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# ***20XX WIC Concept Paper Development Grants***

**REQUEST FOR APPLICATIONS  
CFDA # 10.578**

***Application Deadline: xxxx; 11:59 PM***

**U.S. Department of Agriculture  
Food and Nutrition Service**

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**SPECIAL SUPPLEMENTAL NUTRITION PROGRAM  
FOR WOMEN, INFANTS, AND CHILDREN (WIC)**

**FY 20XX SPECIAL PROJECT GRANTS  
REQUEST FOR APPLICATION (RFA)  
CONCEPT PAPER DEVELOPMENT**

**INTRODUCTION**

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The USDA Food and Nutrition Service (FNS) expects to have approximately \$2,000,000 in fiscal year (FY) 20XX available for Special Project Grants to WIC State agencies. These grant awards are contingent upon the availability of funding. Grant funds will be available only to the 90 WIC State agencies responsible for administering WIC in the States, Territories, and Indian Tribal Organizations (ITOs).

There are three types of WIC Special Project Grants: Full Grants, Mini Grants, and Concept Paper Development Grants. This RFA is for **Concept Paper Development Grants only**. A separate RFA is available for States planning to submit a proposal for a Full or Mini Grant.

Up to four (4) grants of up to \$24,500 each will be awarded to State agencies by September 30, 20XX to develop concept papers. The actual number of concept paper awards will depend on the quality of the application(s), the availability of funds, and how much of the FY 20XX funds are used to fund the FY 20XX WIC Special Project Full and Mini Grants.

**FNS reserves the right to cancel this RFA in whole or in part if funds are not available.**

The main focus area for the FY 20XX Concept Paper Development Grants is Program Integrity in WIC. This focus area is intended to develop and test innovative strategies by State agencies to enhance Program Integrity in critical functional areas such as, but not limited to, vendor management and certification (see “Focus Area for Concept Papers” section for more information).

Concept Paper proposals with other focus areas will also be considered as long as they suggest ways for State agencies to develop, implement, and evaluate new or innovative methods for improving/monitoring WIC Program Integrity.

State agencies may not submit more than one proposal for a Concept Paper Development Grant, although they may submit applications for both a Concept Paper Development Grant and a Full Grant or Mini Grant in the same year for different projects.

The following steps outline the process of applying for FY 20XX Concept Paper Development Grants:

- State agencies must submit their applications by xxxxxx.
- The applications selected will be funded by September 30, 20XX.
- Each State agency selected for funding should include an individual with experience in designing, developing, implementing and evaluating social or public health research projects. The person could be a social scientist or someone with a public health nutrition or public health research background from a university, institute, consulting firm or government agency. This person should work with the WIC State agency and any participating local agencies to develop the concept paper into a full grant proposal. **FNS prefers, to the extent possible, that this person also be responsible for the evaluation of the Special Project if it is selected for FY 2015 funding. This will help ensure continuity between the development of the grant proposal and subsequent evaluation of the project.**
- A State agency that receives a Concept Paper Development Grant **is expected to** submit a fully developed grant proposal for consideration of FY 2015 Special Project Grants funds by the deadline for such proposals (July 2015). State agencies are responsible for entering into and administering any necessary subcontracts and for ensuring that grant proposals are completed in time to submit for FY 2015 Special Project Grant funds. **However, grant funding in FY 2015 is not guaranteed.**
- If a State agency has reason for not submitting a fully developed grant proposal for consideration of FY 2015 Special Project Grant funds, it must clearly define the reason and provide justification in the final report that is submitted to the FNS Project Officer.
- State agencies that do not submit Concept Paper applications or whose Concept Paper applications are not selected for funding will still be allowed to submit proposals for FY 2015 Special Project Grant funds.

#### Authority to Issue Grant Projects

Section 17(h)(10)(B)(ii) of the Child Nutrition Act of 1966 (Public Law 89-642; 80 STAT. 885), as amended, authorizes the U.S. Department of Agriculture Food and Nutrition Service to fund State projects of regional or national significance to improve WIC services. These projects are funded under the authority of Public Law 108-447 (118 STAT 2833).

## **FOCUS AREA FOR CONCEPT PAPERS**

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The main focus area for the FY 20XX Concept Paper Development Grants is Program Integrity in WIC. This focus area is intended to develop and test innovative strategies by State agencies to enhance Program Integrity in critical functional areas, such as vendor management and certification. Examples of such strategies include, but are not limited to:

- Creative or innovative vendor training;
- Conflicts of interest – between WIC staff and vendors, and between WIC staff and participants;
- Effective techniques to ensure adequate separation of duties at local WIC offices
- Data sharing to detect/prevent dual participation;
- Ways to evaluate vendor applicants, including checking vendor backgrounds, verifying food sales data submitted by vendor applicants, use of tax data, and assessing A50 status;
- Ways to get the most out of monitoring of vendors, including developing effective monitoring and sanction schedules as well as sustaining successful appeals;
- Ways to detect WIC participant fraud, such as the use of social media to sell WIC benefits, or Monitoring and liaison programs;
- Strategies to assist vendors with compliance with Program rules and policies;
- Innovative techniques to conduct inventory audits, which include making full use of data that is currently compiled and available on the internet;
- Effective ways to inform and collaborate with local law enforcement officers about WIC rules and regulations; and
- Innovative ways to collect, extract, and use data from existing systems in order to analyze multiple aspects of WIC Program vendor management at the Federal and State agency levels.

Proposals under this focus area may also suggest ways to monitor WIC Program Integrity through collaboration efforts with other programs such as the Supplemental Nutrition Assistance Program (SNAP).

Concept Paper proposals will be considered that focus on all WIC-related program areas as they relate to Program Integrity with the following two caveats: (1) the concept paper must be able to demonstrate that the proposed concept has the potential to be transferred to or is replicable by other WIC State agencies and (2) the proposed concept must fall within an allowable area for expenditure of WIC funds. Within these parameters, all WIC Program areas are open for consideration and may include, but are not restricted to one or more of, the following areas:

- Vendor and Farmer/Farmers' Market Management
- Nutrition Services
- Information Systems Management

- Organization Management
- Nutrition Services Administration
- Food Funds Management
- Caseload Management
- Certification, Eligibility and Coordination
- Food Delivery
- Monitoring and Audits

Concept Paper proposals with other focus areas will also be considered as long as they suggest ways for WIC State agencies to develop, implement and evaluate new or innovative methods of monitoring Program Integrity.

Concept Paper Grants should:

- Demonstrate national or regional significance;
- Suggest innovative or creative approaches to improving Program Integrity;
- Be transferrable to other WIC Programs in the region or country; and
- Upon completion, have the capacity to develop into a significant Full Special Project Grant

Multiple WIC State agencies (including ITOs) may join together to submit a concept paper, as long as one of the State agencies is designated the lead agency.

The most appropriate grant proposals will be those that: (1) include a clear description of the planned project or intervention and how it would address its focus area, if funded in FY 2015; (2) include the major goals and clearly defined objectives and outcome measures of the project; (3) explain how the project would be implemented; (4) discuss its sustainability and transferability; and (5) indicate plans for an evaluation component.

It is recommended that preparers of applications for Concept Paper Development Grants review the evaluation criteria listed in the RFA for further guidance on what should be included in the application.

## **ELIGIBLE APPLICANTS**

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As specified in legislation, these grants are available only to the 90 WIC State agencies responsible for administering WIC in States, Territories, and Indian Tribal Organizations (ITOs). Concept Paper Development Grants may be awarded to individual State agencies or to a consortium of State agencies. FNS encourages smaller State agencies or ITOs to consider collaborating with other State agencies on concept papers. Each State agency may submit only one concept paper application. Applicant State agencies are encouraged to partner with a researcher. If a State agency submits a concept paper as part of a consortium of agencies, it may not also submit one individually. State agencies that apply for FY 20XX WIC Full and Mini Special Project Grants are also allowed to submit applications for FY 20XX Concept Paper Development funding. State agencies are allowed to receive funding for both Concept Papers and WIC Special Project Grants, but they must be for different projects.

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## CONCEPT PAPER CONTENT AND FORMAT

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State agencies should submit a narrative that provides the following information:

- The name, address, and phone number of the appropriate State agency contact person;
- A description of the problem that the proposed project addresses and how the expected results of the project can be used to improve program services at either the regional or national level;
- The project's goals and objectives;
- The essential features of the project design including a description of how the project will be accomplished and the goals achieved;
- A timeline listing key tasks and key personnel responsible;
- A description of the proposed concept's potential impact and sustainability in improving the delivery of WIC services and the proposed concept's potential to be transferred to or replicated by other WIC State agencies without the need for continued funding;
- A description of how the concept paper project will be expanded into a full grant proposal and what staffing and oversight will be provided to ensure timely completion of the grant proposal for submission for FY 2015 grant funds; and
- A budget summary clearly specifying the use of project funds.

Concept paper applications should meet the following formatting guidelines:

- **Ten page maximum length**, exclusive of any letters of commitment or support and any resumes or curriculum vitae
- 8 ½" by 11" paper
- single-spaced text
- at least 1" margins on top, bottom, and sides
- 12-point font size
- numbered pages
- printing on one side of page only
- no color paper



## **ELECTRONIC APPLICATION PROCEDURE**

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1. Electronic Application Submission through Grants.Gov. :

**Applicants may only apply for this opportunity directly through the website [www.grants.gov](http://www.grants.gov). Only WIC State agencies are eligible to apply.**

2. The number of pages for the entire Application should be **no more than 10**, excluding appendices, with narrative in a 12-point font size. **Appendices may not exceed 5 pages**, for a **total application package of not more than 15 pages**.
3. State agencies must submit an application package which includes a grant application, a Standard Form 424, APPLICATION FOR FEDERAL ASSISTANCE, Standard Form 424A, BUDGET SUMMARY, Standard Form 424B, ASSURANCES, and the additional certifications as included in the attachments to this solicitation document. The regulations governing the attached certification (i.e., Certification Regarding Lobbying) require that a grantee submit the required certification with each new submission of a grant at the time of application.
4. The complete application package **must be uploaded on [www.grants.gov](http://www.grants.gov)** on or before **Tuesday, xxxx at 11:59 PM**, Eastern Daylight Savings Time. Applications received after the deadline date and/or time will be deemed ineligible and will not be reviewed or considered. FNS **WILL NOT** consider any additions or revisions to applications once they are received. **FNS will not accept mailed or hand-delivered applications.**

In order to submit your application via [www.grants.gov](http://www.grants.gov), you must have obtained a Data Universal Numbering System (DUNS) number and registered in both the new Systems for Award Management (SAM) and on Grants.gov. The applicant is strongly advised to allow ample time to initiate its grants.gov application submission. All applicants must have current CCR status at the time of application submission and throughout the duration of a Federal Award in accordance with 2 CFR Part 25. Please visit the following websites to obtain additional information on how to obtain a DUNS number ([www.dnb.com](http://www.dnb.com)) and register in SAM (<https://www.sam.gov/portal/public/SAM/>).

### **What is SAM?**

The System for Award Management (SAM) is combining Federal procurement systems and the Catalog of Federal Domestic Assistance into one new system. This consolidation is being done in phases. The first phase of SAM incorporated the functionality from several systems, including the Central Contractor Registry (CCR).

For additional information regarding SAM see the following link:

[https://www.acquisition.gov/SAM\\_Guides/Quick%20Guide%20for%20Grants%20Registrations%20v1.pdf](https://www.acquisition.gov/SAM_Guides/Quick%20Guide%20for%20Grants%20Registrations%20v1.pdf)

Below is some additional information that should assist the applicant through this process:

**DUNS Number:** In order to obtain a DUNS number, if your organization does not have one, or if you are unsure of your organization's number you can contact Dun and Bradstreet via the internet at <http://fedgov.dnb.com/webform> or by calling 1-888-814-1435, Monday thru Friday, 8am-9pm EST. There is no fee associated with obtaining a DUNS number. Obtaining a DUNS number may take several days to obtain.

**SAM Registration:** For applicant organizations that were previously registered in the CCR, relevant applicant information is already in SAM; set up a SAM account as necessary to update any information. To register in SAM, the applicant's DUNS number, Tax ID Number (TIN), and taxpayer name (as it appears on the applicant's last tax return) are all required.. SAM verifies all information submitted by the applicant using several systems. This verification takes at least **48 hours** after your registration is submitted to SAM. Applicants must have a valid SAM registration no later than 3 days prior to the application due date of this solicitation. **Applicants that do not receive confirmation that SAM registration is complete and active should contact SAM at: <https://www.fsd.gov/app/answers/list>.**

**Grants.gov Registration:** In order to apply for a grant, your organization must have completed the above registrations as well as register on Grants.gov. The Grants.gov registration process can be accessed at [www.grants.gov/applicants/get\\_reistered.jsp](http://www.grants.gov/applicants/get_reistered.jsp). Generally, the registration process takes between **3-5 business days**.

Allow your entity ample time to complete the necessary steps, for the submission of your grant application package, on grants.gov.

Please be aware that the grants.gov system provides several confirmation notices; applicants should ensure receipt of confirmation that the application was accepted.

**PLEASE BE AWARE:** In some instances the process to complete the migration of permissions and/or the renewal of the entity record will require **5-7 days or more**. We strongly encourage grantees to begin the process at least **3 weeks before** grant the due date of the grant solicitation.

**NOTICE: Special Characters not Supported**

All applicants **MUST** follow grants.gov guidance on file naming conventions. To avoid submission issues, please follow the guidance provided in the grants.gov Frequently Asked Questions (FAQ):

**Are there restrictions on file names for any attachment I include with my application package?**

File attachment names longer than approximately 50 characters can cause problems processing packages. Please limit file attachment names. Also, do not use any special characters (example: &,-,\*,%/,#', -), this includes periods (.), spacing followed by a dash in the file and for word separation, use underscore (example: Attached\_File.pdf) in naming the attachments. **Please note that if these guidelines are not followed, your application will be rejected. FNS will not accept any application rejected from [www.grants.gov](http://www.grants.gov) portal due to incorrect naming conventions.**

In order to submit an application via grants.gov, applicants must have obtained a Data Universal Numbering System (DUNS) number and registered in both the new Systems for Award Management (SAM) and on grants.gov. The applicant is strongly advised to allow ample time to initiate the grants.gov application submission process. All applicants must have current Central Contractor Registry (CCR) status at the time of application submission and throughout the duration of a federal award in accordance with 2 CFR Part 25. Please visit the following websites to obtain additional information on how to obtain a DUNS number ([www.dnb.com](http://www.dnb.com)) and register in SAM (<https://www.sam.gov/portal/public/SAM/>).

Please be aware that the grants.gov system provides several confirmation notices; you need to be sure that you have confirmation that the application was accepted.

5. When the applicant submits an application/proposal via [www.grants.gov](http://www.grants.gov), s/he must send an e-mail to [leslie.byrd@fns.usda.gov](mailto:leslie.byrd@fns.usda.gov), advising that the proposal has been submitted through the [www.grants.gov](http://www.grants.gov) portal and that the applicant has received a confirmation notice from [www.grants.gov](http://www.grants.gov) that the application was accepted by the system. This e-mail submission to the FNS Grants Officer must be received no later than 11:59 PM, Eastern Daylight Saving Time on xxxx.

**We strongly recommended that you begin the submission process sufficiently in advance of the due date to ensure your application package is received on or before the deadline in case there are problems with the government-wide website.** It is your responsibility to meet the **xxxx, 11:59 PM, Eastern Daylight Saving Time** deadline. As noted above, late applications will not be considered in the competition. Also, emailed and faxed applications will not be accepted. Furthermore, we will not consider additions or revisions to applications once they are received by FNS.

If there are any questions regarding this Request for Applications for Concept Paper Development Grants, please contact Leslie Byrd of the Grants & Fiscal Policy Division at 703-305-2867.

## **TERMS AND CONDITIONS OF AWARD**

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The Agency is conducting the Special Supplemental Nutrition Program for Women, Infants, and Children (WIC) Concept Paper Development Grant as appropriated by Public Law 108-447 (118 STAT. 2833). Additional information on regulations and OMB grant circulars can be found in Attachment A – Terms and Conditions.

**The period of performance of the cooperative agreement shall be from the date of the award through September 30, 2015.** All expenditures paid with funds provided by the agreement must be incurred for authorized activities which take place during this period, unless stipulated otherwise.

In carrying out the purposes of the cooperative agreement, the grantee shall be responsible for:

1. Managing the cooperative agreement consistent with legislation, administrative rules, regulations, and procedures of the State, including coordination and approval of all accounting procedures and with applicable Federal administrative requirements contained in OMB Circulars A-21, A-87, A-122, and A-133 and the regulations implementing them. Also, adherence is required to the 2 CFR Parts 25, 170, and 175, 180, 417, and 421; 7 CFR Parts 15, 3015, 3016, 3018, 3019, and 3052; 40 CFR Part 31.34; and 41 CFR 1-15.2 (FAR Part 31). A full listing of the applicable documents can be found in Attachment 2, Terms and Conditions of Award.

**Suspension/Debarment:** (a) The Grantee agrees to ensure that all sub-Grantees are neither excluded nor disqualified under the Suspension and Debarment rules found at 2 CFR part 180.300 by doing any one of the following:

- Checking the System for Awards Management (SAM). This information can be found at [www.sam.gov](http://www.sam.gov).
- Collecting a certification that the entity is neither excluded nor disqualified. Because a Federal certification form is no longer available, the Grantee or sub-Grantee electing this must devise its own.
- Including a clause to this effect in the sub-grant agreement and in any procurement contract expected to equal or exceed \$25,000, awarded by the Grantee or a sub-Grantee under its grant or sub-grant.

(b) As a condition of this award, the grantee will ensure that all sub-Grantees are informed and comply with the requirements of 2 CFR part 180, subpart C.

(c) The grantee agrees to comply with the requirements of 2 CFR part 180.335, and will provide notification to FNS if the organization or principal officials:

- Are presently excluded or disqualified;
  - Have been convicted within the preceding 3 years of any offenses listed at 2 CFR part 180.800(a), including: (1) Commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public or private agreement or transaction; (2) Violation of Federal or State antitrust statutes, including those proscribing price fixing between competitors, allocation of customers between competitors, and bid rigging; (3) Commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, tax evasion, receiving stolen property, making false claims, or obstruction of justice; or (4) Commission of any other offense indicating a lack of business integrity or business honesty that seriously and directly affects your present responsibility;
  - Are presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any offense listed at 2 CFR part 800(a); or
  - Have had a transaction (Federal, State or local) terminated within the preceding 3 years for cause or default.
2. Drug-Free Workplace (DFW) Rules. The grantee agrees to (A) make a good faith effort, on a continuing basis, to maintain a DFW (including taking specific actions described at 2 CFR part 180; and (B) identify all workplace locations where work under Federal award will be performed. Since Federal entities will no longer collect a paper certification, this may include the following:
- a) Notifying all sub-grantees and contractors of the Drug Free Workplace rules;
  - b) Making conforming changes to internal procedures, directives, training materials, etc.; and
  - c) Incorporating the new rules into the sub-grantee monitoring practices.
3. The grantee shall submit an electronic copy of the Quarterly progress report to the FNS Program Officer (see address on page 12). The first report should reflect progress up to the end of the first quarter after the effective date of the Grant Agreement. At a minimum all Quarterly progress reports should include:
- A narrative description of the project's progress, tasks completed, and roadblocks or problems;
  - Identification of tasks or activities initiated, or completed, from proposed timeline with a description and rationale for deviations;
  - For each major task, a description of activities performed or completed during the quarter;
  - Identification and description of any major problems or delays encountered, with a discussion of how they will be resolved and/or how they may impact

the schedule, outcome measures, budget, or the grantee's ability to utilize funds within the specified time period;

- A description of key tasks and activities planned for the upcoming quarter; and
- Any other pertinent information, which may include deliverables.

Any problems, delays or adverse conditions that impair the ability to meet the objectives should be reported to FNS immediately. The notification should include information on any action taken or contemplated.

4. Final Progress Report. The grantee shall submit one original signed and an electronic copy of the final progress report to the FNS Program Officer (see address below) by **December 31, 2015**.
5. Quarterly Financial Reports. Each quarterly report should reflect expenditures set forth in the terms and conditions. This report must be certified by the Recipient's chief fiscal officer or an officer of comparable rank.

Grantees will electronically enter their quarterly and final financial status reports (SF-425) into the FNS Food Programs Reporting System (FPRS). Reporting requirements and instructions will be provided to all awarded grantees.

6. Final Financial Reports. As stated above, grantees are expected to enter the final financial status report (SF-425) into the FNS Food Programs Reporting System (FPRS) electronically, unless otherwise notified. **The grantee shall enter its Final SF-425 data within 90 days of the expiration date of the grant agreement.** This report must be certified by the grantee's chief fiscal officer or an officer of comparable rank.
7. Attendance at Meetings. FNS hosts WIC Special Project Grant Meetings through the course of the projects. The Grantee is invited to send representatives to these meetings.
8. Application for a WIC Special Project Full Grant in FY 2015. The application for a full grant in FY 2015 shall adhere to the solicitation materials and instructions contained in next year's Request for Applications.

A signed electronic copy of the Quarterly and Final Progress Reports shall be submitted to:

Terri Kessler  
20XX WIC Special Project Grant Program Officer  
Terri.Kessler@fns.usda.gov  
USDA Food and Nutrition Service  
3101 Park Center Drive, 5<sup>th</sup> Floor  
Alexandria, VA 22302

## **EVALUATION OF CONCEPT PAPERS**

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FNS will convene a panel of FNS staff to review and determine the technical merit of each grant application. The panel will evaluate each grant application according to how well it addresses each application component. The panel will assign each application a score using the evaluation criteria and weights specified below.

### **TECHNICAL EVALUATION CRITERIA AND WEIGHTS**

- 1. Integrity Issue Identified (15 points)**  
The significance of the problem to be addressed is demonstrated and specific gaps or weaknesses in Program Integrity have been identified and will be addressed through the proposed project.
- 2. Goals and Objectives (20 points)**  
The project goals and objectives are clearly identified and appropriate. Objectives are measurable and linked to project goals.
- 3. Tasks and Timelines (20 points)**  
The project design and implementation tasks follow directly from project goals and objectives, and the necessity for the tasks is adequately explained. Timeline is defined by tasks and is reasonable.
- 4. Budget (15 points)**  
The proposal's budget is appropriate to the proposed tasks.
- 5. Transferability (10 points)**  
The transferability of the project and its results for adaptation and implementation by other State WIC agencies is well defined.
- 6. Staffing (20 points)**  
The appropriateness of proposed project staff qualifications to the roles they have in the Concept Paper Development process.
- 7. Projects that Include U.S. Department of Agriculture (USDA) Place Based Initiatives (Five Bonus Points)**

Proposals with projects that include interventions in communities that have been designated USDA Place Based Initiatives will receive five bonus points. The USDA Place Based Initiatives include but are not limited to:

- **StrikeForce for Rural Growth and Opportunity (SF)** – StrikeForce aims to create self-sustaining, long-term economic development in persistent poverty rural communities by increasing investment through intensive outreach and stronger partnership with community leaders, businesses, and foundations.

StrikeForce seeks to improve food security by increasing access to safe and nutritious foods.

- **Promise Zones (PZ)** - Promise Zones are part of the President's plan where the Federal government partners with and invests in selected high-poverty urban, rural, and tribal communities. Promise Zones leverage Federal resources to build up existing local capacity to create jobs, increase economic security, leverage private investment, expand educational opportunities, increase access to quality affordable housing, reduce violent crime and improve public safety.
- **White House Council on Strong Cities, Strong Communities (SC2)** – As part of the President's priority to strengthen the middle class, create jobs, and build ladders of opportunity, SC2 seeks to increase cooperation between community organizations, local leadership, and the federal government. SC2 pairs on the ground Federal inter-agency teams with the Mayor and city leadership to support the community's vision for economic development. These SC2 Teams offer technical assistance and expertise to help leverage existing Federal resources to grow local capacity and stimulate economic growth in distressed areas.
- **Partnership for Sustainable Communities** - The Partnership for Sustainable Communities works to coordinate federal housing, transportation, water, and other infrastructure investments to make neighborhoods more prosperous, allow people to live closer to jobs, save households time and money, and reduce pollution.
- **Know Your Farmer, Know Your Food (KYF2)** - KYF2 strengthens the connection between farmers and consumers to better meet critical goals, including reinvigorating rural economies, promoting job growth, and increasing healthy and local food access in America. Through KYF2, USDA integrates programs and policies that stimulate food- and agriculturally-based community economic development, foster new opportunities for farmers and ranchers, and cultivate healthy eating habits and educated consumers.

After evaluation and scoring, grant applications will be arrayed by score, starting with the highest score. In general, awards will be made in ranking order until available funds are committed. However, if the selecting officials determine that, based upon their scores, few of the applications are of technical merit, FNS can award no grants or less than the total amount of funds set aside for this purpose. In addition, FNS reserves the option to select grantees out of ranking order to ensure geographic diversity or agency priority, or to select an ITO in order to achieve diversity and regional representation.



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ATTACHMENT A

**TERMS AND CONDITIONS OF AWARD**

Once the grant is awarded, the State agency must sign an agreement containing the terms and conditions of the grant contained in the regulations listed below. (A copy of these regulations may be obtained at <http://www.gpoaccess.gov/cfr/index.html>.) Applicants must agree to comply with the USDA regulations below, which codify Office of Management and Budget (OMB) circulars, as follows:

- 2 CFR Part 25: “Universal Identifier and Central Contractor Registration”
- 2 CFR Part 170: “Reporting Subaward and Executive Compensation Information”
- 2 CFR Part 175: “Trafficking Victims Protection Act”
- 2 CFR Part 180: “OMB Guidelines to Agencies on Governmentwide Debarment and Suspension (Nonprocurement)”
- 2 CFR Part 417: “Office of the Chief Financial Officer: Department of Agriculture Implementation of OMB Guidance on Non-Procurement Debarment and Suspension”
- 7 CFR Part 15: “Regulation Prohibiting Discrimination in Programs Receiving Federal Financial Assistance from USDA”
- 7 CFR Part 3015: “Uniform Federal Assistance Regulations”
- 7 CFR Part 3016: “Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments”
- 7 CFR Part 3018: “New Restrictions on Lobbying”
- 7 CFR Part 3019: “Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals and Other Non-Profit Organizations”
- 7 CFR Part 3052: “Audits of States, Local Governments and Non-Profit Organizations”
- 40 CFR Part 31.34: “Copyrights”
- 41 CFR 1-15.2 (FAR Part 31): Cost Principles for For-Profit Organizations.

Code of Federal Regulation Cost Principles:

- 2 CFR, Subtitle A, Chapter II, Part 225 State, Local, and Indian Tribal
- 2 CFR, Subtitle A, Chapter II, Part 220 Education Institutions
- 2 CFR, Subtitle A, Chapter II, Part 230- Non Profit Organizations

OMB Circular A-133: Audits of State, Local Governments and Nonprofit Organizations.

**40 CFR Part 31.34 - Copyrights**

The Federal awarding agency reserves a royalty-free, nonexclusive, and irrevocable license to reproduce, publish or otherwise use, and to authorize others to use, for Federal Government purposes:

- (a) The copyright in any work developed under a grant, subgrant, or contract under a grant or subgrant; and
- (b) Any rights of copyright to which a grantee, subgrantee or a contractor purchases ownership with grant support.

**2 CFR Part 25 – Universal Identifier and System for Award Management Registration**

Effective October 1, 2010, all grant applicants must obtain a Dun and Bradstreet (D&B) Data Universal Numbering System (DUNS) number as a universal identifier for Federal financial assistance. Active grant recipients and their direct sub-recipients of a sub-grant award also must obtain a DUNS number. To request a DUNS number visit: <http://fedgov.dnb.com/webform>.

The grant recipient must also register its DUNS number in the new Systems for Award Management (SAM). If you were registered in the CCR, your company's information is already in SAM and you will just need to set up a SAM account. To register in SAM you will need your entity's DUNS and your entity's Tax ID Number (TIN) and taxpayer name (as it appears on your last tax return). Registration should take **3-5 days**. If you do not receive confirmation that your SAM registration is complete, please contact SAM at <https://www.fsd.gov/app/answers/list..>

FNS may not make an award to an applicant until the applicant has complied with the requirements described in 2 CFR 25 to provide a valid DUNS number and maintain an active SAM registration with current information.

**Debarment and Suspension 2 CFR Part 180 and 2 CFR Part 417**

A recipient chosen for an award shall comply with the non-procurement debarment and suspension common rule implementing Executive Orders (E.O.) 12549 and 12669, “Debarment and Suspension,” codified at 2 CFR Part 180 and 2 CFR Part 417. This common rule restricts sub-awards and contracts with certain parties that are debarred, suspended or otherwise excluded from or ineligible for participation in Federal assistance programs or activities. The approved grant recipient will be required to ensure that all sub-contractors and sub-grantees are neither excluded nor disqualified under the suspension and debarment rules prior to approving a sub-grant award by checking the Excluded Parties List System (EPLS) found at [www.epls.gov](http://www.epls.gov).

## **2 CFR Part 170—Reporting Subaward and Executive Compensation**

As required by the Federal Funding Accountability and Transparency Act of 2006 (Pub. L. 109–282), as amended by section 6202 of Public Law 110–252, hereafter referred to as “the Transparency Act”, requirements for recipients' reporting of information on subawards and executive total compensation.

Prime grant recipients awarded a new federal grant greater than or equal to \$25,000 as of October 1, 2010 are subject to FFATA subaward reporting. The prime recipient is required to file a FFATA subaward report by the end of the month following the month in which the prime recipient awards any sub-grant greater than \$25,000. The grants subaward reporting data must be entered into the federal subaward reporting system (FSRS) available at [www.fsr.gov](http://www.fsr.gov). Specific OMB award terms and conditions will be included in all grant awards.

ATTACHMENT B

The following forms and documents are required:

**STANDARD FORM 424 - APPLICATION FOR FEDERAL ASSISTANCE**

**(FOR NON-CONSTRUCTION)**

**INSTRUCTIONS FOR COMPLETING STANDARD FORM 424**

**STANDARD FORM 424A - BUDGET SUMMARY**

**STANDARD FORM 424B – ASSURANCES – NON CONSTRUCTION  
PROGRAMS**

**CERTIFICATION REGARDING LOBBYING**

**DISCLOSURE OF LOBBYING ACTIVITIES**

**AD-1047-** CERTIFICATION REGARDING DEBARMENT, SUSPENSION, AND  
OTHER RESPONSIBILITY MATTERS

**AD-1048-** CERTIFICATION REGARDING DEBARMENT, SUSPENSION,  
INELIGIBILITY AND VOLUNTARY EXCLUSION- LOWER TIER COVERED  
TRANSACTIONS

**AD-1052-** CERTIFICATION REGARDING DRUG-FREE WORKPLACE  
REQUIREMENTS, STATE AND STATE AGENCIES

These forms are at the USDA Forms site: <http://www.ocio.usda.gov/policy-directives-records-forms/forms-management/approved-computer-generated-forms>.

**CERTIFICATION FOR CONTRACTS, GRANTS, 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 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 sub-awards at all tiers (including sub-contracts, sub-grants, and contracts under grants, loans and cooperative agreements) and that all sub-recipients 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.

By \_\_\_\_\_ Date: \_\_\_\_\_  
(Signature of Official [Executive Director] Authorized to Sign Application)

By \_\_\_\_\_ Date: \_\_\_\_\_  
(Signature of Official (Chief Financial Officer) Authorized to Sign Application)

For \_\_\_\_\_  
Name of Grantee

\_\_\_\_\_  
Title of Grant Program

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**DISCLOSURE OF LOBBYING ACTIVITIES**

Approved by OMB

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

0348-0046

(See reverse for public burden disclosure)

<p><b>1. Type of Federal Action:</b></p> <p><input type="checkbox"/> a. contract  <input type="checkbox"/> b. grant  <input type="checkbox"/> c. cooperative agreement  <input type="checkbox"/> d. loan  <input type="checkbox"/> e. loan guarantee  <input type="checkbox"/> f. loan insurance</p>	<p><b>2. Status of Federal Action:</b></p> <p><input type="checkbox"/> a. bid, offer/application  <input type="checkbox"/> b. initial award  <input type="checkbox"/> c. post-award</p>	<p><b>3. Report Type:</b></p> <p><input type="checkbox"/> a. initial filing  <input type="checkbox"/> b. material change</p> <p><b>For material change only:</b>  Year _____ quarter _____  Date of last report _____</p>
<p><b>4. Name and Address of Reporting Entity:</b></p> <p><input type="checkbox"/> Prime      <input type="checkbox"/> Subawardee  Tier _____, if known:</p> <p><b>Congressional District, if known:</b></p>		<p><b>5. If Reporting Entity in No. 4 is Subawardee, Enter Name and Address of Prime:</b></p> <p><b>Congressional District, if known:</b></p>
<p><b>6. Federal Department/Agency:</b></p>	<p><b>7. Federal Program Name/Description:</b></p> <p>CFDA Number, if applicable:  _____</p>	
<p><b>8. Federal Action Number, if known:</b></p>	<p><b>9. Award Amount, if known:</b></p> <p>\$ _____</p>	
<p><b>10. a. Name and Address of Lobbying Registrant</b>  (if individual, last name, first name, MI):</p>	<p><b>a. Individuals Performing Services</b>  (including address if different from No. 10a)  (last name, first name, MI):</p>	
<p><b>11.</b> Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.</p>		
<p><b>Federal Use Only</b></p>		<p>Authorized for Local Reproduction  Standard Form - LLL (Rev. 7-97)</p>



**INSTRUCTIONS FOR COMPLETION OF SF-LLL DISCLOSURE OF LOBBYING ACTIVITIES**

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required within 30 days of each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with a covered Federal action. Use the SF-LLL-A Continuation Sheet for additional information if the space on the form is inadequate. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

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

Public reporting burden for this collection of information is estimated to average 30 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0046), Washington, D.C. 20503.

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**AD-1047- CERTIFICATION REGARDING DEBARMENT, SUSPENSION, AND  
OTHER RESPONSIBILITY MATTERS**

**U.S. DEPARTMENT OF AGRICULTURE**

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

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This certification is required by the regulations implementing Executive Order 12549, Debarment and Suspension, 7 CFR Part 3017, Section 3017.510, Participants' responsibilities. The regulations were published as Part IV of the January 30, 1989 Federal Register (pages 4722-4733). Copies of the regulations may be obtained by contacting the Department of Agriculture agency offering the proposed covered transaction.

**(BEFORE COMPLETING CERTIFICATION, READ INSTRUCTIONS ON REVERSE)**

- (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 from covered transactions by any Federal department or agency;
  - (b) have not within a three-year period preceding this proposal been convicted of or had a civil judgement 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.

---

Organization Name

PR/Award Number or Project Name

---

Name(s) and Title(s) of Authorized Representative(s)

---

Signature(s)

Date

**Clear Form**

Form AD-1047 (1/92)

**Instructions for Certification**

1. By signing and submitting this form, the prospective primary participant is providing the certification set out on the reverse side in accordance with these instructions.
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 on this form. 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 whom 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 form 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 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 form that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transactions," 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 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 Nonprocurement List.
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 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.

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**AD-1048- CERTIFICATION REGARDING DEBARMENT, SUSPENSION,  
INELIGIBILITY AND VOLUNTARY EXCLUSION- LOWER TIER COVERED  
TRANSACTIONS**

**U.S. DEPARTMENT OF AGRICULTURE**

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

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This certification is required by the regulations implementing Executive Order 12549, Debarment and Suspension, 7 CFR part 3017, Section 3017.510, Participants' responsibilities. The regulations were published as Part IV of the January 30, 1989, Federal Register (pages 4722-4733). Copies of the regulations may be obtained by contacting the Department of Agriculture agency with which this transaction originated.

**(BEFORE COMPLETING CERTIFICATION, READ INSTRUCTIONS ON REVERSE)**

- (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.

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Organization Name

PR/Award Number or Project Name

---

Name(s) and Title(s) of Authorized Representative(s)

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Signature(s)

Date

Clear Form

Form AD-1048 (1/92)

Instructions for Certification

1. By signing and submitting this form, the prospective lower tier participant is providing the certification set out on the reverse side in accordance with these instructions.
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 has 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 meanings 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 form 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 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 form 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 transaction 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 is not 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 Nonprocurement List.
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 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.

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**AD-1052- CERTIFICATION REGARDING DRUG-FREE WORKPLACE  
REQUIREMENTS, STATE AND STATE AGENCIES**

**AD-1052, Certification Regarding Drug-Free Workplace**

**U.S. DEPARTMENT OF AGRICULTURE  
CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS  
STATES AND STATE AGENCIES  
FEDERAL FISCAL YEAR 2011**

This certification is required by the regulations implementing Sections 5151-5160 of the Drug-Free Workplace Act of 1988 (Pub. L. 100-690, Title V, Subtitle D; 41 U.S.C. 701 et seq.), 7 CFR Part 3017, Subpart F. The regulations, published as Part II of the May 25, 1990 Federal Register (pages 21681-21691), require certification by grantees, prior to award, that they will maintain a drug-free workplace. Section 3017.630(c) of the regulation provides that a grantee that is a State may elect to make one certification to the Department of Agriculture in each Federal fiscal year in lieu of certificates for each grant during the Federal fiscal year covered by the certification. The certificate set out below is a material representation of fact upon which reliance is placed when the agency awards the grant. False certification or violation of the certification shall be grounds for suspension of payments, suspension or termination of grants, or Governmentwide suspension or debarment (see 7 CFR Part 3017, Sections 3017.615 and 3017.620). States and State agencies using this form should send it to: U.S. Department of Agriculture, Office of Finance and Management, Federal Assistance and Fiscal Policy Division, Federal Assistance Team, Room 3031 South Building, Washington, D.C. 20250.

**(BEFORE COMPLETING CERTIFICATION, READ INSTRUCTIONS ON PAGE 3)**

- A. 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 --

**29.35 - Exhibit 01--Continued**

- (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 subparagraph (d) (2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer 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 subparagraph (d) (2), with respect to any employee who is so convicted --
  - (1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or
  - (2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;
- (g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e) and (f).

This certification is for a  State (All State  Single State Agency  
(check one) Agencies)

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)

---



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---

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

\_\_\_\_\_  
State / State Agency Name

\_\_\_\_\_  
Name and Title of Authorized Representative

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

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ATTACHMENT C

**TIMELINE**

**20XX WIC SPECIAL PROJECTS  
CONCEPT PAPERS**

<b><u>Activity</u></b>	<b><u>Due Date</u></b>
1. Application Submission for Concept Papers	XXXX11:59 PM EDST,
2. Award Date if Selected	September 30, 20XX
3. Period of Performance Ends	September 30, 2015
4. Final Progress Report	December 31, 2015
5. Final Financial Report	December 31, 2015
6. Concept Paper Grant Expires	January 31, 2016