Applicant hereby assures and certifies compliance with all Federal statutes, regulations, policies, guidelines and requirements, including OMB Circulars No. A-21, A-110, A-122, A-128, A-87; E.O. 12372 and Uniform Administrative Requirements for Grants and Cooperative Agreements-28 CFR, Part 66, Common Rule, that govern the application, acceptance and use of Federal funds for this federally-assisted project. Also the Applicant assures and certifies that:

1. It possesses legal authority to apply for the grant; that a resolution, motion or similar action has been duly adopted or passed as an official act of the applicant's governing body, authorizing the filing of the application, including all understandings and assurances contained therein, and directing and authorizing the person identified as the official representative or the applicant to act in connection with the application and to provide such additional information as may be required.
2. It will comply with requirements of the provisions of the Uniform Relocation Assistance and Real Property Acquisitions Act of 1970 P.L. 91-646) which provides for fair and equitable treatment of persons displaced as a result of Federal and federally-assisted programs.
3. It will comply with provisions of Federal law which limit certain political activities or employees of a State or local unit of government whose principal employment is in connection with an activity financed in whole or in part by Federal grants. (5 USC 1501, et seq.)
4. It will comply with the minimum wage and maximum hours provisions of the Federal Fair Labor Standards Act if applicable.
5. It will establish safeguards to prohibit employees from using their positions for a purpose that is or give the appearance of being motivated by a desire for private gain for themselves or others, particularly those with whom they have family, business, or other ties.
6. It will give the sponsoring agency or the Comptroller General, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the grant.
7. It will comply with all requirements imposed by the Federal Sponsoring agency concerning special requirements of law, program requirements, and other administrative requirements.
8. It will insure that the facilities under its ownership, lease or supervision which shall be utilized in the accomplishment of the project are not listed in the Environmental protection Agency's (EPA-list of Violating Facilities and that it will notify the Federal grantor agency on the receipt of any communication from the Director of the EPA Office of Federal Activities indicating that a facility to be used in the project is under consideration for listing by the EPA.
9. It will comply with the flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973, Public Law 93-234, 87 Stat. 975, approved December 31, 1976. Section 102(a) requires, on and after March 2, 1975, the purchase of flood insurance in communities where such insurance is available as a condition for the receipt of any Federal financial assistance for construction or acquisition purposes for use in any area that had been identified by the Secretary of the Department of Housing and Urban Development as an area having special flood hazards. The phrase "Federal financial assistance" includes any form of loan, grant, guaranty, insurance payment, rebate, subsidy, disaster assistance loan or grant, or any other form of direct or indirect Federal assistance.
10. It will assist the Federal grantor agency in its compliance with Section 106 of the National Historic Preservation Act of 1966 as amended (16 USC 470). Executive Order 11593, and the Archeologies and Historical Preservation Act of 1966 (16 USC 569a-1 et seq.) by (a) consulting with the State Historic Preservation Officer on the conduct of investigations, as necessary, to identify properties listed in or eligible for inclusion in the National Register of Historic Places that are subject to adverse effects (see 36 CFR Part 800.8) by the activity, and notifying the Federal grantor agency or the existence of any such properties, and by (b) complying with all requirements established by the Federal grantor agency to avoid or mitigate adverse effects upon such properties
11. It will comply, and assure the compliance of all its subgrantees and contractors, with the applicable provisions of Title of the Omnibus Crime Control and Safe Streets Act of 1968, as amended, the Juvenile Justice and Delinquency Prevention Act, or the Victims of Crime Act, as appropriate; the provisions of the current edition or the Office of Justice Programs Financial and Administrative Guide for Grants, M7100.1; and all other applicable Federal laws, orders, circulars, or regulations.
12. It will comply with the provisions of 28 CFR applicable to grants and cooperative agreements including Part 18, Administrative Review Procedure; Part 20, Criminal Justice Information Systems; Part 22, Confidentiality of Identifiable Research and Statistical Information; Part 23, Criminal Intelligence Systems Operating Policies; Part 30, Intergovernmental Review of Department of Justice Programs and Activities; Part 42, Non-Discrimination/Equal Employment Opportunity Policies and Procedures; Part 61, Procedures for Implementing the National Environmental Policy Act; Part 63, Floodplain Management and Wetland Protection Procedures; and Federal laws or regulations applicable to Federal Assistance Programs.
13. It will comply, and all its contractors will comply, with the nondiscrimination requirements of the Omnibus Crime Control and Safe Streets Act of 1968, as amended, 42 USC 3789(d), or Victims of Crime Act (as appropriate); Title VI of the Civil Rights Act of 1964, as amended; Section 504 of the Rehabilitation Act of 1973, as amended; Subtitle A, Title II of the Americans With Disabilities Act (ADA) (1990); Title IX of the Education Amendments of 1972; the Age Discrimination Act of 1975; Department of Justice Non-Discrimination Regulations, 28 CFR Part 42, Subparts C, D, E, and G; and Department of Justice regulations on disability discrimination, 28 CFR Part 35 and Part 39.
14. In the event a Federal or State court or Federal or State administrative agency makes a finding of discrimination after a due process hearing on the grounds of race, color, religion, national origin, sex, or disability against a recipient of funds, the recipient will forward a copy of the finding to the Office for Civil Rights, Office of Justice Programs.
15. It will provide an Equal Employment Opportunity Program if required to maintain one, where the application is for 5500.000 or more.
16. It will comply with the provisions of the Coastal Barrier Resources Act (P.L. 97-348) dated October 19, 1982 (16 USC 3501 et seq.) which prohibits the expenditure of most now Federal funds within the units or the Coastal Barrier Resources System.



Signature



Date



DEPARTMENT OF HEALTH AND HUMAN SERVICES

ASSURANCE OF COMPLIANCE

ASSURANCE OF COMPLIANCE WITH TITLE VI OF THE CIVIL RIGHTS ACT OF 1964, SECTION 504 OF THE REHABILITATION ACT OF 1973, TITLE IX OF THE EDUCATION AMENDMENTS OF 1972, THE AGE DISCRIMINATION ACT OF 1975, AND SECTION 1557 OF THE AFFORDABLE CARE ACT

The Applicant provides this assurance in consideration of and for the purpose of obtaining Federal grants, loans, contracts, property, discounts or other Federal financial assistance from the U.S. Department of Health and Human Services.

THE APPLICANT HEREBY AGREES THAT IT WILL COMPLY WITH:

- 1. Title VI of the Civil Rights Act of 1964 (Pub. L. 88-352), as amended, and all requirements imposed by or pursuant to the Regulation of the Department of Health and Human Services (45 C.F.R. Part 80), to the end that, in accordance with Title VI of that Act and the Regulation, no person in the United States shall, on the ground of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity for which the Applicant receives Federal financial assistance from the Department.
2. Section 504 of the Rehabilitation Act of 1973 (Pub. L. 93-112), as amended, and all requirements imposed by or pursuant to the Regulation of the Department of Health and Human Services (45 C.F.R. Part 84), to the end that, in accordance with Section 504 of that Act and the Regulation, no otherwise qualified individual with a disability in the United States shall, solely by reason of her or his disability, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity for which the Applicant receives Federal financial assistance from the Department.
3. Title IX of the Education Amendments of 1972 (Pub. L. 92-318), as amended, and all requirements imposed by or pursuant to the Regulation of the Department of Health and Human Services (45 C.F.R. Part 86), to the end that, in accordance with Title IX and the Regulation, no person in the United States shall, on the basis of sex, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any education program or activity for which the Applicant receives Federal financial assistance from the Department.
4. The Age Discrimination Act of 1975 (Pub. L. 94-135), as amended, and all requirements imposed by or pursuant to the Regulation of the Department of Health and Human Services (45 C.F.R. Part 91), to the end that, in accordance with the Act and the Regulation, no person in the United States shall, on the basis of age, be denied the benefits of, be excluded from participation in, or be subjected to discrimination under any program or activity for which the Applicant receives Federal financial assistance from the Department.
5. Section 1557 of the Affordable Care Act (Pub. L. 111-148), as amended, and all requirements imposed by or pursuant to the Regulation of the Department of Health and Human Services (45 CFR Part 92), to the end that, in accordance with Section 1557 and the Regulation, no person in the United States shall, on the ground of race, color, national origin, sex, age, or disability be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any health program or activity for which the Applicant receives Federal financial assistance from the Department.

The Applicant agrees that compliance with this assurance constitutes a condition of continued receipt of Federal financial assistance, and that it is binding upon the Applicant, its successors, transferees and assignees for the period during which such assistance is provided. If any real property or structure thereon is provided or improved with the aid of Federal financial assistance extended to the Applicant by the Department, this assurance shall obligate the Applicant, or in the case of any transfer of such property, any transferee, for the period during which the real property or structure is used for a purpose for which the Federal financial assistance is extended or for another purpose involving the provision of similar services or benefits. If any personal property is so provided, this assurance shall obligate the Applicant for the period during which it retains ownership or possession of the property. The Applicant further recognizes and agrees that the United States shall have the right to seek judicial enforcement of this assurance.

The person whose signature appears below is authorized to sign this assurance and commit the Applicant to the above provisions.

9/13/17
Date

Signature of Authorized Official
DEBORAH TATE

Please mail form to:

U.S. Department of Health & Human Services
Office for Civil Rights
200 Independence Ave., S.W. Room 509F
Washington, D.C. 20201

Name and Title of Authorized Official (please print or type)
Administrative Office of the Courts
Name of Agency Receiving/Requesting Funding
511 Union St., Ste 610
Street Address
Nashville, TN 37219
City, State, Zip Code

## 8. Data Collection and Analysis

Each grant manager at the AOC collects data through the voluntary completion by beneficiaries of registration forms, evaluation forms, or other forms associated with the program. Grant managers collect data by grant or for the larger grants by program within a grant.

Beneficiaries are statewide. Census data is not applicable.

### Racial and Ethnic Data for Beneficiaries

<b>FEDERALLY ASSISTED PROGRAM OR SERVICE</b>	<b>Hispanic</b>	<b>White</b>	<b>Black</b>	<b>Asian</b>	<b>Native American</b>	<b>Pacific Islander</b>	<b>Other</b>	<b>Unknown</b>	<b>TOTAL</b>
Court Improvement Program	75	1032	579	12	4	0	19	0	1721
Juvenile Court Training Project	0	71	24	0	0	0	0	0	95
Access & Visitation Grant	79	480	530	10	2	2	44	16	1163
Tennessee Highway Safety Office (THSO)	271	15531	1564	67	27	28	125	0	17613
<b>TOTALS</b>	<b>425</b>	<b>17114</b>	<b>2697</b>	<b>89</b>	<b>33</b>	<b>30</b>	<b>188</b>	<b>16</b>	<b>20592</b>
<b>AGENCY STAFF*</b>	<b>Hispanic</b>	<b>White</b>	<b>Black</b>	<b>Asian</b>	<b>Native American</b>	<b>Pacific Islander</b>	<b>Other</b>	<b>Unknown</b>	<b>TOTAL</b>
Administrative Office of the Courts	3	67	10	2	0	2	0	0	84
Child Support	0	24	0	0	0	0	0	0	24
<b>TOTALS</b>	<b>3</b>	<b>91</b>	<b>10</b>	<b>2</b>	<b>0</b>	<b>2</b>	<b>0</b>	<b>0</b>	<b>108</b>
<b>Staff Percentages by Race</b>	<b>2.7%</b>	<b>84.2%</b>	<b>9.2%</b>	<b>1.8%</b>	<b>0</b>	<b>1.8%</b>	<b>0</b>	<b>0</b>	<b>100th</b>

\*All staff is executive service. The District Presiding Trial Court Judge appoints Child Support Magistrates.

## 9. Limited English Proficiency (LEP)

### **Tennessee Court System LEP Policy and Procedure and Language Access Plan:**

In an effort to provide all individuals with equal access to the judicial system, the Administrative Office of the Courts created the Court Interpreter Credentialing Program pursuant to Supreme Court Rule 42. This program tests each interpreter's ability to understand English terminology and accurately interpret it into the languages spoken by persons with limited English proficiency. Upon completing the required examinations, workshops, and criminal background checks, the interpreters are added to a roster that is distributed periodically to the courts and updated frequently on the office's website. The Court Interpreter Credentialing Program is a member of the Consortium for Language Access in the Courts. The Administrative Office of the Courts utilizes the Consortium's Written Examination and Oral Examination as well as Language Testing International's Oral Proficiency Interview (OPI) and ALTA Languages Services, Inc. for language proficiency in the target language and English. Additionally, the Administrative Office of the Courts sought and obtained funding from the General Assembly, effective July 1, 2012, for interpreter services for criminal and civil court hearings whether or not the parties are indigent.

For fiscal year July 1, 2017 – June 30, 2018, the written examination was offered two days in July 2017, October 2017, April 2018, and January 2018. The written examination was offered one day in August 2017, and March 2018. The OPI (oral proficiency interview) is offered two days per month and can be taken in Jackson, Memphis, Nashville, Chattanooga, and Knoxville. The Court Interpreter credentialing program administered the Spanish oral examination for registered interpreters in September 2017 and February 2018. Registered LOS (languages other than Spanish) interpreters were offered September 2017 and February 2018.

The Language Access Plan for the court system can be found on the AOC website at: [http://www.tncourts.gov/sites/default/files/docs/final\\_tennessee\\_statewide\\_lep\\_plan\\_10-30-12.pdf](http://www.tncourts.gov/sites/default/files/docs/final_tennessee_statewide_lep_plan_10-30-12.pdf)

### **Administrative Office of the Courts LEP Policy and Procedure and Language Access Plan:**

The AOC has separate language access procedures for LEP callers/visitors to the office. A copy of the AOC LEP Procedures follows:



# *Administrative Office of the Courts*

Nashville City Center, Suite 600  
511 Union Street  
Nashville, Tennessee 37219  
615 / 741-2687 or 800 / 448-7970  
FAX 615 / 741-6285

Deborah Taylor Tate  
Director

## **MEMORANDUM**

**TO:** All AOC

**FROM:** **Stephanie J. Holliday**  
**Title VI Coordinator**

**DATE:** **April 10, 2018**

**RE:** **UPDATED Non-English Speaking Visitors or Phone Calls**



To assure that we are able to effectively communicate with the public, please review and become familiar with the following internal AOC procedures.

If a Non-English speaking person (LEP individual) comes to the office and you do not know what language they speak, use the "I Speak" pages (attached), and ask them to point to the language they speak. The "I Speak" pages are posted in the receptionist area.

The following employees are bi-lingual and agreed to interpret if needed:

Laura Hood - Spanish  
Connor Stephens – German  
Astrid Cariani - German

Immediately contact one of the following employee volunteers, (based on the LEP language need), and ask them for assistance interpreting for the LEP individual.

If the LEP individual speaks a language other than, those identified above, or if one of the volunteer interpreters is not available, contact Ryan Mouser. Ryan will contact the Language Line and to connect with an interpreter and stay on the line assist in meeting the visitor/caller need. Should the caller/visitor need assistance that they are unable to provide, Ryan will contact the appropriate staff member and add to the conversation.

Should Ryan be unavailable to assist, any employee can contact the Language Line by

1. Choose the “conference call” mode on the telephone
2. Dial **9-1-866-874-3972**
3. Follow instructions to input language as advised
4. Input the client ID Number: **518185** when asked
5. Wait for the interpreter to answer and push “yes” on your phone panel to connect the interpreter and the caller.

Tips for optimizing the experience for all parties involved in the conversation –

- **UNKNOWN LANGUAGE** – If you do not know which language to request, the language line representative will help you.
- **LINE QUALITY PROBLEMS** – Explain the problem and ask the representative to stay on the line to check for sound quality.
- **WORKING WITH AN INTERPRETER** – Give the Interpreter specific questions to relay. Group your thoughts or questions to help the conversation flow quickly.
- **LENGTH OF CALL** – Expect interpreted comments to run a bit longer than English phrases. Interpreters convey meaning-for-meaning, not word-for-word. Concepts familiar to English speakers often require explanation or elaboration in other languages or cultures.
- **INTERPRETER IDENTIFICATION** – Our Interpreters identify themselves by first name and number only for reasons of confidentiality, they do not divulge either their full names or phone number.
- **DEMONSTRATION LINE** - To hear a recorded demonstration of over-the-phone interpretation call the Language Line demonstration line at 1-800-996-8808 or visit their website at [www.LanguageLine.com](http://www.LanguageLine.com).

If you have questions regarding the procedures, please speak with Stephanie J. Holliday or Mary Rose Zingale.

## Tennessee Court System

The AOC, as noted above, credentialed interpreters for the Tennessee court system. Contact information or credentialed interpreters pursuant to Supreme Court Rule 42 for assistance with court hearings, can be found on the AOC website at:

<http://www.tncourts.gov/programs/court-interpreters/find-court-interpreter>

As of September 2018, the following languages had the following number of credentialed interpreters:

<b>LANGUAGE</b>	<b>NUMBER OF CERTIFIED INTERPRETERS</b>
Arabic	2
Japanese	1
Mandarin Chinese	1
Spanish	55

<b>LANGUAGE</b>	<b>NUMBER OF REGISTERED INTERPRETERS</b>
Farsi	1
German	1
Korean	1
Lao	1
Mandarin Chinese	1
Polish	1
Spanish	18

When interpreters are requested for languages for which there are no Tennessee court credentialed interpreters, the Administrative Office of the Courts reviews the interpreter database it has of those that are not registered or certified and also checks the databases of the Tennessee Foreign Language Institute. If an interpreter cannot be found, the Administrative Office of the Courts then contacts the members of the Council of Language Access Coordinators to see if they have an interpreter. If not, then the AT&T Language Line is consulted.

## Languages Assisted

The AOC recently instituted a totally online invoicing system court interpreters must use to process their invoices for payment. All interpretation for the courts would have most likely been in person (some interpreters may have called in for the hearings) Data collected from this invoicing program shows that interpreters have provided interpretation for the following languages for which the AOC has been billed for fiscal year 2016-17:

Language	Number of claims
AMHARIC	14
ARABIC	286
BENGALI	3
BOSNIAN	1
BURMESE	53
CHINESE	7
CHUJ	1
CROATIAN	2
DANISH	1
FARSI	18
FRENCH	23
GERMAN	1
GUJARATI	5
HAITIAN CREOLE	3
ITALIAN	3
KIRUNDI	19
KONJOBAL	2
KOREAN	35
KURDISH	5
LAO	18
MANDARIN CHINESE	78
NEPALI	32
OTHER	30
PANJABI	2
POLISH	1
RUSSIAN	13
SOMALI	19
SPANISH	13812
SWAHILI	42
SYRIAC	1
VIETNAMESE	59
	14,580

## LEP Phone Calls to Administrative Office of the Courts

Spanish	1
Other languages	0
Total:	1

As noted above, there were approximately five instances where the AOC offices needed interpreter assistance. All instances were telephonic contacts and in approximately three instances the need was for the Spanish language and in approximately two instances, the need was in the Laotian language.

### List of Translated Documents

The AOC does not have specific AOC departmental documents that have been translated and available to the public. However, the AOC has had translated many court documents that can be found on the AOC website. These documents include:

Parenting Plan forms - in English, Spanish, Korean and Vietnamese found at: <http://www.tncourts.gov/programs/parenting-plan/forms>

Orders of Protection forms – in English, Spanish, Korean, Vietnamese, Russian, Somali, and Arabic found at: <https://www.tncourts.gov/node/305439>

Divorce without children forms – in English and Spanish found at: <https://www.tncourts.gov/help-center/court-approved-divorce-forms>

In addition, the Justice for all AOC website can be translated into different languages at the click of a button: <http://justiceforalltn.com/>

### LEP Challenges and Goals

To achieve the goal of providing meaningful access to the courts, the Administrative Office of the Courts continually revises bench cards for the judges and we provided these to all newly elected/appointed judges at the Judicial Academy held in February 2017. The Administrative Office of the Courts has also revised information cards for clerks and attorneys, this information can be found on our website at <http://www.tncourts.gov/programs/court-interpreters>

In addition to providing the courts with qualified interpreters, the Administrative Office of the Courts has provided each judicial district with at least one set of simultaneous interpreting equipment. The equipment improves the court participant's ability to hear and understand the interpreter and provides the interpreter with the flexibility to move around the courtroom when necessary. This equipment is updated and replaced as needed.

The Administrative Office of the Courts continues making an effort to increase the number of languages, other than Spanish (LOS) interpreters, by collaborating with various community organizations including many diverse immigrant associations, Catholic charities, Tennessee Foreign Language Institute, university foreign language departments, and the Tennessee Association of Professional Interpreters and Translators (TAPIT).

The AOC also has a presence on the national scene on these issues as a member of the Council of Language Access Coordinators and is involved in the program development for the annual conference of this Council.

## 10. Complaint Procedures

### **Title VI Complaints:**

**No complaints received.** There are no pending lawsuits against the department alleging discrimination on the basis of race, color or national origin under any federally funded program or activity.

### **Complaint Procedures:**

Any person alleging discrimination based on race, color or national origin has a right to file a complaint within 180 days of the alleged discrimination. At the complainant's discretion, the complaint may be filed with (1) the Title VI Coordinator of the Administrative Office of the Courts, (2) the appropriate federal agency (3) the recipient agency (4) the TN Human Rights Commission. It is not necessary to know the identity of the complainant, as long as the information is sufficient to determine the identities of the recipient and indicates the possibility of a violation.

Complaints should be handled within 90 days of their receipt. A letter should be sent to the complainant acknowledging receipt of the complaint. The complainant is contacted by phone to gather additional information regarding the complaint as a preliminary inquiry.

If the information resulting from the preliminary inquiry does not contain a sufficient basis to proceed with an investigation, the Title VI Coordinator will send correspondence to the complainant explaining the steps taken and the outcome of the preliminary inquiry. The complaint file is closed.

If the preliminary inquiry contains a sufficient basis for the complaint, then an investigation shall be initiated. An investigator or investigative team will be assembled and an investigation launched. Unless, based on the nature of the complaint, it is inappropriate the Title VI Coordinator will serve as the chief investigator of Title VI complaints. In situations where a specific court is the subject of the investigation, a staff attorney in the surrounding area may conduct the investigation. Following the investigation, a report of findings will be prepared. If appropriate, the report will contain a conclusion and recommendation. The AOC Director will review the report of findings and recommendation and make a determination for the disposition of the complaint. Requested information will be compiled and submitted to the THRC Title VI Office for review.

Upon receipt of guidance from the THRC Title VI a letter will be sent to the complainant describing the outcome of the investigation.

The AOC will comply with the complaint reporting requirements of the TN Human rights Commission. Complaint files are kept for ten years and maybe reviewed by appropriate state and federal officials upon request to the AOC.

**Civil Rights Complaint Form:**



# *Supreme Court of Tennessee*

Administrative Office of the Courts  
Nashville City Center, Suite 600  
511 Union Street  
Nashville, Tennessee 37219  
615 / 741-2687 or 800 / 448-7970  
FAX 615 / 741-6285

**DEBORAH TAYLOR TATE**  
Director

## **COMPLAINT UNDER CIVIL RIGHTS ACT OF 1964**

**TO:** ADMINISTRATIVE OFFICE OF THE COURTS

I, \_\_\_\_\_, hereby file an official complaint against  
\_\_\_\_\_ located at \_\_\_\_\_.

Complainant's Name: \_\_\_\_\_

Complainant's Address: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Phone Number: \_\_\_\_\_

Basis of Complaint: \_\_\_\_\_

Describe the nature of the Complaint (includes as many details as possible):

Date(s) of Alleged Discrimination: \_\_\_\_\_

Signature of Complainant: \_\_\_\_\_

**NOTE: Attach additional pages as needed. Also attach any additional information that is relevant to his complaint.**

**AOC Title VI Complaint Log**

**Date Received**      **Complainant**      **Log #**

No complaints received for 2017-2018

## 11. Title VI Training Plan

The AOC developed on-line Power Point training for Title VI. The agenda contains an overview of Title VI of the Civil Rights Act of 1964, information about protected classes, and key definitions; examples of discriminatory practices relative to the grants awarded to the AOC, policies and procedures including the non-discrimination policy; complaint procedures and Limited English Proficiency (LEP), an overview of the issue facing the court system regarding court interpreters; public notice and outreach; and reporting obligations.

Also included in the training package are a “Quick Facts” document and a post-test powered by Survey Monkey. The post-test allows participant answers to be saved and it also requires the name of each person for verification purposes. We are pleased with the responses we have received from employees and sub-recipients who have completed the training package.

In addition to the on-line Power Point, staff also receives updates and reminders by email concerning LEP procedures and other Title VI matters.

**Out of 108 staff 108 or 100% completed Title VI training. Out of 19 federally funded sub-recipients/contractors 19 or 100% completed Title VI training.**

Title VI Training for the 2017-2018 year was handled through the on-line Power Point training and associated on-line post-test. Using technology as the training vehicle allows employees and sub-recipients to access the training at a convenient time and has increased the number of individuals trained.

## Title VI Power Point Training Slides:



Tennessee Administrative  
Office of the Courts

Compliance with Title VI of the  
Civil Rights Act of 1964

### Purpose of Training

- To ensure all AOC management, staff, subrecipients, contractors, and service beneficiaries are aware of the provisions of Title VI of the Civil Rights Act of 1964 and the minimum requirements to be in compliance with its rules, laws, and regulations.
- Title VI regulations require agencies to provide civil rights training for staff and assign sufficient personnel to ensure effective enforcement. Periodic training should be designed to develop awareness and sensitivity in carrying out federally funded programs.

### What is Title VI?

*Title VI of the Civil Rights Act of 1964 (42 U.S.C. 2000d) -*

No person in the United States shall, on the grounds of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving Federal financial assistance.

### Title VI Program Compliance

*Purpose:* To verify that all federal fund recipient state agency entities comply with Title VI of the Civil Rights Act of 1964.

- TCA §4-21-209 requires the Tennessee Human Rights Commission to review Title VI monitoring and enforcement procedures, and
- Periodically audit, review, evaluate and report on Title VI compliance efforts and outcomes for each executive branch department and agency.
- Recipients are required to audit, review, evaluate and report on Title VI compliance efforts and outcomes of all its subrecipients and beneficiaries of federal funds.

### Definitions

- Federal Financial Assistance (FFA) - Award or grant money; loans below fair market value or subsidies; any federal agreement, arrangement, or other contract which has as one of its purposes the provision of assistance; others.
- Recipient - Primary recipients include state entities required or authorized to extend FFA to another recipient or subrecipient for the purpose of carrying out a program.

### Definitions (cont.)

- Subrecipient - any entity or individual that receives FFA from a primary recipient to carry out a program. Sometimes assistance is distributed to an ultimate beneficiary.
- Contractor - any entity or individual who provides any function or service that requires the performance or delivery of assistance to beneficiaries under the terms of a contract with a state entity.

### To Comply with Title VI

Subrecipients/Contractors must:

- Appoint a Title VI Coordinator;
- Complete Title VI Training Provided by the AOC;
- Provide Title VI Training for all employees (May utilize the AOC Title VI Training);
- Develop a Title VI Policy Statement and post in visible areas;

### To Comply with Title VI (cont.)

- Acquire signed Title VI assurances;
- Monitor ethnicity of subrecipients (subcontractors) and beneficiaries of FFA; and
- Include Title VI Assurances in all contracts.

### Discriminatory Practices Under Title VI

- Denying an individual any program services, financial aid, or benefits;
- Providing a different service, aid, or benefit, or providing them in a manner different than they are provided to others; or
- Segregating or treating individuals separately in any matter related to receiving any program service, aid, or benefit.

### Disparate Treatment vs. Disparate Impact

- Disparate treatment means discrimination against an individual.
- Disparate impact means discrimination that occurs as a result of a neutral policy which appears harmless on the surface, but negatively affects a group of people.

### Retaliation

Retaliation occurs when a recipient or another person intimidates, threatens, coerces, or discriminates against any individual for the purpose of interfering with any right or privilege secured by Title VI, or because a person made a complaint, testified, assisted, or participated in any manner in an investigation or proceeding under Title VI.

*THRC Rule 1500-01-03-.06(3)(c) & 28 CFR 42.107*

### Develop a Public Participation Plan

Engage the Public with the opportunity to make them aware of projects or services and to provide input in the decision-making process through:

- Public Meetings/Hearings in centralized locations;
- Advertisement with Local Media Resources and Minority Newspapers;
- Direct Mailings;
- Public Service Announcements;
- Website, and
- Radio and Television.

## Minority Representation on Planning Boards & Commissions

The inclusion of minorities on planning boards and commissions is critical in establishing an equal access planning system. Subrecipients cannot "deny a person the opportunity to participate as a member of a planning, advisory, or similar body which is an integral part of the program."

## Have a Written Title VI Complaint Process and Complaint Log

### To Include:

- How to file a complaint;
- Instructions that the complaint must be filed within 180 days of the alleged occurrence or when the alleged discrimination became known to the complainant;
- Procedure stating that the complaint must be in writing and signed by the person making the complaint;
- Process for determining the jurisdiction, acceptability, and the need for additional information upon receipt in order to investigate the merits;
- Instructions that complaints filed against the subrecipient should be forwarded to the AOC Title VI Coordinator for investigation;
- Commitment to take final action within 90 days; and
- Provide appeal instructions.

## Executive Order 13166

### Limited English Proficiency (LEP)

EO 13166 requires Federal agencies to examine the services they provide, identify any need for services to those with limited English proficiency (LEP), and develop and implement a system to provide those services so LEP persons can have meaningful access to them.

## Have a Limited English Proficiency (LEP) Plan

### Who are LEP Persons?

Persons who do not speak English as their primary language, and who have a limited ability to read, speak, write or understand English.

## Take Reasonable Steps to Ensure Meaningful Access to Programs and Activities of LEP Persons by Determining:

1. Number or proportion of LEP persons;
2. Frequency of contact with the program or activity;
3. Nature and importance of the program; and
4. Resources available.

## Evaluate Current Practices

- ◆ Identify actions already being taken and existing tools that can be used to provide meaningful access;
- ◆ Inventory existing materials that have been translated into other languages;
- ◆ Develop staff awareness, and
- ◆ Prepare a response Plan.



## Non-Compliance

Failure or refusal to comply with Title VI of the Civil Rights Act of 1964, other applicable Civil Rights Laws, and implementing departmental regulations.

## Sanctions for Non-Compliance

- ◆ Withholding of payments to the recipient under the contract until the recipient complies, and/or
- ◆ Cancellation, termination or suspension of the contract, in whole or in part

## AOC Title VI Contact Information

If you have questions or need additional information regarding Title VI compliance, please contact:

Stephanie J. Holliday  
AOC Title VI Coordinator  
stephanie.holliday@trcourts.gov



## CONGRATULATIONS YOU HAVE JUST COMPLETED TITLE VI TRAINING!

To receive credit for fulfilling the Title VI Training requirement it is necessary to complete the "TITLE VI COMPLIANCE TRAINING SURVEY" at the link below:

<https://www.surveymonkey.com/s/RT65P35>

To assist you in completing the "Title VI Compliance Training a "Quick Facts" document is provided below:

[http://trcourts.gov/sites/default/files/docs/quick\\_facts\\_for\\_subrecipient\\_training.pdf](http://trcourts.gov/sites/default/files/docs/quick_facts_for_subrecipient_training.pdf)

Administrative Group of the Courts

## Title VI Training Quiz:



[Exit this survey](#)

### Administrative Office of the Courts

### Title VI Training Quiz

Administrative Office of the Courts

Title VI Program Training

Note: Please complete the PowerPoint Training and review the Quick Facts document before completing this quiz. It is very important that you answer all questions.

Please enter the following information:

Name:

Name:

Job Title:

Job Title:

Agency Name:

Agency Name:

Email Address:

Email Address:

Office Phone Number:

Office Phone Number:

Who is your AOC Grants Manager?  
NOTE: If AOC employee, type "AOC employee".

Who is your AOC Grants Manager? NOTE: If AOC employee, type "AOC employee".

Title VI of the Civil Rights Act of 1964, states that no person in the United States shall be excluded from participation in any programs, be denied the benefits of, or be subjected to discrimination based on what?

- Title VI of the Civil Rights Act of 1964, states that no person in the United States shall be excluded from participation in any programs, be denied the benefits of, or be subjected to discrimination based on what? a. Religion
- b. Disability
- c. Age
- d. Race, Color or National Origin

How should an AOC grant subrecipient disseminate Title VI information to the public?

- How should an AOC grant subrecipient disseminate Title VI information to the public?

- public? a. Website and Poster
- b. Radio
- c. Minority Community Newspaper, Radio and Television
- d. All of the Above

Who is a Limited English Proficient Person?

- Who is a Limited English Proficient Person? a. A person who does not speak English as their primary language and has the limited ability to speak, write or understand English
- b. A person from the United States that cannot read
- c. A person who does not speak English at all
- d. Answers A and C

What is Non-Compliance?

- What is Non-Compliance? a. Assuring Title VI Compliance is met
- b. Failure or refusal to comply with Title VI of the Civil rights Act of 1964
- c. Putting Title VI Nondiscrimination language in contracts
- d. None of the Above

How does an entity evaluate its current Limited English Proficiency Practices?

- How does an entity evaluate its current Limited English Proficiency Practices? a. Identify actions already being taken and existing tools that can be used to provide meaningful access
- b. Inventory existing materials that have been translated into other languages
- c. Staff awareness and response plan
- d. All of the Above

Subrecipients are required to have a Title VI Coordinator.

- Subrecipients are required to have a Title VI Coordinator. True
- False

Subrecipients are required to provide Title VI training to all new employees and periodic training to current employees.

- Subrecipients are required to provide Title VI training to all new employees and periodic training to current employees. True
- False

Subrecipients must have a mechanism for advising service recipients of their rights under Title VI of the Civil Rights Act of 1964 and how to file a discrimination complaint.

- Subrecipients must have a mechanism for advising service recipients of their rights under Title VI of the Civil Rights Act of 1964 and how to file a discrimination complaint. True
- False

Title VI complaint procedures are required for subrecipients only if they have had a complaint.

- Title VI complaint procedures are required for subrecipients only if they have had a complaint. True
- False

The inclusion of minorities on boards is critical in establishing an equal access oversight system.

- The inclusion of minorities on boards is critical in establishing an equal access oversight system. True
- False

Declaration

Please double check that all 10 questions have been answered before the declaration and submission of this training quiz.

I declare that this training/test was completed by:

- I declare that this training/test was completed by: The Project Director of the entity receiving federal financial assistance from the AOC.
- An employee of the Project Director of the entity receiving federal financial assistance from the AOC, or
- An employee of the AOC.

Type name for the declaration:

Type name for the declaration:

Date of Declaration:

	MM	DD	YYYY
	<input type="text"/>	<input type="text"/>	<input type="text"/>
Date of Declaration:	/	/	
Date of Declaration:	Day	Year	
Date of Declaration:	Month		

ATTENTION:

- If you are an AOC employee, click done and you have completed the survey.
- If you are a project director make a copy of this document before clicking done. The copy must be placed in the grant file.
- If you are an employee of a project director please give the copy to the project director for placement in the grant file.

THANK YOU!!!

Done

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## 12. Sub-Recipient monitoring

The Administrative Office of the Courts, its contractors or Sub-recipients, shall make available any compliance report for review by the TN Human Rights Commission upon request. A listing of all sub-recipients, contractors and vendors is provided below. The information is also provided on an Excel spreadsheet on the CD-copy.

For the fiscal year 2017-2018 all sub-recipients were required to complete the AOC Title VI Power Point Training and provide verification through the completion of an on-line post-test.

The training requirement for 2017-2018 was very successful as is evidenced by the number of sub-recipients who completed the training and the number of correct answer by each participant on the post-test. In the current fiscal year the training requirement will remain the same as the previous year.

### **Excerpts of Contractual Provisions Prohibiting Discrimination agreed to by Sub-recipients, contractors, and/or vendors of the department or agency:**

**Request for Proposal:** No person shall be excluded from participation in, be denied benefits of, or be otherwise subjected to discrimination in the performance of a Contract pursuant to this RFP or in the employment practices of the Contractor on the grounds of handicap or disability, age, race, color, religion, sex, national origin, or any other classification protected by federal, Tennessee state constitutional, or statutory law. The Contractor pursuant to this RFP shall, upon request, show proof of such nondiscrimination and shall post in conspicuous places, available to all employees and applicants, notices of nondiscrimination.

**Contract: Nondiscrimination.** The Grantee hereby agrees, warrants, and assures that no person shall be excluded from participation in, be denied benefits of, or be otherwise subjected to discrimination in the performance of this Grant Contract or in the employment practices of the Grantee on the grounds of disability, age, race, color, religion, sex, national origin, or any other classification protected by Federal, Tennessee State constitutional, or statutory law. The Grantee shall, upon request, show proof of such nondiscrimination and shall post in conspicuous places, available to all employees and applicants, notices of nondiscrimination. The grantee also warrants that it agrees, warrants, and assures that it will comply with all federal and state laws concerning civil rights. Grantee specifically warrants that it will make reasonable modifications as may be necessary under the Americans with Disabilities Act to ensure access or participation to its programs for individuals with qualified disabilities.

Grantee will provide all forms as requested by Administrative Office of the Courts to include but not be limited to, forms for compliance with federal grant requirements and forms for compliance with any audit requirements including but not limited to racial and ethnic data demonstrating the extent to which the members of minority groups are beneficiaries of the services. Grantee will also provide Title VI training to all staff members and to any sub-recipients of this grant contract. The Grantee hereby agrees to provide to the Grantor specific information regarding the Title VI training (such as the extent and content of the training, the dates training was provided, and the number of staff attending the training) upon request of the Grantor. The Grantee further agrees to participate in Title VI Training provided by the Grantor.

**A. Pre-Award Procedures:**

New sub-recipients and contractors are required to sign a “statement of assurances” as well as complete a pre-award survey. The grants manager as a part of the grant award process reviews all Pre-Assessment Surveys. Completion of a Pre-Award Survey is required at the beginning of each new grant contracting cycle. In many instances, a contract is for more than one year. Unless the information contained in the returned self-reporting tool is incomplete or not adequate, or we have reason to suspect that the sub-recipient/contractor is misrepresenting the information, we do not request field or on-site compliance reviews during the initial stages of the contractual relationship. Should we become aware of any issues a compliance team, including the Title VI Coordinator, will initiate an on-site compliance review.

Fourteen (14) contractors/sub-recipients completed a “statement of assurances” during the 2017-2018 fiscal year. Contractors/sub-recipients that completed a “statement of assurances” is identified on the chart beginning on page 45 of this document.



**Administrative Office of the Courts**  
**Title VI Grant Pre-Award Survey**

Enter Date of Survey \*

MM DD YYYY  
Enter / /  
Date Day Year  
of  
Survey Date  
Month

Name of Entity: \*

\_\_\_\_\_  
Name of Entity:

Name of Title VI Coordinator \*

\_\_\_\_\_  
Name of Title VI Coordinator

Completing this survey in response to: (Name of Grant) \*

\_\_\_\_\_

Completing this survey in response to: (Name of Grant) \_\_\_\_\_

\*

**1. Is your organization minority-owned or run by minority individuals?**

• 1. Is your organization minority-owned or run by minority individuals? Yes  
• No

**If yes, identify the race(s) of the owner or individual(s) running the organization. (Please see "Definitions of Race & Ethnicity Categories" at the bottom of this survey)\*\***

\_\_\_\_\_

**If yes, identify the race(s) of the owner or individual(s) running the organization. (Please see "Definitions of Race & Ethnicity Categories" at the bottom of this survey)\*\***

\_\_\_\_\_

**If no, what are the percentages of the racial composition of the board or advisory group? (Please see "Definitions of Race & Ethnicity Categories" at the bottom of this survey)\*\***

If no, what are the percentages of the racial composition of the board or advisory group? (Please see "Definitions of Race & Ethnicity Categories" at the bottom of this survey)\*\*

Hispanic or Latino	_____
White (not Hispanic or Latino)	_____
Black or African American (not Hispanic or Latino)	_____
Native Hawaiian or Other Pacific Islander (not Hispanic or Latino)	_____
Asian (not Hispanic or Latino)	_____
American Indian or Alaska Native (not Hispanic or Latino)	_____
Two or More Races (not Hispanic or Latino)	_____

What steps are being taken to obtain minority representation, if in your geographic service area, minorities represent 5% of the population or more?

What steps are being taken to obtain minority representation, if in your geographic service area, minorities represent 5% of the population or more?

**2. Nondiscrimination Policies: Does your institution have a written policy stating that services or opportunities will be provided to all persons without regard to race, color, or national origin?**

- 2. Nondiscrimination Policies: Does your institution have a written policy stating that services or opportunities will be provided to all persons without regard to race, color, or national origin? Yes
- No

**3. Are permanent records kept of all Title VI complaints?**

- 3. Are permanent records kept of all Title VI complaints? Yes
- No

**4. In the past 12 months, has your entity/institution received any complaints alleging a Title VI violation? If yes, attach a description of the nature of the complaint and its disposition.**

- 4. In the past 12 months, has your entity/institution received any complaints alleging a Title VI violation? If yes, attach a description of the nature of the complaint and its disposition. Yes
- No

**5. Are Title VI information and non-discrimination notices disseminated to your employees or other beneficiaries of services?**

- 5. Are Title VI information and non-discrimination notices disseminated to your employees or other beneficiaries of services? Yes
- No

**If yes, describe how employees and/or beneficiaries are informed (posters displayed, brochures displayed, etc.)**

If yes, describe how employees and/or beneficiaries are informed (posters displayed, brochures displayed, etc.)

**Do the notices contain contact information if someone has a Title VI or discrimination complaint?**

- Do the notices contain contact information if someone has a Title VI or discrimination complaint? Yes
- No

**6. Do you have written policies and procedures addressing Title VI?**

- 6. Do you have written policies and procedures addressing Title VI? Yes
- No

**7. How do you ensure that minorities are effectively made knowledgeable about your services?**

**7. How do you ensure that minorities are effectively made knowledgeable about your services?**

**8. When did you last conduct Title VI training for your staff?**

MM DD YYYY  
 / /  
 S Day Year  
 Date  
 When did you last conduct Title VI training for your staff?  
 Date  
 Month

**How often do you provide the training/refreshment training to your staff?**

How often do you provide the training/refreshment training to your staff?

**9. Please indicate, as of this date, the percentages of the racial composition of those that currently receive your program's services. Enter zero if your program does not provide services. (Please see "Definitions of Race & Ethnicity Categories" at the bottom of this survey)\*\***

- 9. Please indicate, as of this date, the percentages of the racial composition of those that currently receive your program's services. Enter zero if your program does not provide services. (Please see "Definitions of Race & Ethnicity Categories" at the bottom of this survey)\*\* Hispanic or Latino

- White (not Hispanic or Latino)
- Black or African American (not Hispanic or Latino)
- Native Hawaiian or Other Pacific Islander (not Hispanic or Latino)
- Asian (not Hispanic or Latino)
- American Indian or Alaska Native (not Hispanic or Latino)
- Two or More Races (not Hispanic or Latino)

**10. Please indicate as of this date, the percentages of the racial composition of your program's staff. (Please see "Definitions of Race & Ethnicity Categories" at the bottom of this survey)\*\***

- 10. Please indicate as of this date, the percentages of the racial composition of your program's staff. (Please see "Definitions of Race & Ethnicity Categories" at the bottom of this survey)\*\* Hispanic or Latino
- White (not Hispanic or Latino)
- Black or African American (not Hispanic or Latino)
- Native Hawaiian or Other Pacific Islander (not Hispanic or Latino)
- Asian (not Hispanic or Latino)
- American Indian or Alaska Native (not Hispanic or Latino)
- Two or More Races (not Hispanic or Latino)

**11. Please indicate, as of this date, the percentages of the racial composition of your program's volunteers. Enter zero if your program does not use volunteers. (Please see "Definitions of Race & Ethnicity Categories" at the bottom of this survey)\*\***

- 11. Please indicate, as of this date, the percentages of the racial composition of your program's volunteers. Enter zero if your program does not use volunteers. (Please see "Definitions of Race & Ethnicity Categories" at the bottom of this survey)\*\* Hispanic or Latino

## B. Post-Award Procedures:

**Post Award** surveys were completed and returned. The assigned grants manager reviewed every returned survey for compliance.

In this reporting year every sub-recipient and contractor was sent a post-award survey, which provided questions about the total number of staff trained in Title VI, the dates training was offered, a copy of the agenda and the method used to deliver the training. Survey and activity reports submitted by sub-recipients/contractors are used to determine if an on-site review is needed. Each grant manager is responsible for assuring compliance utilizing these tools as well as other oral and written communications with sub-recipients/contractors. During the 2017-2018 fiscal year there were no indicators that an on-site review was necessary.



Exit this survey

### Administrative Office of the Courts Title VI Post Award Survey

-This survey must be completed annually by each facility or agency subrecipient or contractor obtaining grant assistance from the Administrative Office of the Courts.  
-The survey must be completed at one sitting. If you exit the survey while partially complete all information provided will be deleted. You may review or print the survey prior to completing it so that required information can be assembled.  
-Questions that begin with an asterisk (\*) are required.  
-The completed document must be submitted electronically by clicking DONE at the end of the survey.

**1. Administrative Information**

Administrative Information Date of Survey:

Name of Agency/Facility:

Name of the Agency/Facility Head and Title:

Name of the Agency/Facility Compliance Designee for Title VI:

Name of the Grant(s) Received from the Administrative Office of the Courts:

**2. What is the racial composition of your agency employees? \*\*A definition of each race is at the end of the survey.**

What is the racial composition of your agency employees? \*\*A definition of each race is at the end of the survey. Hispanic or Latino

White (not Hispanic or Latino)

Black or African American (not Hispanic or Latino)

Native Hawaiian or Other Pacific Islander (not Hispanic or Latino)

American Indian or Alaska Native (not Hispanic or Latino)

Two or More Races (not Hispanic or Latino)

TOTAL EMPLOYEES

**3. Does your agency/facility have a Governing Board or Advisory Group? (If yes answer questions 4, 5, and 6, if no skip to question 7.)**

Does your agency/facility have a Governing Board or Advisory Group? (If yes answer questions 4, 5, and 6, if no skip to question 7.) Yes

No

**4. How is the Governing Board or Advisory Group appointed?**

How is the Governing Board or Advisory Group appointed? By staff

By general membership

By agency/facility owner

By agency head or facility administrator

Appointed by action of the Supreme Court, State Legislature, County Commission, Municipal Council or other elected body

As required by grantor agency

**5. What is the racial composition of the Governing Board or Advisory Group? \*\*A definition of each race is at the end of the survey.**

What is the racial composition of the Governing Board or Advisory Group? \*\*A definition of each race is at the end of the survey. Hispanic or Latino

White (not Hispanic or Latino)

Black or African American (not Hispanic or Latino)

Native Hawaiian or Other Pacific Islander (not Hispanic or Latino)

American Indian or Alaska Native (not Hispanic or Latino)

Two or More Races (not Hispanic or Latino)

**TOTAL MEMBERS**

**6. What steps are taken to obtain minority representation on the Governing Board or Advisory Group? (Answer required if in your geographic service area, minorities represent 5% of the population or more)**

What steps are taken to obtain minority representation on the Governing Board or Advisory Group? (Answer required if in your geographic service area, minorities represent 5% of the population or more) \*

7. Policies and Contracts

	Yes	No
Does your agency/facility have a written policy stating that services will be provided to all persons without regard to race, color, or national origin?	<input checked="" type="radio"/> *Policies and Contracts Does your agency/facility have a written policy stating that services will be provided to all persons without regard to race, color, or national origin? Yes	<input type="radio"/> Does your agency/facility have a written policy stating that services will be provided to all persons without regard to race, color, or national origin? No
Does your agency/facility have a written policy and procedures regarding the provision of Limited English Proficiency for clients who have limited or no English skills?	<input checked="" type="radio"/> Does your agency/facility have a written policy and procedures regarding the provision of Limited English Proficiency for clients who have limited or no English skills? Yes	<input type="radio"/> Does your agency/facility have a written policy and procedures regarding the provision of Limited English Proficiency for clients who have limited or no English skills? No
Does your agency/facility have written procedures for hearing and reviewing Title VI complaints?	<input checked="" type="radio"/> Does your agency/facility have written procedures for hearing and reviewing Title VI	<input type="radio"/> Does your agency/facility have written procedures for hearing and reviewing Title VI

- Families
- Children/teens
- Community
- Indigent Defendants
- Employees
- Other (please specify)

11. Minority representation of recipients/beneficiaries of services provided by this grant. What is the racial composition of the recipients/beneficiaries served by this grant? \*\*A definition of each race is at the end of the survey.

Minority representation of recipients/beneficiaries of services provided by this grant?

White (not Hispanic or Latino)

Black or African American (not Hispanic or Latino)

Native Hawaiian or Other Pacific Islander (not Hispanic or Latino)

Asian (Not Hispanic or Latino)

American Indian or Alaska Native (not Hispanic or Latino)

Two or More Races (not Hispanic or Latino)

TOTAL NUMBER OF RECIPIENTS/BENEFICIARIES

12. List the services you provide with the grant funding received from the Administrative Office of the Courts?

List the services you provide with the grant funding received from the Administrative Office of the Courts?

13. DECLARATION OF RESPONDENT: I declare that I have reviewed and approved the information provided in this survey and to the best of my knowledge believe it to be accurate and truthful.

DECLARATION OF RESPONDENT: I declare that I have reviewed and approved the information provided in this survey and to the best of my knowledge believe it to be accurate and truthful. Signature (by typing your name here you are certifying your responses):

Date:

Position of Individual Completing Survey:

\*\* Definitions of Race & Ethnicity Categories

Race and ethnic designations as used by the Equal Employment Opportunity Commission do not denote scientific definitions of anthropological origins. Definitions of the race and ethnicity categories are as follows:

-Hispanic or Latino - A person of Cuban, Mexican, Puerto Rican, South or Central American, or other Spanish culture or origin regardless of race.

-White (Not Hispanic or Latino) - A person having origins in any of the original peoples of Europe, the Middle East, or North Africa.

-Black or African American (Not Hispanic or Latino) - A person having origins in any of the black racial groups of Africa.

-Native Hawaiian or Other Pacific Islander (Not Hispanic or Latino) - A person having origins in any of the peoples of Hawaii, Guam, Samoa, or other Pacific Islands.

-Asian (Not Hispanic or Latino) - A person having origins in any of the original peoples of the Far East, Southeast Asia, or the Indian Subcontinent, including, for example, Cambodia, China, India, Japan, Korea, Malaysia, Pakistan, the Philippine Islands, Thailand, and Vietnam.

-American Indian or Alaska Native (Not Hispanic or Latino) - A person having origins in any of the original peoples of North and South America (including Central America), and who maintain tribal affiliation or community attachment.

-Two or More Races (Not Hispanic or Latino) - All persons who identify with more than one of the above five races.

100%

Done

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**C. Sub-Recipient Title VI Training:** Sub-recipients and contractors are notified of training standards in the contract and “statement of assurances” documents. The pre-award survey includes questions regarding the date(s) Title VI training was last provided and the frequency in which Title VI training is offered to staff. All sub-recipients and/or contractors and their staff are required to annually participate in Title VI training.

## D. Procedure for Noncompliance Reporting

First, our goal is to work with sub-recipients on any compliance issues so that they voluntarily comply with any deficiencies relative to Title VI.

Any sub-recipient or contractor found to be in noncompliance with Title VI shall be receive written notice from the Director of the Administrative Office of the Courts. Sub-recipients/contractors are requested to respond to the written notice within 30 days identifying a plan of action to eliminate the source of noncompliance. The Title VI Coordinator and the appropriate grant manager will review the action plan and determine if it is sufficient to eliminate the area of noncompliance. The grant manager will monitor the implementation of the action plan to assure that the area of noncompliance is resolved within the agreed upon timeframe. Should the sub-recipient/contractor not respond to the notice from the Director of the Administrative Office of the Courts, the sub-recipient/contractor will be contacted by phone in an effort to gain attention to the issue. If all efforts fail to produce the required results and the area of non-compliance is significant enough to warrant, involved parties will recommend to the Director other actions up to and including removal of funding to the sub-recipient. Ultimately these decisions rest with the Director.

To our knowledge, none of the agency sub-recipients/contractors are in noncompliance with Title VI by another state or federal agency.

**Acknowledgement:** The Administrative Office of the Courts hereby agrees to monitor all sub-recipients and/or contractors concerning the dissemination of information about the following to the public:

- (i) Nondiscrimination policy;
- (ii) Programs and services;
- (iii) Complaint procedures; and,
- (iv) Minority participation on planning boards and advisory bodies.

**E. Identify Contractor Detail – Existing Grantees for FY 2017-2018**

#	Contractor	Program Name	Description	Funding Source	Contract Period	Amount	Sub-recipient or Vendor	Minority Yes/No	Competitive/ Non Competitive	Assurance Yes/No
1	1st Judicial District Court Clinic	Access & Visitation	Mediation	Hybrid	10/1/17-9/30/18	\$7,500.00	Contractor	No	Competitive	Yes
2	Tomorrow's Hope PMC	Parent Education Mediation Fund	Parent Education	State	7/1/17-6/30/18	\$13,500.00	Contractor	Unknown	Competitive	No
3	Community Mediation Center	Parent Education Mediation Fund	Mediation	State	7/1/17-6/30/18	\$7,000.00	Contractor	Unknown	Competitive	No
4	Kymari House	Parent Education Mediation Fund	Supervised Visitation	State	7/1/17-6/30/18	\$15,000.00	Contractor	Unknown	Competitive	No
5	Partnership for Families, Children and Adults, Inc.	Parent Education Mediation Fund	Supervised Visitation	State	7/1/17-6/30/18	\$9,000.00	Contractor	Unknown	Competitive	No
6	Legal Aid Society of Middle TN and the Cumberlands-12th, 14th, 17th & 31st Judicial Districts	Parent Education Mediation Fund	Legal Services	State	7/1/17-6/30/18	\$10,000.00	Contractor	Unknown	Competitive	No
7	Nashville Conflict Resolution Center	Parent Education Mediation Fund	Mediation	State	7/1/17-6/30/18	\$15,000.00	Contractor	Unknown	Competitive	No
8	The Mediation Center	Parent Education Mediation Fund	Mediation	State	7/1/17-6/30/18	\$9,000.00	Contractor	Unknown	Competitive	No
9	The Family Center	Parent Education Mediation Fund	Parent Education	State	7/1/17-6/30/18	\$10,000.00	Contractor	Unknown	Competitive	No

#	Contractor	Program Name	Description	Funding Source	Contract Period	Amount	Sub-recipient or Vendor	Minority Yes/No	Competitive/ Non Competitive	Assurance Yes/No
10	Mid South Mediation Services	Parent Education Mediation Fund	Mediation, Parent Education	State	7/1/17-6/30/18	\$14,000.00	Contractor	Unknown	Competitive	No
11	The Exchange Club Family Center of the Mid-South, Inc.	Parent Education Mediation Fund	Mediation, Supervised Visitation, Parenting Plan Assistance	State	7/1/17-6/30/18	\$7,500.00	Contractor	Unknown	Competitive	No
12	Madison County Juvenile Court	Parent Education Mediation Fund	Parent Education, Parenting Plan Coordinator	State	7/1/17-6/30/18	\$25,000.00	Contractor	Unknown	Competitive	No
13	Training Resolved, LLC	Parent Education Mediation Fund	Mediation	State	7/1/17-06/30/18	\$15,000.00	Contractor	Unknown	Competitive	No
14	Community Mediation Center – Knoxville	Victim Offender Reconciliation Program	Victim Offender Mediation	State	7/1/17-6/30/18	\$2,000.00	Contractor	Unknown	Competitive	No
15	Community Mediation Services	Victim Offender Reconciliation Program	Victim Offender Mediation	State	7/1/17-6/30/18	\$5,000.00	Contractor	Unknown	Competitive	No
16	Community Reconciliation, Inc.	Victim Offender Reconciliation Program	Victim Offender Mediation	State	7/1/17-6/30/18	\$10,000.00	Contractor	Unknown	Competitive	No
17	Mid South Mediation Services	Victim Offender Reconciliation Program	Victim Offender Mediation	State	7/1/17-6/30/18	\$16,500.00	Contractor	Unknown	Competitive	No

#	Contractor	Program Name	Description	Funding Source	Contract Period	Amount	Sub-recipient or Vendor	Minority Yes/No	Competitive/ Non Competitive	Assurance Yes/No
18	Nashville Conflict Resolution Center	Victim Offender Reconciliation Program	Victim Offender Mediation	State	7/1/17-6/30/18	\$22,000.00	Contractor	Unknown	Competitive	No
19	Neighborhood Reconciliation Services, Inc.	Victim Offender Reconciliation Program	Victim Offender Mediation	State	7/1/17-6/30/18	\$3,500.00	Contractor	Unknown	Competitive	No
20	The Mediation Center	Victim Offender Reconciliation Program	Victim Offender Mediation	State	7/1/17-6/30/18	\$8,000.00	Contractor	Unknown	Competitive	No
21	Community Mediation Center – Crossville	Victim Offender Reconciliation Program	Victim Offender Mediation	State	7/1/17-6/30/18	\$25,000.00	Contractor	Unknown	Competitive	No
22	Community Legal Center	Access & Visitation	Legal Clinic	Hybrid	10/1/17-9/30/18	\$54,342.00	Contractor	No	Competitive	Yes
23	Legal Aid of East TN	Parent Education Mediation Fund	Legal Information, Parenting Plan	State	7/1/17-6/30/18	\$20,000.00	Contractor	Unknown	Competitive	No
24	Legal Aid of East TN	Access & Visitation	Legal Information/Legal Clinic	Hybrid	10/1/17-9/30/18	\$65,000.00	Contractor	Yes	Competitive	Yes
25	Nashville Conflict Resolution Center	Access & Visitation	Mediation	Hybrid	10/1/17-9/30/18	\$54,344.00	Contractor	Yes	Competitive	Yes
26	Williamson County Juvenile Court	Access & Visitation	Mediation/Legal Clinic	Hybrid	10/1/17-9/30/18	\$4,680.00	Contractor	Yes	Competitive	Yes
27	Community Mediation Services	Access & Visitation	Mediation	Hybrid	10/1/17-9/30/18	\$6,000.00	Contractor	No	Competitive	Yes
28	Double Tree	Juvenile Justice	Meeting	Federal	03/26/18-	\$7,398.76	Vendor	No	Non Competitive	No

#	Contractor	Program Name	Description	Funding Source	Contract Period	Amount	Sub-recipient or Vendor	Minority Yes/No	Competitive/ Non Competitive	Assurance Yes/No
	Hotel	Training Program	rooms/sleeping rooms/equipment		03/30/18					
29	Double Tree Hotel	Juvenile Justice Training Program	Meeting rooms/sleeping rooms/equipment	Federal	06/04/18-06/07/18	\$7,823.96	Vendor	No	Non Competitive	No
30	Brandon Rutledge	Peer Advocate	Serves as a peer advocate for specialized foster care review boards and presents training sessions at Court Improvement Program functions	Hybrid	07/01/17-06/30/19	\$24,000.00	Contractor	No	Non Competitive	Yes
31	Esther Rodolphe	Peer Advocate	Serves as a peer advocate for specialized foster care review boards and presents training sessions at Court Improvement Program functions	Hybrid	07/01/17-06/30/19	\$36,000.00	Contractor	Yes	Non Competitive	Yes
32	Hailey Anderson Brooks	Peer Advocate	Serves as a peer advocate for specialized foster care review boards and presents training sessions at Court Improvement Program functions	Hybrid	07/01/17-06/30/19	\$36,000.00	Contractor	No	Non Competitive	Yes
33	Tamara Felix	Peer Advocate	Serves as a peer advocate for specialized foster care review boards and presents training sessions at Court Improvement Program functions	Hybrid	07/1/17-06/30/19	\$24,000.00	Contractor	Yes	Non Competitive	Yes
34	Anthony Lee Rowe	Peer Advocate	Serves as a peer advocate for specialized foster care review boards and	Hybrid	07/01/17-06/30/19	\$24,000	Contractor	No	Non Competitive	Yes

#	Contractor	Program Name	Description	Funding Source	Contract Period	Amount	Sub-recipient or Vendor	Minority Yes/No	Competitive/ Non Competitive	Assurance Yes/No
			presents training							
35	Kenneth Jenkins	Peer Advocate	Serves as a peer advocate for specialized foster care review boards and presents training sessions at Court Improvement Program functions	Hybrid	07/01/17-06/30/19	\$24,000.00	Contractor	Yes	Non Competitive	Yes
36	Sherika Wilkes	Peer Advocate	Serves as a peer advocate for specialized foster care review boards and presents training sessions at Court Program functions	Hybrid	07/01/17-06/30/19	\$24,000.00	Contractor	Yes	Non Competitive	Yes
37	Tennessee Chapter of Children's Advocacy Centers	2017 Connecting for Children's Justice Conference	Tuition scholarships provided to attorneys to attend the conference; honorariums and expenses paid for speakers	Federal	08/01/17-12/31/17	\$8,250.00	Contractor	No	Non Competitive	Yes
38	Laserfiche Consulting	Integrated Criminal Justice Program - ACJ Automated Case Judgment Repository	Modify the ACJ program by migrating the current ACJ program to XML format and eliminate the need for two applications to run the ACJ program. The current ACJ program can only be accessed by using windows internet explorer. The new system will not limit users on search engines.	State	06/07/2018 - current	\$72,652.00	Vendor	No	Competitive	No
39	Four Point Solutions, Ltd.	Integrated Criminal Justice Program -	NIC USA is reengineering the ICJ	State	11/01/2016-03/30/2018	\$50,000.00	Vendor	No	Other	No

#	Contractor	Program Name	Description	Funding Source	Contract Period	Amount	Sub-recipient or Vendor	Minority Yes/No	Competitive/ Non Competitive	Assurance Yes/No
	157007	Automated Case Judgment (ACJ)	Portal by adding a Phase V. Phase V will allow law enforcement access to the Automated Case Judgment Repository.							
40	12 <sup>th</sup> Judicial District Drug Ct.	E-Recovery	12 Jud. Dist. Drug CT.	Federal	10/01/2016-09/30/2017	\$348,142.00	Contractor	No	Competitive	No
<b>Total</b>						<b>\$1,140,132.72</b>				

**Total Funds:** \$1,140,132.72  
**Number of Contractors:** 40  
**Total Minority Contractor Funds:** \$232,024.00  
**Number of Minority Contractors:** 7  
**Percentage of Funding to Minority Contractors:** 20.3%  
**Percentage of Minority Contractors:** 17.5

**E. Identify New Contractors - FY 2018-2019**

#	Contractor	Program Name	Description	Funding Source	Contract Period	Amount	Sub-recipient or Vendor	Minority Yes/No	Competitive/ Non Competitive	Assurance Yes/No
1	Medi8Resolution Center	Parent Education Mediation Fund	Mediation & Parent Education	State	7/1/2017-6/30/18	\$20,000.00	Contractor	Unknown	Competitive	No
2	LeDujour H.E.R.O. Village of the Mid-South, Inc.	Parent Education & Mediation Fund	Parent Education	State	7/1/2017-6/30/18	\$5,000.00	Contractor	Unknown	Competitive	No
3	23 <sup>rd</sup> District Judicial Advocates, Inc.	Access & Visitation	Mediation & Legal Clinic	Hybrid	10/1/17-9/30/18	\$10,656.00	Contractor	Yes	Competitive	Yes
4	Medi8Resolution Center	Victim Offender Reconciliation	Victim Offender Mediation	State	7/1/17-6/30/18	\$20,000.00	Contractor	Unknown	Competitive	No
5	Williamson County Juvenile Court	Parent Education & Mediation Fund	Supervised Visitation	State	7/1/17-6/30/18	\$5,000.00	Contractor	Unknown	Competitive	No
6	Solomon Family Solutions	Parent Education & Mediation Fund	Parent Education	State	7/1/17-6/30/18	\$10,000.00	Contractor	Unknown	Competitive	No
7	Anne Marie Rainwater	Peer Advocate	Serves as a peer advocate for specialized foster care review boards and presents training sessions at Court Improvement Program functions	Hybrid	05/18/18-06/30/19	\$21,000.00	Contractor	No	Non Competitive	Yes

#	Contractor	Program Name	Description	Funding Source	Contract Period	Amount	Sub-recipient or Vendor	Minority Yes/No	Competitive/ Non Competitive	Assurance Yes/No
8	Tennessee Chapter of Children's Advocacy Centers	2018 Connecting for Children's Justice Conference	Tuition scholarships provided to attorneys to attend the conference; honorariums and expenses paid for speakers	Federal	08/15/18-12/31/18	\$8,125.00	Contractor	No	Non Competitive	Yes
9	Karlene Thompson	Quest Juvenile Court Case Management System	Installation of Quest Juvenile Court Case Management System in Washington County	Hybrid	01/01/18-06/30/18	\$25,000.00	Contractor	No	Non Competitive	Yes
10	Karlene Thompson	Quest Juvenile Court Case Management System	Installation of Quest Juvenile Court Case Management System in Weakley County	Federal	08/1/18-12/30/18	\$15,000.00	Contractor	No	Non Competitive	Yes
11	Epic, Girl Inc.	Juvenile Human Trafficking Assessment	Conduct Training and Administer the Juvenile Human Trafficking Tool	State	07/01/2017-06/30/18	\$39,650.00	Contractor	No	Non Competitive	Yes
12	Vanderbilt University	Juvenile Human Trafficking Assessment	Juvenile Human Trafficking Screening Tool	State	08/1/17-06/30/18	\$10,350.00	Contractor	No	Non Competitive	Yes
Total						\$189,781.00				

### 13. Public Notice and Outreach

The Court System website a page is dedicated to public notice and outreach for Title VI and Title IX. To access this page, go to: <http://www.tncourts.gov/administration/human-resources/title-vi-title-ix>. The 2017 Title VI Implementation Plan will be placed on the Court System website after the final review by the THRC.

The AOC is making an effort to increase utilization of minority participation in the area of court interpreters by collaborating with various community organizations including Catholic charities, Tennessee Foreign Language Institute, university foreign language departments, and the Tennessee Association of Professional Interpreters and Translators (TAPIT). A priority for the court interpreter program coordinator is to increase the numbers of certified court interpreters in all languages and to seek outlets for minority public notice and outreach. Input is sought constantly using various media sources and methods. Since court staff and administrators are generally the first to interact with the public in a courthouse setting, they must make sure that the public is aware of their right to an interpreter and how they can request an interpreter. Signs and informational packets provided by the counties, this information and should be readily available to the public. The judges should assist, as reasonably possible, with helping to create solutions for these issues. The AOC has provided informational cards for judges and clerks on finding interpreters and a short online video can be watched by staff called "Breaking Down the Language Barrier," a video training tool provided by the Department of Justice." <http://www.youtube.com/watch?v=qaVKy-2HWIo&feature=related> Judges can require staff to watch this video and be aware of interpreter issues.

The Title VI Implementation Plan for AOC is posted on the Court System website (<http://www.tncourts.gov/administration/human-resources/title-vi-title-ix>). Complaint forms are accessible as downloads on the webpage. Fact sheets and posters are distributed to judicial personnel and to programs servicing the court system with instructions to display in a prominent location. These efforts provide information for staff, beneficiaries and potential beneficiaries of the court's nondiscrimination policy and the procedures for filing a complaint.

The types of federal grants utilized by the AOC require varied methods of notice and outreach. In general grants awarded to AOC do not provide direct services to clients and notification is made to state and local government agencies regarding the availability of opportunities for contracts and grant funds. Other federal funding is determined through an award process. Notification of available funding is posted on our website along with the application, award process procedures and required time frames.

## 14. Compliance Reporting

The AOC furnishes or shares Title VI compliance reports with the TN Commission on Children and Youth, Department of Finance and Administration, the Department of Children Services, Governors Highway Safety Council, and the Department of Transportation.

Federal reporting requirements: The AOC is responsible for citing the following applicable Code of Federal Regulations (CFR) citation and/or federal departmental circular that governs each program, activity or federal funds.

<b>Federal Agency</b>	<b>Code of Federal Regulations Citation</b>
Department of Health and Human Services	SSA 438 (42 U.S.C 629)
Department of Health and Human Services	SSA 438 (42 U.S.C 629)
Juvenile Accountability Block Grants	28CFR31-31.5
Department of Justice	16.738
National Highway Safety, Transportation Administration	20.610
Department of Justice	16.554

There were no Title VI or discrimination related audits and/or findings within the agency during this reporting period.

## 15. Evaluation Procedures

The AOC seeks in large part federal funding that assists in furthering the needs of the court system. Grant funding is used to develop, refine and make available databases used throughout the court system by local, state and federal judicial and law enforcement agencies. Grant funding is used to train various local and state officials involved in carrying out specific state and federal statutes such as foster care, juvenile justice and IV D child support. In most, if not all situations, the beneficiaries of these federally funded programs are determined by court order or the specific position held within a local, state, or federal office, for example the Tennessee Bureau of Investigation, the Department of Correction, the Public Defender's Conference and local sheriff's offices.

Program managers are very proactive in reaching out to contractors and sub-recipients during the course of year for reporting purposes as well as, providing technical assistance and monitoring.

As noted in section 12 committees are able to provide another level of oversight to programs and activities provided through grant funding.

The LEP program continues to grow as we add newly certified interpreters each year.

### **During the 2017-2018 fiscal year:**

The AOC will continue to identify and utilize new sources for minority outreach particularly in the area of court interpreters. Our goal is to increase outreach and certification efforts by 25% during the next reporting period.

During the next reporting period, we will conduct on-site reviews of one sub-recipient/contractor from the Access to Visitation grant and one sub-recipient/contractor from the Court Improvement Program Basic Grant.

The Title VI Coordinator will meet quarterly with grant managers to assess monitoring efforts and adjust monitoring methods as needed.