

Community Services Block Grant (CSBG)

Disaster Supplemental Stage 3, Longer Term Recovery Application

Technical Assistance Template

Technical Assistance Notes: States apply for CSBG using the required form, CSBG State Plan, OMB No.: 0970-0382. This form has been modified into this technical assistance template for the purpose of the CSBG Disaster Relief Supplemental Funds under Public Law (P.L.) 116-20 (Additional Supplemental Appropriations for Disaster Relief Act, 2019).

To use this template, a state must have an accepted CSBG State Plan for federal fiscal year 2020 and have applied for and received a Stage 2 CSBG Disaster Supplemental grant.

Additional guidance regarding application requirements and instructions are provided in [CSBG Information Memorandum \(IM\) 2020-156](#) and [CSBG Action Transmittal \(AT\) Disaster Supplemental Stage 3 Application](#).

The disaster supplemental plan should not duplicate information from the CSBG State Plan unless specifically requested.

An SF-424M, which is the official grant application form, must be provided as the cover page for the application, in addition to the information outlined below.

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SECTION 1: CSBG Administrative Information

Technical Assistance Note: Section 1 must be completed if the state's administrative information has changed since the Stage 2 application. If there have been no changes, the state should indicate so and skip items 1.1 – 1.3.

State Administration Information (Check One)

- ☐ There has been no change to state administrative information for the CSBG Disaster Supplemental (if applicable, bypass Section 1).
- ☐ The state administration information for the CSBG has changed (if applicable, please complete Section 1).

1.1. Designated Lead Agency: Provide the following information in relation to the lead agency designated to administer CSBG in the state, as required by Section 676(a) of the CSBG Act. The following information should mirror the information provided on the Application for Federal Assistance, SF-424M.

1.1a. Lead Agency

1.1b. Cabinet or administrative department of this lead agency *[Select one and provide narrative where applicable]*

- ☐ Community Affairs Department
- ☐ Community Services Department
- ☐ Governor's Office
- ☐ Health Department
- ☐ Housing Department
- ☐ Human Services Department
- ☐ Social Services Department
- ☐ Other, describe:

1.1c. Cabinet or Administrative Department: Provide the name of the cabinet or administrative department of the CSBG authorized official.

1.1d. Authorized official of the lead agency

Instructional note: The authorized official could be the director, secretary, commissioner etc. as assigned in the designation letter (attached under item 1.3). The authorized official is the person indicated as authorized representative on the SF-424M.

Name

Title

1.1e. Street Address

1.1f. City

1.1g. State

1.1h. Zip Code

1.1i. Work Telephone Number

1.1j. Fax Number

1.1k. Email Address

1.1l. Lead Agency Website

1.2. Designation Letter: Attach the state's official CSBG designation letter. If either the governor or designated agency has changed, update the letter accordingly.

Instructional Note: The letter should be from the chief executive officer of the state and include, at minimum, the designated State CSBG lead agency and title of the authorized official of the lead agency who is to administer the CSBG grant award. **The letter may be the identical letter included in the accepted CSBG State Plan.**

- 1.3. Point of Contact:** Provide the following information in relation to the designated state CSBG Disaster Supplemental point of contact.

Instructional Note: The state CSBG point of contact should be the person that will be the main point of contact for the CSBG Disaster Supplemental grant within the state.

1.3a. Agency Name

1.3b. Point of Contact Name

Name

Title

1.3c. Street Address

1.3d. City

1.3e. State

1.3f. Zip Code

1.3g. Work Telephone Number

1.3h. Fax Number

1.3i. Email Address

SECTION 2: State Use of Funds

- 2.1. Detailed Needs Assessment:** Provide a detailed description (2500 words or less) of the needs assessment regarding the Presidentially-declared disaster(s), including an update on longer-term recovery need identified since the approval of the Stage 2 application. Describe the ongoing impact on each affected community (e.g. which counties were affected). Provide a listing of the CSBG eligible entities that serve these communities and provide a brief summary of longer term recovery needs for each eligible entity service area. Note: OCS will accept attachments or tables for this question.
- 2.2. State Allocation Criteria/Formula (Check One):** Describe the criteria and formula for allocation of CSBG Disaster Supplemental funds to eligible entities. Please include the data sources and calculations used to derive the allocation amounts for each eligible entity.
- ☐ **There has been no change to state allocation criteria/formula for the CSBG Disaster Supplemental (if applicable, bypass item 2.2).**
 - ☐ **The state allocation criteria/formula for the CSBG has changed since the approval of the Stage 2 application. (if applicable, please complete item 2.2 and describe in the box below).**

- 2.3. Eligible Entity Allocation Table:** Complete the template below (or attach a comparable allocation table) that shows planned allocations for Stage 3 of the CSBG Disaster Supplemental effort. This table should include the actual dollar amount allocated for each eligible entity in Stage 3. The state should use the latest version of the Preliminary Allocation Formula published by OCS in planning the allocations. If funds have not yet been obligated, provide the amount the state plans to obligate to the eligible entity.

2.3a Name of Eligible Entity (as listed in the CSBG Master List)	2.3b Stage 3 Planned Allocation Amount (Actual Dollar Amount)
Totals:	

- 2.4. State Administrative Funds:** Use the table below to provide the amount reserved for state administrative costs for the CSBG Disaster Supplemental.

(a) **Technical Assistance Note:** As noted in CSBG-IM-2020-01, states may allocate the higher of \$55,000 or 5 percent of the total award for state administrative costs. This cap will apply cumulatively to all funds awarded for stages 1-3 of the CSBG disaster supplemental.

- ☐ By checking this box, the state is providing certification that state administrative costs for stages 1-3 of the disaster supplemental does not exceed \$55,000 or 5% of the total award amount.

2.4a. Stage 3 State Administrative Funds: Actual Dollar Amount Allocated for State Administration

2.5. State Discretionary Funds: Use the table below to provide dollar amounts and a brief description of any CSBG Disaster Supplemental Funds that will be used for state administrative purposes. Please note that the total amount reserved by the State CSBG Lead Agency must not exceed 10% of the entire award amount (including the total amount for state administration outlined in Section 2.4a above). Please note that if the state does not plan to reserve additional discretionary funds, the state may leave this table blank. The total amount entered for all rows in column 2.5a will automatically calculate at the bottom of the table.

☐ **By checking this box, the state is providing certification that state discretionary funds for stages 1-3 of the disaster supplemental does not exceed 10% of the total award amount.**

2.5a Stage 3 Amount Planned: Actual Dollar Amount Planned for Activity	2.5b Description of Activity: Describe the purpose of the activity (e.g. training, consultants, technical assistance)
2.5a Total:	

2.6. Summary of State Allocations: Provide a total breakdown of planned amounts. Please note that this table will automatically populate with the totals from tables 2.3, 2.4, and 2.5 above.

2.6a Eligible Entity Allocation Total	2.6b State Administration Total	2.6c State Discretionary Activities Total	2.6d Total Stage 3 Award Amount

2.7. Stage 3 State Approval Process: Provide a brief description (2500 words or less) of the state's process for receiving, reviewing, and approving Stage 3 Disaster Community Action Plans from the eligible entities that will receive funds under the CSBG Disaster Supplemental. Describe any activities already completed in this process as well as expected dates for upcoming activities. Please note that although OCS may request and review Disaster Community Action Plans and budgets from eligible entities in conjunction with federal monitoring activities, the actual Disaster Community Action plans should be maintained by the state and do not need to be attached to this application.

2.8. Public Communications Process: Describe the state's approach to ensure its needs assessment and allocation formula are publicly available for review and comment prior to the distribution of funds (e.g. publication on the state CSBG website). Include dates and a description of activities already completed prior to the submission of the Stage 3 application and any additional activities that are planned.

- 2.9. State Oversight and Monitoring Plan:** Describe the state's plans for oversight and monitoring of Stage 3 CSBG disaster supplemental awards to eligible entities, including review of vouchers and cost documentation. Will the state use desk review or onsite monitoring? Will monitoring activities be scheduled in coordination with other CSBG monitoring activities or under a separate schedule? How will the state review eligible entity activities to assure compliance with the requirement that the requested costs are not reimbursable through Federal Emergency Management Agency (FEMA) disaster assistance, under a contract for insurance, or by self-insurance? If the state has already conducted monitoring activities for Stage 1 and Stage 2 funds, describe any ongoing or follow-up activities that will be conducted.

SECTION 3: Individual and Community Income Eligibility Requirements

Technical Assistance Note: Consistent with the CARES Act, 2020, Public Law 116-36, states may establish eligibility criteria up to 200% of the Health and Human Services (HHS) poverty line for services furnished in fiscal years (FY) 2020 and 2021. For FY 2022, income eligibility reverts to 125%. In addition, consistent with requirements under the Additional Supplemental Appropriations for Disaster Relief Act, 2019, Public Law 116-20, services must be directly related to disaster needs.

3.1. FY 2022 Required Income Eligibility: Provide the income eligibility threshold for ANY services to be provided in the state in FY 2022. **[Select one item below.]**

- ☐ 125% of the HHS poverty line
- ☐ X% of HHS poverty line (fill in the threshold): % [Numeric response]
- ☐ Varies by eligible entity (Explain)

3.1a. If this income eligibility level or documentation requirements will differ from those of the state's regular CSBG requirements, as reported in your most recent CSBG State Plan under 12.1, please explain below.

3.2. Income Eligibility for Disaster Supplemental Services: For services with limited in-take procedures (where individual income verification is not possible or practical), how does the state ensure eligible entities generally verify income eligibility for services? An example of these services is emergency food assistance.

3.3. Community-Level Disaster Recovery Services: For services that provide a community-wide benefit (e.g., development of community assets/facilities, building partnerships with other organizations), how does the state ensure eligible entities' services target and benefit low-income communities?

SECTION 4: CSBG Programmatic Assurances and Information Narrative (Section 676(b) of the CSBG Act)

4.1. Use of Funds Supporting Local Activities

4.1a. 676(b)(1)(A) Describe how the state will assure “that funds made available through grant or allotment will be used –

- (A) to support activities that are designed to assist low-income families and individuals, including families and individuals receiving assistance under title IV of the Social Security Act, homeless families and individuals, migrant or seasonal farmworkers, and elderly low-income individuals and families, and a description of how such activities will enable the families and individuals--
 - (i) to remove obstacles and solve problems that block the achievement of self-sufficiency (particularly for families and individuals who are attempting to transition off a State program carried out under part A of title IV of the Social Security Act);
 - (ii) to secure and retain meaningful employment;
 - (iii) to attain an adequate education with particular attention toward improving literacy skills of the low-income families in the community, which may include family literacy initiatives;
 - (iv) to make better use of available income;
 - (v) to obtain and maintain adequate housing and a suitable living environment;
 - (vi) to obtain emergency assistance through loans, grants, or other means to meet immediate and urgent individual and family needs;
 - (vii) to achieve greater participation in the affairs of the communities involved, including the development of public and private grassroots partnerships with local law enforcement agencies, local housing authorities, private foundations, and other public and private partners to –
 - (I) document best practices based on successful grassroots intervention in urban areas, to develop methodologies for widespread replication; and
 - (II) strengthen and improve relationships with local law enforcement agencies, which may include participation in activities such as neighborhood or community policing efforts;

Please select the applicable response:

- ☐ No change to the standard assurance in the CSBG State Plan.
- ☐ Adaptations to the standard assurance in the CSBG State Plan for the Disaster Supplemental are described below:

Needs of Youth

4.1b. 676(b)(1)(B) Describe how the state will assure “that funds made available through grant or allotment will be used –

- (B) to address the needs of youth in low-income communities through youth development programs that support the primary role of the family, give priority to the prevention of youth problems and crime, and promote increased community coordination and collaboration in meeting the needs of youth, and support development and expansion of innovative community-based youth development programs that have demonstrated success in preventing or reducing youth crime, such as--
 - (i) programs for the establishment of violence-free zones that would involve youth development and intervention models (such as models involving youth mediation, youth mentoring, life skills training, job creation, and entrepreneurship programs); and
 - (ii) after-school child care programs.

Please select the applicable response:

- ☐ No change to the standard assurance in the CSBG State Plan.
- ☐ Adaptations to the standard assurance in the CSBG State Plan for the Disaster Supplemental are described below:

Coordination of Other Programs

4.1c. 676(b)(1)(C) Describe how the state will assure “that funds made available through grant or allotment will be used –

(C) to make more effective use of, and to coordinate with, other programs related to the purposes of this subtitle (including state welfare reform efforts)

Please select the applicable response:

- ☐ No change to the standard assurance in the CSBG State Plan
- ☐ Adaptations to the standard assurance in the CSBG State Plan for the Disaster Supplemental are described below:

State Use of Discretionary Funds

4.1d. 676(b)(2) Describe “how the state intends to use discretionary funds made available from the remainder of the grant or allotment described in section 675C(b) in accordance with this subtitle, including a description of how the state will support innovative community and neighborhood-based initiatives related to the purposes of this subtitle.”

Note: Any information provided in Section 2 of this application will be considered to be a supplementary description of how the state plans to use funds as necessary for this assurance. Additional information does not need to be provided here.

Eligible Entity Service Delivery, Coordination, and Innovation

- 4.2. 676(b)(3)(A)** Describe “the service delivery system, for services provided or coordinated with funds made available through grants made under 675C(a), targeted to low-income individuals and families in communities within the state;

Please select the applicable response:

- ☐ No change to the standard assurance in the CSBG State Plan
- ☐ Adaptations to the standard assurance in the CSBG State Plan for the Disaster Supplemental are described below:

Eligible Entity Linkages – Approach to Filling Service Gaps

- 4.3a. 676(b)(3)(B)** Describe “how linkages will be developed to fill identified gaps in the services, through the provision of information, referrals, case management, and follow-up consultations.”

Note: The state describes this assurance in the State Linkages and Communication section, item 9.3b of the regular CSBG State Plan.

Please select the applicable response:

- ☐ No change to the standard assurance in the CSBG State Plan.
- ☐ Adaptations to the standard assurance in the CSBG State Plan for the Disaster Supplemental are described below:

Coordination of Eligible Entity Allocation 90 Percent Funds with Public/Private Resources

4.3b. 676(b)(3)(C) Describe how funds made available through grants made under 675C(a) will be coordinated with other public and private resources.”

Note: The state describes this assurance in the State Linkages and Communication section, item 9.7 of the regular CSBG State Plan.

Please select the applicable response:

- ☐ No change to the standard assurance in the CSBG State Plan.
- ☐ Adaptations to the standard assurance in the CSBG State Plan for the Disaster Supplemental are described below:

**Eligible Entity Innovative Community and Neighborhood Initiatives, Including
Fatherhood/Parental Responsibility**

- 4.3c. 676(b)(3)(D)** Describe “how the local entity will use the funds [made available under 675C(a)] to support innovative community and neighborhood-based initiatives related to the purposes of this subtitle, which may include fatherhood initiatives and other initiatives with the goal of strengthening families and encouraging parenting.”

Note: The description above is about eligible entity use of 90 percent funds to support these initiatives. States may also support these types of activities at the local level using state remainder/discretionary funds, allowable under Section 675C(b)(1)(F). In this application, the state indicates funds allocated for these activities under item 7.9(f) of the regular CSBG State Plan.

Please select the applicable response:

- ☐ No change to the standard assurance in the CSBG State Plan.
- ☐ Adaptations to the standard assurance in the CSBG State Plan for the Disaster Supplemental are described below:

Eligible Entity Emergency Food and Nutrition Services

- 4.4. 676(b)(4)** Describe how the state will assure “that eligible entities in the state will provide, on an emergency basis, for the provision of such supplies and services, nutritious foods, and related services, as may be necessary to counteract conditions of starvation and malnutrition among low-income individuals.”

Please select the applicable response:

- ☐ No change to the standard assurance in the CSBG State Plan.
- ☐ Adaptations to the standard assurance in the CSBG State Plan for the Disaster Supplemental are described below:

State and Eligible Entity Coordination/linkages and Workforce Innovation and Opportunity Act Employment and Training Activities

- 4.5. 676(b)(5)** Describe how the state will assure “that the State and eligible entities in the State will coordinate, and establish linkages between, governmental and other social services programs to assure the effective delivery of such services, and [describe] how the State and the eligible entities will coordinate the provision of employment and training activities, as defined in section 3 of the Workforce Innovation and Opportunity Act, in the State and in communities with entities providing activities through statewide and local workforce development systems under such Act.”

Note: The state describes this assurance in the State Linkages and Communication section, items 9.1, 9.2, 9.3a, 9.4, 9.4a, and 9.4b of the regular CSBG State Plan.

Please select the applicable response:

- ☐ No change to the standard assurance in the CSBG State Plan.
- ☐ Adaptations to the standard assurance in the CSBG State Plan for the Disaster Supplemental are described below:

State Coordination/Linkages and Low-income Home Energy Assistance

- 4.6. 676(b)(6)** Provide “an assurance that the State will ensure coordination between antipoverty programs in each community in the State, and ensure, where appropriate, that emergency energy crisis intervention programs under title XXVI (relating to low-income home energy assistance) are conducted in such community.”

Note: The state describes this assurance in the State Linkages and Communication section, items 9.2 and 9.5 of the regular CSBG State Plan.

Please select the applicable response:

- ☐ No change to the standard assurance in the CSBG State Plan.
- ☐ Adaptations to the standard assurance in the CSBG State Plan for the Disaster Supplemental are described below:

Federal Investigations

- 4.7. 676(b)(7)** Provide “an assurance that the State will permit and cooperate with federal investigations undertaken in accordance with section 678D.”

Note: The state addresses this assurance in the Fiscal Controls and Monitoring section, item 10.13 of the regular CSBG State plan.

Please select the applicable response:

- ☐ No change to the standard assurance in the CSBG State Plan.
- ☐ Adaptations to the standard assurance in the CSBG State Plan for the Disaster Supplemental are described below:

Funding Reduction or Termination (Not Applicable to CSBG Disaster Supplemental Funds)

- 4.8. 676(b)(8)** Provide “an assurance that any eligible entity in the State that received funding in the previous fiscal year through a community services block grant made under this subtitle will not have its funding terminated under this subtitle, or reduced below the proportional share of funding the entity received in the previous fiscal year unless, after providing notice and an opportunity for a hearing on the record, the State determines that cause exists for such termination or such reduction, subject to review by the Secretary as provided in section 678C(b).”

Note: The state addresses this assurance in the Fiscal Controls and Monitoring section, item 10.7 of the regular CSBG State Plan. This assurance is not applicable to the disaster supplemental because funds must be distributed to eligible entities based on needs directly related to the disaster.

- ☐ **Check to acknowledge that Section 676(b)(8) is not applicable to the Disaster Supplemental and that funds must be distributed based on needs directly related to the disaster.**

Coordination with Faith-based Organizations, Charitable Groups, Community Organizations

- 4.9. 676(b)(9)** Describe how the state will assure “that the State and eligible entities in the state will, to the maximum extent possible, coordinate programs with and form partnerships with other organizations serving low-income residents of the communities and members of the groups served by the State, including religious organizations, charitable groups, and community organizations.”

Note: The state describes this assurance in the State Linkages and Communication section, item 9.6 of the regular CSBG State Plan.

Please select the applicable response:

- ☐ No change to standard assurance in the CSBG State Plan.
- ☐ Adaptations to the standard assurance in the CSBG State Plan for the Disaster Supplemental are described below:

Eligible Entity Tripartite Board Representation

- 4.10. 676(b)(10)** Describe how “the State will require each eligible entity in the State to establish procedures under which a low-income individual, community organization, or religious organization, or representative of low-income individuals that considers its organization, or low-income individuals, to be inadequately represented on the board (or other mechanism) of the eligible entity to petition for adequate representation.”

Note: The state describes this assurance in the Eligible Entity Tripartite Board in section 11.3 of the regular CSBG State Plan.

Please select the applicable response:

- ☐ No change to standard assurance in the CSBG State Plan.
- ☐ Adaptations to the standard assurance in the CSBG State Plan for the Disaster Supplemental are described below:

Eligible Entity Community Action Plans and Community Needs Assessments

- 4.11. 676(b)(11)** Provide “an assurance that the State will secure from each eligible entity in the State, as a condition to receipt of funding by the entity through a community services block grant made under this subtitle for a program, a community action plan (which shall be submitted to the Secretary, at the request of the Secretary, with the State plan) that includes a community-needs assessment for the community served, which may be coordinated with community-needs assessments conducted for other programs.”

Please select the applicable response:

- ☐ No change to standard assurance in the CSBG State Plan.
- ☐ Adaptations to the standard assurance in the CSBG State Plan for the Disaster Supplemental are described below:

State and Eligible Entity Performance Measurement: ROMA or Alternate system

- 4.12. 676(b)(12)** Provide “an assurance that the State and all eligible entities in the State will, not later than fiscal year 2001, participate in the Results Oriented Management and Accountability System, another performance measure system for which the Secretary facilitated development pursuant to section 678E(b), or an alternative system for measuring performance and results that meets the requirements of that section, and [describe] outcome measures to be used to measure eligible entity performance in promoting self-sufficiency, family stability, and community revitalization.”

Note: The state describes this assurance in the ROMA section, items 13.1, 13.2, 13.3, and 13.4 of the regular CSBG State Plan.

Please select the applicable response:

- ☐ No change to standard assurance in the CSBG State Plan.
- ☐ Adaptations to the standard assurance in the CSBG State Plan for the Disaster Supplemental are described below:

Validation for CSBG Eligible Entity Programmatic Narrative Sections

- 4.13. 676(b)(13)** Provide “information describing how the State will carry out the assurances described in this section.”

Note: The state provides information for each of the assurances directly in section 4 or in corresponding items throughout the State Plan, which are included as hyperlinks in Section 4.

Please select the applicable response:

- ☐ No change to standard assurance in the CSBG State Plan.
- ☐ Adaptations to the standard assurance in the CSBG State Plan for the Disaster Supplemental are described below:

By signing below, the state CSBG authorized official is certifying the assurances set out above.

State CSBG Official

Date

SECTION 5: Federal Certifications

The box after each certification must be checked by the State CSBG authorized official.

5.1. 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.

- ☐ **By checking this box, the state CSBG authorized official is providing the certification set out above.**

5.2. 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 to 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).

Certification Regarding Drug-Free Workplace Requirements

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 10 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).

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)

- (b) 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;
- (c) 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]

☐ **By checking this box, the state CSBG authorized official is providing the certification set out above.**

5.3. Debarment

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 Exclusive-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 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, 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 five 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 and 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.

☐ **By checking this box, the state CSBG authorized official is providing the certification set out above.**

5.4. Environmental Tobacco Smoke

Public Law 103227, Part C Environmental Tobacco Smoke, also known as the Pro Children Act of 1994, requires that smoking not be permitted in any portion of any indoor routinely owned or leased or contracted for by an entity and used routinely or regularly for provision of health, day care, education, or library services to children under the age of 18, if the services are funded by Federal programs either directly or through State or local governments, by Federal grant, contract, loan, or loan guarantee. The law does not apply to children's services provided in private residences, facilities funded solely by Medicare or Medicaid funds, and portions of facilities used for inpatient drug or alcohol treatment. Failure to comply with the provisions of the law may result in the imposition of a civil monetary penalty of up to \$1000 per day and/or the imposition of an administrative compliance order on the responsible entity by signing and submitting this application the applicant/grantee certifies that it will comply with the requirements of the Act.

The applicant/grantee further agrees that it will require the language of this certification be included in any subawards which contain provisions for the children's services and that all subgrantees shall certify accordingly.

- ☐ **By checking this box and signing below, the state CSBG authorized official is providing the certification set out above.**

State CSBG Official

Date