# FY 21 COMPETITIVE Grant Application ASSURANCES

# AND CERTIFICATIONS

**General Assurances**

**By receiving funds under this grant award, I hereby agree, as grantee, to comply with the following terms and conditions:**

1. Programs and projects funded in total or in part through this grant will operate in compliance with state and federal laws and regulations, including but not limited to the Civil Rights Act of 1964 and its amendments, the Code of Federal Regulations (CFR) 34, the Elementary and Secondary Education Act, Education Department General Administrative Regulations (EDGAR), the General Education Provisions Act (GEPA), the Americans with Disabilities Act (ADA), and the Workforce Innovation Opportunity Act (WIOA).
2. The Maryland Department of Labor (MD Labor) may, as it deems necessary, supervise, evaluate, and provide guidance and direction to grantee in the conduct of activities performed under this grant. However, failure of MD Labor to supervise, evaluate, or provide guidance and direction shall not relieve grantee of any liability for failure to comply with the terms of the grant award.
3. Grantee shall establish and maintain fiscal control and fund accounting procedures, as set forth in 34 CFR Part 76 & 2 CFR 200.307 and in applicable state law and regulation.
4. Grantee shall adhere to MD Labor reporting requirements, including the submission of financial and programmatic reports.
5. Entities expending $750,000 or more federal funds need to have an annual financial and compliance audit in accordance with OMB Circular A-133.
6. Grantee shall retain all records of its financial transactions and accounts relating to this grant for a period of **five** years, or longer if required by federal regulation, after termination of the grant agreement. Such records shall be made available for inspection and monitoring by the Adult Education Program Specialist and other MD Labor authorized representatives.
7. Grantee must submit budget records as required. Documentation of actual expenditures from the institutional business office must also be available upon request.
8. Grantee must receive prior written approval from the Adult Education Program Specialist before implementing any programmatic changes with respect to the purposes for which the grant was awarded.
9. Grantee must receive prior written approval from the Adult Education Program Specialist for any budgetary realignment of $1,000 or 10% of total object, program, or category of expenditure, whichever is greater. Grantee must support the request with reason for change. Grantee must submit budget alignments at least 45 days prior to the end of the grant period. Grantee must monitor, track, and expend grant expenditures in the timeframe specified by the grant. Grantee must encumber federal grant funds by June 30 of the fiscal year and they must expend those funds by September 30 or return them to MD Labor. Grantee must expend State grant funds by June 30of the fiscal year or return to MD Labor. Several factors contribute to grant recipients not spending all awarded funds; however, recipients are required to provide a **Notice of Projected Under-Expended Funds by March 31 of the fiscal year**, if applicable. **Under-expenditures may result in reduced grant funding, particularly for programs that do not notify MD Labor by the notification due date.**
10. Grantee shall repay any funds that have been finally determined through federal or state monitoring resolution processes to have been misspent, misapplied, or otherwise not properly accounted for, and further agrees to pay any collection fees that the federal and/or state government may impose.
11. If the grantee fails to fulfill its obligations under the grant agreement properly and on time, or otherwise violates any provision of the grant, MD Labor may suspend or terminate the grant by written notice to the grantee. The notice shall specify those acts or omissions relied upon as cause for suspension or termination. Grantee shall repay MD Labor for any funds that have been determined through monitoring to have been misspent, unspent, misapplied, or otherwise not properly accounted for. MD Labor may offset the repayment of funds with funds that are otherwise due the grantee.
12. Grantee must ensure all instructional staff participate in a minimum of 10 hours of professional development per year.
13. Grantee must register with the Central Contractor Registry System (www.ccr.gov) within one month of receipt of grant award.
14. Grantee shall not charge any fees to ABE or ESL Beginning or Intermediate learners for instructional services. However, a program may charge a nominal fee for consumable materials and instructional materials that eventually become the property of the learner. A program may also charge individuals who do not qualify for adult education services and other non-participants for adult education services, such as GED® Ready practice test. National External Diploma Program® fees shall not exceed $225.
15. EDGAR CFR 76.534 and 2 CFR 200.307 govern all program income. Grantee shall document program income in auditable records reported annually to MD Labor. Grantee shall expend all program interest and income only on allowable adult education services during the fiscal year it is generated. Grantee may not use these fees and monies as a portion of the required local match nor to supplant local support.
16. Grantee must account for local matching funds in program records and use only for costs allowable under the Adult Education and Family Literacy Act (AEFLA).
17. Any proposed subcontract under this grant award shall be included in the original competitive proposal’s Appendices. Failure to comply with this provision could result in denial of reimbursement for such non-approved sub-contractual services.
18. Grantee shall limit funds to adult instructional services and shall not use for individuals enrolled in Pre-K-12 services or activities. Grantee must ensure that all learners under age 19 have been officially withdrawn from school.
19. Grantee shall limit IELCE/IET fund use to the WIOA 243 Integrated English Language Civics Education/Integrated Education Training Program (IELCE/IET). All other IELCE or English Language Learner courses must be funded with WIOA 231 funds.
20. Funds awarded for WIOA 243 shall be specifically used to serve English Language Learners.
21. Fund use shall be limited to services for individuals who are at least 18 years of age for NEDP services.
22. Grantee shall use a managed enrollment system and establish a documented waiting list when the recommended enrollment exceeds capacity.
23. Classes supported with grant funding shall begin and end within the grant award period.
24. Grantee must enter valid and accurate data from learner records into the Literacy, Adult and Community Education System (LACES) database as prescribed in the annual data entry schedule posted on the MD Labor/LACES homepage and reviewed on a regular basis by all local program leadership staff members to ensure the program staff is cognizant of the program’s efforts to meet performance outcomes.
25. The program must support the performance goals of the state by establishing appropriate program goals and outcomes as mandated by MD Labor. Grantee must conduct a review of LACES reports and self-evaluation throughout the fiscal year to ensure that program is continuously monitoring its effectiveness and efficiency. Failure to do so may result in sanctions.
26. Reports or other documents produced in whole or in part with the grant funds shall either bear no copyright notice or indicate that the grantee and MD Labor are joint owners of the copyright.
27. Grantee shall give due credit to MD Labor and the U.S. Department of Education. Grantee shall credit MD Labor on all media announcements, billboards, and educational materials produced or developed under the scope of this grant award.
28. Grantee shall provide a minimum of nine (9) months written notice from the CEO to the Secretary of MD Labor if the organization should decide to cease providing services under this grant.
29. Failure to comply with the General Assurances or any aspect of the Competitive Grant Application may result in more restrictive conditions or project termination.

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Signature of Head of Grantee Agency Date

**Certification Regarding Debarment, Suspension, Ineligibility and**

**Voluntary Exclusion–Lower Tier Covered Transactions**

This certification is required by the Department of Education regulations implementing Executive Order 12549, Debarment and Suspension, 34 CFR Part 85, for all lower tier transactions meeting the threshold and tier requirements stated at Section 85.110.

**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 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 or 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 now 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 proposal that it will include the clause titled “Certification Regarding Debarment, Suspension, Ineligibility, and Voluntary exclusion-Lower Tier Covered Transactions”, 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 debarred, suspended, ineligible, or voluntarily excluded for the covered transaction, unless it know 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 Non-procurement 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.

**Certification**

1. The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals are 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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| **NAME OF APPLICANT PR/AWARD NUMBER AND/OR PROJECT NAME** |
| **PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE** |
| **SIGNATURE DATE** |

ED 80-0014, 9/90 (Replaces GCS-009 (REV. 12/88), which is obsolete.)

**OMB Approval No. 0348-0040**

**Assurances – Non-Construction Programs**

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| Public reporting burden for this collection of information is estimated to average 15 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 (0348-0040), Washington, DC 20503  **PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.** |

**Note:** Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant, I certify that the applicant:

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| 1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management, and completion of the project described in this application. 2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives. 3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain. 4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency. 5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F). 6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) | the Age Discrimination Act of 1975, as amended (42 U.S.C. §§ 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§ 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§290 dd-3 and 290 ee 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. §§3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.   1. Will comply, or has already complied, with the requirements of Titles II and III of the uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases. 2. Will comply, as applicable, with the provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds. |

**Previous Edition Usable Standard Form 424B (Rev. 7-97)**

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| 1. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §874) and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§327-333), regarding labor standards for federally assisted construction subagreements. 2. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is $10,000 or more. 3. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.); (f) conformity of Federal actions to State (Clear Air) Implementation Plans under Section 176(c) of the Clear Air Act of 1955, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205). | 1. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§1721 et seq.) related to protecting components or potential components of the national wild and scenic rivers system. 2. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§469a-1 et seq.). 3. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance. 4. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. §§2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance. 5. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.) which prohibits the use of lead- based paint in construction or rehabilitation of residence structures. 6. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, “Audits of States, Local Governments, and Non-Profit Organizations.” 7. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program. |

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| **SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL** | **TITLE** | |
| **APPLICANT ORGANIZATION** | | **DATE SUBMITTED** |

**Standard Form 424B (Rev. 7-97) Back**

**Certifications Regarding Lobbying; Debarment, Suspension and Other**

**Responsibility Matters; and Drug-Free Workplace Requirements**

Applicants should refer to the regulations cited below to determine the certification to which they are required to attest. Applicants should also review the instructions for certification included in the regulations before completing this form. Signature of this form provides for compliance with certification requirements under 34 CFR Part 82, "New Restrictions on Lobbying," and 34 CFR Part 85, "Government-wide Debarment and Suspension (Non-procurement) and Government-wide Requirements for Drug-Free Workplace (Grants)." The certifications shall be treated as a material representation of fact upon which reliance will be placed when the Department of Education determines to award the covered transaction, grant, or cooperative agreement.

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| 1. **LOBBYING**   As required by Section 1352, Title 31 of the U.S. Code, and implemented at 34 CFR Part 8s, for persons entering into a grant or cooperative agreement of $100,000, as defined at 34 CFR Part 82, Sections 82.105 and 82.110, the applicant certifies that:  (a) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of Congress, or an employee of a Member of Congress in connection with the making or any Federal grant, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal grant or cooperative agreement:  (b) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal grant or cooperative agreement, the undersigned shall complete and submit Standard Form – LLL, “Disclosure Form to Report Lobbying,” in accordance with its instructions;  (c) The undersigned shall require that the language of this certification be included in the award documents for all sub awards at all tiers (including subcontracts) and that all sub recipients shall certify and disclose accordingly.  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_   1. **DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS**   As required by Executive Order 12549, Debarment and Suspension, and implemented at 34 CFR Part 85, for prospective participants in primary covered transactions, as defined at 34 CFR Part 85, Section 85,102 and 85.110-   1. The applicant certifies 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 application been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statement, or receiving stolen property.  (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 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 an employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency.   (g) Making a good faith effort to continue to maintain a drug free workplace through implementation of paragraphs (a), (b), (c), (d), (e) and (f).  B. The grantee may insert in the space provided the site (s) for the performance of work done in connection with the specific grant. | (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 (2)(b) of this certification; and  (d) Have not within a three-year period preceding this application had one or more public transaction (Federal, State, or local) terminated for cause or default; or  B. Where the applicant is unable to certify any of the statements in this certification, he or she shall attach an explanation to this application.  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_   1. **DRUG-FREE WORKPLACE**   **(GRANTEES OTHER THAN INDIVIDUALS)**  As required by the Drug-Free Workplace Act of 1988, and implemented at 34 CFR Part 85, Subpart F, for grantees, as defined at 34 CFR Part 85, Sections 85.605 and 85.610.   1. The applicant certifies that it will or will continue to provide a drug-free workplace by:   (a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee’s workplace and specifying the actions that will be taken against employees for violation of such prohibition:  (b) Establishing an on-going drug-free awareness program to inform employees about:   1. The dangers of drug abuse in the workplace; 2. The grantee’s policy of maintaining a drug-free workplace; 3. Any available drug counseling, rehabilitation, and employee assistance programs; and 4. The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;   (c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);  (d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will:   1. Abide by the terms of the statement; and 2. Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;   Place of Performance (Street address, city, county, state, zip code)  Click here and type name.  Click here and type address.  Click here and type address.  Click here and type city, state and zip  Check  if there are any workplaces on file that are not identified here.  Section 17.630 of the regulations provide that a grantee that is a State may elect to make one certification in each Federal fiscal year. A copy of which should be included with each application for FEMA funding. States and State agencies may elect to use a state wide certification. |

**Disclosure of Lobbying Activities**

*All LEAs must complete and submit this form to disclose lobbying activities pursuant to 31 U.S.C. 1352*

(See reverse for public burden disclosure)

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| 1. **Type of Federal Action:**   a. contract  b. grant  c. cooperative agreement  d. loan  e. loan guarantee  f. loan insurance | 1. **Status of Federal Action:**   a. bid/offer/application  b. initial award  c. post-award | | 1. **Report Type:**   a. initial filing  b. material change  **For material change only:**  Year Click here and type year.  Quarter Click here and type quarter.  Date of last report Click here and type Date of Last Report. |
| 1. **Name and Address of Reporting Entity:**   Prime  Sub-awardee  Tier\_\_\_\_\_\_, if known  Click here and type name.  Click here and type address.  Click here and type address.  Click here and enter city, state, and zip.  **Congressional District, if known:**  Click here and type Congressional District. | | 1. **If Reporting Entity in No. 4 is Sub-awardee,** Enter Name and Address of Prime:   Click here and type name.  Click here and type address.  Click here and type address.  Click here and enter city, state, and zip.  **Congressional District, if known:**  Click here and type Congressional District. | |
| 1. **Federal Department/Agency:**   Click here and type Federal Department/Agency. | | **7. Federal Program Name/Description:**  Click here and type Program Name/Description.  CFDA Number, *if applicable*: Click or tap here to enter text. | |
| 1. **Federal Action Number,** *if known:*   Click here and type Federal Action Number. | | 1. **Award Amount**, *if known:*   Click here and type Award Amount. | |
| **10. a. Name and Address of Lobbying Registrant** *(if individual, last name, first name, MI):*  Click here and type name.  Click here and type address.  Click here and type address.  Click here and enter city, state, and zip. | | **b. Individuals Performing Services** *(including address if*  *different from No. 10a) (last name, first name, MI):*  Click here and type name.  Click here and type address.  Click here and type address.  Click here and enter city, state, and zip. | |
| **11. Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than $10,000 and not more than $100,000 for each such failure.** | | **Signature: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**  Click here and type name.  Click here and type title.  Click here and type telephone number.  Click or tap here to enter text. | |
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**INSTRUCTIONS FOR COMPLETION OF STANDARD FORM – LLL (SF-LLL),**

**DISCLOSURE OF LOBBYING ACTIVITIES**

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

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.

2. Identify the status of the covered Federal action.

3. Identify the appropriate classification of this report. If this is a followup report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.

4. Enter the full name, address, city, State and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or sub-award recipient. Identify the tier of the sub-awardee, e.g., the first sub-awardee of the prime is the 1st tier. Sub-awards include but are not limited to subcontracts, sub-grants and contract awards under grants.

5. If the organization filing the report in item 4 checks “Sub-awardee,” 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; Invitations for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application/proposal control number assigned by the Federal agency). Included prefixes, e.g., “RFP-DE-90-001.”

9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.

10. (a) Enter the full name, address, city, State and zip code of the lobbying registrant under the Lobbying Disclosure Act of 1995 engaged by the reporting entity identified in item 4 to influence the covered Federal action.

(b) Enter the full names of the individual(s) performing services, and include full address if different from 10(a). Enter Last Name, First Name, and Middle Initial (MI).

11. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

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

**(Revised 1/31/2019)**