

<h1>ACF</h1> Administration for Children and Families	U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES Administration for Children, Youth and Families	
	1. Log No: ACYF-PI-CB-98-06	2. Issuance Date: 5/28/98
	3. Originating Office: Children's Bureau/Office of Child Abuse and Neglect	
	4. Key Words: Development of Mutual Support Programs	

PROGRAM INSTRUCTION

TO: State Agencies Administering the Community-Based Family Resource and Support Grant, and Parents Anonymous, Inc.

SUBJECT: Availability of Fiscal Year 1998 Funds under Title I, section 105(a)(2) of the Child Abuse Prevention and Treatment Act Amendments of 1996 (Pub. L. 104-235).

LEGAL AND RELATED REFERENCES: Title I of the Child Abuse Prevention and Treatment Act (CAPTA) (42 U.S.C. 5116 et. seq.), as amended by Pub. L.104-235, enacted October 3, 1996.

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PART I: GENERAL INFORMATION

A. PURPOSE

The purpose of this Program Instruction is to announce a request for applications for a limited discretionary grant competition, for awards of \$50,000, to establish one or more mutual support and self-help groups that will meet accreditation requirements to become affiliated with Parents Anonymous, Inc. (PA). These self-help groups will become local resources for strengthening families in partnership with their communities. The awards are authorized by section 105(a)(2) of the Child Abuse Prevention and Treatment Act, as amended by Pub. L. 104-235 [1996], and available only to private nonprofit organizations that are Community-Based Family Resource and Support (CBFRS) lead agencies or their designees.

Priority will be given to self-help projects in localities currently lacking parent self-help programs affiliated with Parents Anonymous, Inc. The number of projects will depend upon the number and localities of applications submitted. Up to \$650,000 in Federal funds are available for a 17 month budget period. Award recipients must agree to collaborate closely with Parents Anonymous, Inc. to ensure that newly-established self-help groups meet the requirements for accreditation and affiliation with this national network of mutual support and self-help programs. Parents Anonymous, Inc. has received supplemental funds for the purpose of supporting the development of new self-help groups with awardees from this invitation.

B. PROJECT, BUDGET PERIOD, AND PROJECT DURATION

The project and budget period for this grant award will begin on September 1, 1998 and conclude on January 31, 2000, by which date all funds from this award must be obligated. Grantees will have an additional 90 days after the project period end date to liquidate any funds remaining in the grant. Awards for subsequent budget periods will be dependent upon availability of future funds.

C. ELIGIBILITY

Only private nonprofit organizations that are CBFRS lead agencies, or designees of CBFRS lead agencies may apply for these funds. CBFRS lead agencies that do not meet the private nonprofit criteria should designate a private non-profit entity from their Statewide Network as the applicant agency, and provide that agency with a letter of support to be submitted with their application.

D. USE OF FUNDS

Funded entities will use their grant award dollars to support the establishment, training, and maintenance of parent self-help groups that will meet accreditation requirements to become affiliates of PA, Inc., a network of national parent support and self-help programs. These newly-established support and self-help groups should offer assistance to families, provide early and ongoing support for parents, increase family stability, improve family access to other formal and informal resources and opportunities for assistance available within communities, and support the additional needs of families with children with disabilities. Local programs should have the capacity to promote the strengthening of families in partnership with their communities, and foster an understanding, appreciation, and knowledge of diverse populations in order to be effective in preventing child abuse and neglect.

In order to accomplish the goals of the project, applicants must focus on three specific outcomes: (1) the establishment of new self-help groups, or growth and capacity-building for existing self-help groups that are, or will become, part of the PA, Inc. mutual support and self-help network; (2) the coordination of newly-established groups with other family support initiatives at the community, State, and national levels, including the Community-Based Family Resource and Support Grants program authorized in Title II of the Child Abuse Prevention and Treatment Act of 1996 (CAPTA); and (3) training that will enable parents to participate in meaningful leadership roles in the planning, policy direction, implementation, and evaluation of programs designed to provide family support services, such as is required in the Community-Based Family Resource and Support Grants program authorized in Title II of CAPTA. Parents Anonymous, Inc. will provide technical assistance to successful applicants for these funds.

E. PROPOSED ACTIVITIES

1. In general, discretionary funds awarded under this authority must be used for achieving the following objectives:
 - Hiring of full or part-time staff necessary for developing mutual self-help groups.
 - Training and technical assistance necessary for new groups to achieve national PA, Inc. affiliation.

- Increasing the participation of families involved in self-help programs by strengthening the relationships between self-help groups and public and private agencies that serve maltreated children, to promote parent self-help as part of a coordinated child abuse prevention and/or intervention strategy.
 - Increasing the participation of fathers and other kin in self-help groups by promoting and providing access to improved recruitment and training techniques.
 - Promoting increased sensitivity in parent self-help groups to issues of cultural diversity as they affect child-rearing theories and practices.
 - Increasing the participation of members of racial and ethnic minorities in parent self-help groups.
 - Enhancing the capacity for community-based mutual self-help program affiliates and State organizations to communicate with each other and participate in PA, Inc. leadership development and agenda-setting.
 - Providing training and technical assistance to parents, service providers, and agency personnel that will increase meaningful parent participation in the development, operation, oversight, and evaluation of the Statewide network of community-based, prevention-focused, family resource and support programs.
2. By February 28, 1999; August 31, 1999; and January 31, 2000 each grantee shall prepare a report of the activities, strategies, lessons learned, and recommendations for ways to strengthen connections among mutual support and self-help groups and other community agencies and services as a means of strengthening families in partnership with communities.
 3. Grantees shall budget appropriately to include a trip to Washington DC for at least one staff person and one parent to attend a national meeting of the CBFRS grantees, and to attend at least one national meeting of PA, Inc.

PART II: INSTRUCTIONS FOR APPLYING

In order to successfully compete for funding under this announcement, applicants must meet eligibility requirements and submit the following information and documentation:

A. Form 424

This form is attached to this Instruction and must be completed, signed, and returned as a part of the application package.

B. VERIFICATION OF APPLICANT AGENCY'S PRIVATE NONPROFIT STATUS

The application must include a copy of the applicant's listing in the Internal Revenue Service's (IRS) most recent tax-exempt organizations described in section 501(c)(3) of the IRS code, or by providing a copy of the currently valid IRS tax exemption certificate, or by providing a copy of the articles of incorporation establishing the applicant agency as a private nonprofit entity and bearing the seal of the State in which the agency is domiciled.

C. LETTER OF DESIGNATION AND SUPPORT

If the applicant agency is not the CBFRS lead agency, the application must contain a letter of designation and support from the CBFRS lead agency in the State, including verification that the applicant agency is a member of the CBFRS statewide network of service providers.

D. PROGRAM NARRATIVE/PROJECT DESCRIPTION

Provide a Program Narrative/Project Description that meets all of the **Uniform Project Description** requirements contained in Part III, pages 9-13 of this Program Instruction. Information on the Budget Requirement is also contained in this section.

E. USE OF FUNDS ASSURANCE

A "Use of Funds" Assurance, specifying the activities and purposes for which these funds may be used, is included in the Attachment section of this Instruction, and must be signed by the applicant authority who will be responsible for administering these funds, and returned with the application package.

F. CERTIFICATIONS

The Certification Regarding Lobbying and Assurances for Non- Construction Programs must be signed and returned.

The following Certifications are attached for your files. They are not required to be signed or returned with the application. The signature on the grant application by an authorized official of the applicant agency attests to the applicant's intent to comply with the Certifications:

1. Certification Regarding Debarment, Suspension, and Other Responsibility Matters - Primary Covered Transactions; and
2. Certification Regarding Drug-Free Workplace Requirements.

G. SUBMISSION OF THE APPLICATION

One original and two copies of the completed application package must be received **not later than 60 days following the Issuance Date on this Program Instruction.**

Applicants must ensure that a legibly dated U.S. Postal Service postmark or a legibly dated, machine produced postmark of a commercial mail service is affixed to the envelope/package containing the application. A postmark from a commercial mail service must include the logo/emblem of the commercial mail service company and must reflect the date the package was received by the commercial mail service company from the applicant. Private Metered postmarks shall not be acceptable as proof of timely mailing. (Applicants are cautioned that express/overnight mail services do not always deliver as agreed.)

LATE APPLICATIONS: Applications which do not meet the criteria for timely submission are considered late applications. ACYF shall notify each late applicant that its application will not be considered in the current competition.

MAILED APPLICATIONS AND OVERNIGHT/EXPRESS MAIL SERVICE:

The following address should be used if applications are mailed through the U.S. Postal Service:

Administration on Children, Youth and Families (ACYF)
Operations Headquarters
1225 Jefferson Davis Highway, Suite 415
Arlington, VA 22201
ATTN: Mutual Support and Self-Help

The Operations Center phone number is 1-800-351-2293.

HAND-DELIVERED APPLICATIONS, APPLICANT COURIERS:

Applications **hand-delivered by applicants, applicant couriers, or by other representatives of the applicant** shall be considered as meeting an announced deadline if they are **RECEIVED** on or before the deadline date, between the hours of 8:00 a.m. and 4:30 p.m., EDT, at the address provided above. Any application **RECEIVED AFTER 4:30 p.m.** on the deadline date will not be considered. (Applicants are cautioned that express/overnight mail services do not always deliver as agreed.)

ELECTRONIC TRANSMISSIONS:

ACYF cannot accommodate transmission of applications by fax or electronic media. Therefore, applications transmitted to ACYF electronically will not be accepted regardless of date or time of submission and time of receipt.

PART III: UNIFORM PROJECT DESCRIPTION ¹

A. PURPOSE

The project description provides a major means by which an application is evaluated and ranked to compete with other applications for available assistance. The project description should be concise and complete and should address the activity for which Federal funds are being requested. Supporting documents should be included where they can present information clearly and succinctly. Applicants are encouraged to provide information on their organizational structure, staff, related experience, and other information considered to be relevant. Awarding offices use this and other information to determine whether the applicant has the capability and resources necessary to carry out the proposed project. It is important, therefore, that this information be included in the application. However, in the narrative the applicant must distinguish between resources

directly related to the proposed project from those that will not be used in support of the specified project for which funds are requested.

The Children's Bureau is particularly interested in the following:

- Evidence that the applicant agency is a private nonprofit organization that is either the Community-Based Family Resource and Support (CBFRS) lead agency in the State, or a participant in the CBFRS Statewide Network and designee of the CBFRS lead agency to be the State applicant.
- A description of the applicant agency's organizational strengths, background and experience that will facilitate meeting the objectives of this grant.
- A biographical sketch, including job responsibilities, for each key person appointed, and a job description for each vacant key position. A biographical sketch will also be required for new key staff as appointed.

B. General Instructions

Cross-referencing should be used rather than repetition. ACYF is particularly interested in specific factual information and statements of measurable goals in quantitative terms. Project descriptions are evaluated on the basis of substance, not length. Extensive exhibits are not required. (Supporting information concerning activities that will not be directly funded by the grant or information that does not directly pertain to an integral part of the grant funded activity should be placed in an appendix.) Pages should be numbered and a table of contents should be included for easy reference.

The Children's Bureau is particularly interested in the following:

A description of the applicant agency's plan for the use of these funds to engage in activities consistent with the conditions set forth in the Use of Funds Assurance. The Assurance is included in the Attachment section of this Program Instruction, and must be signed and submitted with the application.

C. OBJECTIVES AND NEED FOR ASSISTANCE

Clearly identify the physical, economic, social, financial, institutional, and/or other problem(s) requiring a solution. The need for assistance must be demonstrated and the principal and subordinate objectives of the project must be clearly stated; supporting documentation, such as letters of support and testimonials from concerned interests other than the applicant, may be included. Any relevant data based on planning studies should be included or referred to in the endnotes/footnotes. Incorporate demographic data and participant/beneficiary information, as needed. In developing the project description, the applicant may volunteer or be requested to provide information on the total range of projects currently being conducted and supported (or to be initiated), some of which may be outside the scope of the program announcement.

The Children's Bureau is particularly interested in the following:

- A description of the need for a mutual support program(s) in the proposed target area.
- A description of how parents and community resources will be included in the initiation of mutual support programs, and how linkage with Parents Anonymous, Inc. will be established.

D. RESULTS OR BENEFITS EXPECTED

Identify the results and benefits to be derived. For example, when applying for a grant to establish a neighborhood mutual support program, describe who will participate in the program, who will use the program, how the program will be used, and how the program will benefit the community in which it is located.

The Children's Bureau is particularly interested in the following:

How the applicant will ensure the establishment of new mutual support and self-help groups that will meet the accreditation and affiliation requirements to become a part of the PA, Inc. mutual support and self-help network.

E. APPROACH

Outline a plan of action which describes the scope and detail of how the proposed work will be accomplished. Account for all functions or activities identified in the application. Cite factors which might accelerate or decelerate the work and state your reason for taking the proposed approach rather than others. Describe any unusual features of the project such as design or technological innovations, reductions in cost or time, or extraordinary social and community involvement.

Provide quantitative monthly or quarterly projections of the accomplishments to be achieved for each function or activity in such terms as the number of people to be served and the number of microloans made. When accomplishments cannot be quantified by activity or function, list them in chronological order to show the schedule of accomplishments and their target dates.

Identify the kinds of data to be collected, maintained, and/or disseminated. Note that clearance from the U.S. Office of Management and Budget might be needed prior to a "collection of information" that is "conducted or sponsored" by ACF. List organizations, cooperating entities, consultants, or other key individuals who will work on the project along with a short description of the nature of their effort or contribution.

F. EVALUATION

Provide a narrative addressing how the results of the project and the conduct of the project will be evaluated. In addressing the evaluation of results, state how you will determine the extent to which the project has achieved its stated objectives and the extent to which the accomplishment of objectives can be attributed to the project. Discuss the

criteria to be used to evaluate results, and explain the methodology that will be used to determine if the needs identified and discussed are being met and if the project results and benefits are being achieved. With respect to the conduct of the project, define the procedures to be employed to determine whether the project is being conducted in a manner consistent with the work plan presented and discuss the impact of the project's various activities on the project's effectiveness.

The Children's Bureau is particularly interested in the following:

How the applicant will evaluate the results of the project to determine if the activities were effective in:

1. Establishing new mutual support and self-help programs, or providing growth and capacity-building for existing self-help groups that were successful in becoming accredited by, and affiliating with Parents Anonymous, Inc.
2. Coordinating newly-established programs with other family support initiatives at the community, State, and national levels, including the Community-Based Family Resource and Support Grants program; and
3. Providing training that enabled parents to participate in meaningful leadership roles in the planning, policy direction, implementation, and evaluation of programs designed to prevent child abuse and neglect and provide family support services.

G. GEOGRAPHIC LOCATION

Describe the precise location of the project and boundaries of the area to be served by the proposed project. Maps or other graphic aids may be attached.

H. BUDGET AND BUDGET JUSTIFICATION

Provide line item detail and detailed calculations for each budget object class identified on the Budget Information form. Detailed calculations must include estimation methods, quantities, unit costs, and other similar quantitative detail sufficient for the calculation to be duplicated. The detailed budget must also include a breakout by the funding sources identified in Block 15 of the SF-424.

Provide a narrative budget justification that describes how the categorical costs are derived. Discuss the necessity, reasonableness, and allocability of the proposed costs.

The Children's Bureau points out that:

- Budget information forms (two pages), are included with the Attachments and must be completed and included with the application package². The Catalog of Federal Domestic Assistance Number for this program is #93.670.
- The dollar amount for the outline of **Federal expenditures must total \$50,000**; the dollar amount for the **non-Federal expenditures must total \$12,500**. The amount of **\$12,500** is the amount that the applicant organization must contribute as a 20% match to receive funds under this authority. Cash match is preferred to in-kind match.

PART IV: EVALUATION OF APPLICATIONS

CRITERIA FOR EVALUATION

Before a panel review, each application will be screened for eligibility by reviewing verification of the applicant's private nonprofit status, a signed copy of the Use of Funds Assurance and, when appropriate, the letter of designation and support from the CBFRS lead agency. Applications will be screened to ensure that they include elements A-F under Instructions for Applying. Applications from ineligible organizations and incomplete applications will not be considered or reviewed in the competition, and the applicants will be so informed.

A panel of reviewers (primarily experts from outside the Federal government) will review applications. In making decisions on awards, ACYF may give preference to applications which focus on the establishment of mutual support and self-help groups in States currently lacking Parents Anonymous, Inc. affiliates. All applications will be evaluated against the following criteria:

1. **Objective, Support and Need for Assistance [20 points]:** The extent to which the application pinpoints relevant data supporting an unmet need for self-help groups within specific localities; the number and location of proposed projects, including maps and other graphic aids, as appropriate; and a familiarity with available support systems within identified communities. The application also lists each organization, agency, consultant, or other key individuals or groups who will work on the project along with a description of the activities and nature of their effort or contribution.
2. **Approach [30 points]:** The extent to which the application outlines a sound and workable plan of action pertaining to the scope of the project; details how linkages will be established with Parents Anonymous, Inc.; cites factors which might accelerate or decelerate the efforts to establish parent self-help groups, including the identification of parents who desire to participate in such self-help groups; describes and supports features of the project, such as design, technological innovations, or extraordinary social and community involvements; and provides for projections for the accomplishments to be achieved. The application should include a listing of the activities to be carried out in chronological order, showing a reasonable schedule of accomplishments and target dates.
3. **Results and Benefits Expected [25 points]:** The extent to which the application identifies the kinds of data to be collected, and discusses the criteria to be used to

evaluate the results and successes of the project, including evaluation methodology that will be able to determine if the objectives outlined in the Use of Funds Assurance have been achieved. The extent to which the application identifies the results and benefits derived that are consistent with the objectives of the application, and the extent to which the proposed project costs are reasonable in view of the expected results.

4. **Staff Background and Organization Experience [25 points]:** The application identifies the background of the project director and key project staff, (including name, address, training, educational background and other qualifying experience) and the experience of the organization to demonstrate the applicant's ability to effectively and efficiently administer the project. The application describes the relationships between the proposed project and other work planned, anticipated or underway by the applicant with Federal assistance.

PART V: ADDITIONAL INFORMATION

INTERGOVERNMENTAL REVIEW OF FEDERAL PROGRAMS

This program has been excluded from the provisions of Executive Order 12372, "Intergovernmental Review of Federal Programs," and 45 CFR Part 100, "Intergovernmental Review of Department of Health and Human Services Programs and Activities" (52 **FR** 161).

PAPERWORK REDUCTION ACT

All information collections within this Program Announcement are approved under the following currently valid OMB control numbers: 424, (0348-0043); 424A (0348-0040); Disclosure of Lobbying Activities (0348-0046); Uniform Project Description (0970-0139); Expiration date 10/31/2000).

Public reporting burden for this collection of information is estimated to average 24 hours per response, including the time for reviewing instructions, gathering and maintaining the data needed, and reviewing the collection of information.

An agency may not conduct or sponsor, and a person is not required to respond to a collection of information unless it displays a currently valid Office of Management and Budget (OMB) Control Number.

ADDRESS INQUIRIES TO:

Eleanor M. Wagoner or Lynne Henson
Administration on Children, Youth, and Families
Office on Child Abuse and Neglect
330 C Street, SW, Switzer Bldg., Room 2421
Washington, DC 20201
Office: (202) 205-0749 or (202) 205-1723

E-Mail: ewagoner@acf.hhs.gov
lhenson@acf.hhs.gov

Date: May 28, 1998

/s/

James A. Harrell
Deputy Commissioner
Administration on Children, Youth, and Families

¹This section is a standardized form/format (see page 16, Paperwork Reduction Act) that, in some instances uses generic examples that may not be germane to the Development of Mutual Support Programs. In those cases the application should tailor their information to the Development of Mutual Support Programs.

² Instructions for completing the Budget forms are included with the forms, in the Attachment section of this Instruction.

Attachments:

[USE OF FUNDS Assurance Form](#)
[APPLICATION FOR FEDERAL ASSISTANCE Form - SF 424 - INSTRUCTIONS for Completing SF 424](#)
[BUDGET INFORMATION - SF 424A \(2 pages\) - INSTRUCTIONS for Completing SF 424A](#)

CERTIFICATIONS: (*Links will open in another browser window.*)

- [Assurances - Non-Construction Programs*](#)
- [Certification Regarding Lobbying*](#)
- [Certification Regarding Drug-Free Workplace Requirements](#)
- [Certification Regarding Debarment, Suspension, and Other Responsibility Matters - Primary Covered Transactions](#)

*** These certifications must be signed and returned with the application.**

USE OF FUNDS ASSURANCE

MUTUAL SUPPORT AND SELF-HELP PROGRAMS

GRANTEE AGENCY:

On behalf of the above named grantee, I am authorized to administer the grant award to establish or maintain one or more mutual support and self-help groups, to be accredited by and affiliated

with Parents Anonymous, Inc., as a means of strengthening families in partnership with their communities. I am likewise authorized to assume the obligations imposed by the terms and conditions for receipt of the funds, and assure that the funds will be used to assist in achieving the following objectives:

- Hiring of staff necessary for the organization and support of developing one or more community-based mutual self-help groups.
- Training and technical assistance necessary for new programs to achieve Parents Anonymous, Inc. affiliation.
- Increasing the participation of families involved in self-help programs by strengthening the relationships between self-help groups and public and private agencies that serve maltreated children under Title II, in order to encourage consistent use of parent-self-help as part of a coordinated prevention and/or intervention strategy.
- Increasing the participation of fathers and other kin in self-help groups by promoting and providing access to improved recruitment and training techniques.
- Promoting increased sensitivity in parent self-help groups to issues of cultural diversity as they affect child-rearing practices and questions of abuse and neglect.
- Increasing the participation of members of racial and ethnic minorities in parent self-help groups.
- Enhancing the capacity for community-based mutual self-help program affiliates and State organizations to communicate with each other and participate in national PA leadership development and agenda-setting.
- Providing training and technical assistance to parents, service providers, and agency personnel that will increase meaningful parent participation in the development, operation, oversight, and evaluation of the Statewide network of community-based, prevention-focused, family resource and support programs.
- Financing a trip to Washington DC for at least one staff person and one parent to attend a national meeting of the CBFRS grantees, and to attend at least one national meeting of PA, Inc.

It is understood that this agency will work in close collaboration with Parents Anonymous, Inc. (675 W. Foothill Blvd., Suite 220, Claremont, CA 91711, Phone:909-621-6184) to achieve the goal of Parents Anonymous, Inc. affiliation for those community-based programs established or maintained by these funds.

This agency also assures that the funds received under this agreement will supplement, and not supplant, other Federal, State and local public funds designated for the establishment or maintenance of mutual support and self-help programs.

(Signature of Responsible Administrator)

(Typed Name and Title of Administrator)

(Date)

OMB Control No. 0970-0139, Expiration Date 10/31/00

CERTIFICATION REGARDING LOBBYING

Certification for Contracts, Grants, Loans, and Cooperative Agreements

The undersigned certifies, to the best of his or her knowledge and belief, that:

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

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

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Statement for Loan Guarantees and Loan Insurance

The undersigned states, to the best of his or her knowledge and belief, that:

If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Signature

Title

Organization

CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS

This certification is required by the regulations implementing the Drug-Free Workplace Act of 1988: 45 CFR Part 76, Subpart, F. Sections 76.630(c) and (d)(2) and 76.645(a)(1) and (b) provide that a Federal agency may designate a central receipt point for STATE-WIDE AND STATE AGENCY-WIDE certifications, and for notification of criminal drug convictions. For the Department of Health and Human Services, the central point is: Division of Grants Management and Oversight, Office of Management and Acquisition, Department of Health and Human Services, Room 517-D, 200 Independence Avenue, SW Washington, DC 20201.

Certification Regarding Drug-Free Workplace Requirements (Instructions for Certification)

1. By signing and/or submitting this application or grant agreement, the grantee is providing the certification set out below.
2. The certification set out below is a material representation of fact upon which reliance is placed when the agency awards the grant. If it is later determined that the grantee knowingly rendered a false certification, or otherwise violates the requirements of the Drug-Free Workplace Act, the agency, in addition to any other remedies available to the Federal Government, may take action authorized under the Drug-Free Workplace Act.
3. For grantees other than individuals, Alternate I applies.

4. For grantees who are individuals, Alternate II applies.

5. Workplaces under grants, for grantees other than individuals, need not be identified on the certification. If known, they may be identified in the grant application. If the grantee does not identify the workplaces at the time of application, or upon award, if there is no application, the grantee must keep the identity of the workplace(s) on file in its office and make the information available for Federal inspection. Failure to identify all known workplaces constitutes a violation of the grantee's drug-free workplace requirements.

6. Workplace identifications must include the actual address of buildings (or parts of buildings) or other sites where work under the grant takes place. Categorical descriptions may be used (e.g., all vehicles of a mass transit authority or State highway department while in operation, State employees in each local unemployment office, performers in concert halls or radio studios).

7. If the workplace identified to the agency changes during the performance of the grant, the grantee shall inform the agency of the change(s), if it previously identified the workplaces in question (see paragraph five).

8. Definitions of terms in the Nonprocurement Suspension and Debarment common rule and Drug-Free Workplace common rule apply to this certification. Grantees' attention is called, in particular, to the following definitions from these rules:

Controlled substance means a controlled substance in Schedules I through V of the Controlled Substances Act (21 U.S.C. 812) and as further defined by regulation (21 CFR 1308.11 through 1308.15);

Conviction means a finding of guilt (including a plea of nolo contendere) or imposition of sentence, or both, by any judicial body charged with the responsibility to determine violations of the Federal or State criminal drug statutes;

Criminal drug statute means a Federal or non-Federal criminal statute involving the manufacture, distribution, dispensing, use, or possession of any controlled substance;

Employee means the employee of a grantee directly engaged in the performance of work under a grant, including: (i) All direct charge employees; (ii) All indirect charge employees unless their impact or involvement is insignificant to the performance of the grant; and, (iii) Temporary personnel and consultants who are directly engaged in the performance of work under the grant and who are on the grantee's payroll. This definition does not include workers not on the payroll of the grantee (e.g., volunteers, even if used to meet a matching requirement; consultants or independent contractors not on the grantee's payroll; or employees of subrecipients or subcontractors in covered workplaces).

Alternate I. (Grantees Other Than Individuals)

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

- (a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
 - (b) Establishing an ongoing drug-free awareness program to inform employees about --
 - (1) The dangers of drug abuse in the workplace;
 - (2) The grantee's policy of maintaining a drug-free workplace;
 - (3) Any available drug counseling, rehabilitation, and employee assistance programs; and
 - (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
 - (c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);
 - (d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will --
 - (1) Abide by the terms of the statement; and
 - (2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;
 - (e) Notifying the agency in writing, within ten calendar days after receiving notice under paragraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;
 - (f) Taking one of the following actions, within 30 calendar days of receiving notice under paragraph (d)(2), with respect to any employee who is so convicted --
 - (1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or
 - (2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;
 - (g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e) and (f).
- (B) The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)

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

Alternate II. (Grantees Who Are Individuals)

(a) The grantee certifies that, as a condition of the grant, he or she will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant;

(b) If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, he or she will report the conviction, in writing, within 10 calendar days of the conviction, to every grant officer or other designee, unless the Federal agency designates a central point for the receipt of such notices. When notice is made to such a central point, it shall include the identification number(s) of each affected grant.

[55 FR 21690, 21702, May 25, 1990]

**CERTIFICATION REGARDING DEBARMENT, SUSPENSION AND OTHER
RESPONSIBILITY MATTERS**

Certification Regarding Debarment, Suspension, and Other Responsibility Matters--Primary Covered Transactions

Instructions for Certification

1. By signing and submitting this proposal, the prospective primary participant is providing the certification set out below.

2. The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.

3. The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

4. The prospective primary participant shall provide immediate written notice to the department or agency to which this proposal is submitted if at any time the prospective primary participant learns that its certification was erroneous when submitted or has become erroneous

by reason of changed circumstances.

5. The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded, as used in this clause, have the meanings set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549. You may contact the department or agency to which this proposal is being submitted for assistance in obtaining a copy of those regulations.

6. The prospective primary participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.

7. The prospective primary participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transaction," provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

8. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the List of Parties Excluded from Federal Procurement and Nonprocurement Programs.

9. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

10. Except for transactions authorized under paragraph 6 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

Certification Regarding Debarment, Suspension, and Other Responsibility Matters--Primary Covered Transactions

(1) The prospective primary participant certifies to the best of its knowledge and belief, that it and its principals:

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded by any Federal department or agency;

(b) Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in

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

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

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

(2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--Lower Tier Covered Transactions

Instructions for Certification

1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.

2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or had become erroneous by reason of changed circumstances.

4. The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded, as used in this clause, have the meaning set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.

5. The prospective lower tier participant agrees by submitting this proposal that, [[Page 33043]] should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.

6. The prospective lower tier participant further agrees by submitting this proposal that it will include this clause titled ``Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transaction," without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, ineligible, or voluntarily excluded from covered

transactions, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the List of Parties Excluded from Federal Procurement and Nonprocurement Programs.

8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

Certification Regarding Debarment, Suspension, Ineligibility an Voluntary Exclusion--Lower Tier Covered Transactions

(1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.

(2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.
