**COVID Discretionary Funding Grantee Form & Assurances Packet**



# Alaska Department of Education and Early Development

**Division of Innovation and Education Excellence**

**Physical Address:** 333 Willoughby Ave, Juneau SOB 9th Floor, Juneau, AK 99801

**Mailing Address:** P.O. Box 110500

Juneau, AK 99811-0500

**education.alaska.gov**

[DEED.CARES@alaska.gov](mailto:DEED.CARES@alaska.gov)

***Revised May 2023***

# Grantee Form

**Section I: General Information**

Uses of Funds

The grantee will use their funds in accordance with allowable use of funds listed in either Section 313(d) of the [CRRSA Act (ESSER II)](https://rules.house.gov/sites/democrats.rules.house.gov/files/BILLS-116HR133SA-RCP-116-68.pdf) or Section 2001(d) of the [ARP Act](https://www.congress.gov/117/plaws/publ2/PLAW-117publ2.pdf) (ESSER III). The applicable law is dependent on the source of funding provided to the grantee.

Reporting Requirements

Recipients of this grant will be required to submit end of year reports and/or quarterly reports to evaluate the progress towards meeting the measurable program outcomes defined in the eligible entities grant application. Reports will include:

1. Description of activities performed during this reporting period
2. Progress towards meeting goals and outcomes
   1. Data- quantitative or qualitative if available.

Grantee Form

Complete forms must contain the following:

* [Project Summary and Goals](#_Part_A:_Project)
* [One-year budget/narrative](#_Part_B:_Budget,)
  + **School Districts** - Form [#05-07-071](https://education.alaska.gov/forms/05-07-071.xlsx)
  + **Non-profits & For Profits** –Form [#05-07-069](https://education.alaska.gov/forms/05-07-069.xlsx)
* [Assurances Package](#Text5) signed by authorized representative

Conditions of Grant Awards

1. **Program Administration**

In Alaska, the Department of Education & Early Development has been authorized to receive and distribute the federal funds appropriated for this program. Program provision shall be governed in all respects by the authorizing statute and the laws of the State of Alaska, and the Education Department General Administrative Regulations (EDGAR) including the General Education Provision Act (GEPA) and the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (UGG).

Submittal of this form will show the grantee’s acceptance of all the terms and conditions contained in this Grantee Form. The contents of the Grantee Form will become contractually binding. Failure of the successful grantee to accept these obligations may result in cancellation of the award. Upon opening, all submissions become the property of the Alaska Department of Education & Early Development and are open to public inspection at all reasonable times. The Department reserves the right to reject any and all applications should it be deemed by the Department to be in its best interest to do so. Grantees can appeal the Department’s decision through the established State Appeal Process found in Alaska State Code, Chapter 40.

The Alaska Department of Education & Early Development is not liable for any costs incurred by grantees in the development of the Grantee Form. All costs incurred in responding to this Grantee Form, including negotiation sessions (if held), are the sole responsibility of the grantee.

### **Certificate of Assurances**

The Elementary and Secondary School Emergency Relief (ESSERF) and the Governor’s Emergency Education Relief Fund (GEERF) grants are federally funded program and the general Certifications and Assurances packet related to federal programs that was submitted for the current fiscal year by the district to the Alaska Department of Education & Early Development will apply to these programs. This is a reminder that the grantee must be fully aware of its obligations to adhere to all state and federal requirements in the event the grant application is approved.

**Assurance of Nondiscrimination**

The Alaska Department of Education & Early Development is an equal opportunity employer and will not discriminate in the department employment, supervision, practices, services or educational programs on the basis of race, religion, color, national origin, age, sex, handicap, and marital status, changes in marital status, pregnancy, parenthood, veteran’s status, veteran’s disability or political affiliation.

### **Fiscal Procedures**

All payments will be made on a reimbursement basis for expenditures incurred by the grantee. Reimbursement requests must be submitted to the department at least quarterly and be listed on Form 165d; school districts use [form 05-15-019](https://education.alaska.gov/forms/05-15-019.xlsx); Non-Profit grantees use [form 05-15-021](https://education.alaska.gov/forms/05-15-021.xlsx). In addition, a detailed computerized report or a detailed Form 165b is required indicating the date of obligation, vendor name, accounting object code, and exact amount of the transaction. The final payment will not be made until after the grant activity has been concluded and the required end-of-year report has been submitted to the department. Expenditures in excess of approved budget amounts will be the responsibility of the grantee. DEED plans to move this grant into our grants management system, GMS, in the future. DEED will support grantees in this transition from the paper grant to GMS.

Eligible expenditures will be limited to those directly necessary and essential to the accomplishment of the proposed grant activity. These will customarily include personnel salaries, benefits, consultant fees, materials and supplies, travel, telephone and postage. The Alaska Department of Education & Early Development shall determine the eligibility of any disputed item and the sponsoring school district or agency shall be responsible for any disputed expenditure. Changes in budgets for approved grant applications shall be conditional on written approval from the department. Request for reimbursement and budget revision procedures can be found on [form 05-21-014](https://education.alaska.gov/forms/05-21-014.docx).

The authorization to encumber grant monies will expire at the scheduled conclusion of the approved grant. The final financial statement should be submitted not later than 45 days after the grant expiration date.

School District and Non-Profit grantees are responsible for ensuring that audit and accounting procedures are in compliance with OMB Circular A-128 and 2 C.F.R. Part 200, Subpart F – Audit Requirements.

### **Disallowable Costs**

The following are costs not allowed under US ED fiscal regulations and/or authorizing legislation: bad debts, contingencies, contributions and donations, entertainment costs, fines and penalties, interest and other financial costs, expenses of local governmental bodies such as school boards and city councils, undercover of costs under grant agreements, application preparation costs, and/or capital expenditures.

In addition, the U.S. Department of Education does not expect administrative or executive salaries and benefits to be a lawful purpose of these funds.

Items that may be considered to be educational incentives for students or staff are assumed to be extraneous to the conduct of a federally funded program.

### **Subcontracts**

The Alaska Department of Education & Early Development retains the right to establish the following procedures for sub-contracting within a project resulting from this grant:

1. The grantee may sub-contract for services up to $5,000 without prior approval from the department.
2. Before sub-contracting for services of $5,000 or more the grantee must receive written approval from the Program Manager.
3. Sub-contracts of $5,000 or more must be in written form and a copy sent to the Program Manager for placement in the Grant file.

### **Cancellation**

The Alaska Department of Education & Early Development reserves the right to cancel any grant awarded for any of the following reasons:

1. if the grantee demonstrates fiscal irresponsibility,
2. if the grantee fails to perform in accordance with the conditions of this document,
3. if the grantee fails to perform in accordance with the agreement and any negotiated modifications,
4. if the state no longer has funds available, or
5. if the grantee included misleading or faulty information in this document.

### **Evaluation of Grantee Performance / Continuation of Funding**

Entities receiving state funds are required to meet all necessary reporting requirements of the subgrant. In awarding the subgrant, the state expects the grantees to conduct all activities and evaluation measures as stated in the Grantee Form that are written or negotiated in the approved grant. Failure to provide the requested performance reports and evaluations on all activities as proposed and to implement the subgrant as approved could result in the loss of funding. Any changes to the original approved application (including modifications to goals and/or objectives) must receive prior approval by DEED.

The state reserves the rights to withhold funding, reduce funding, or terminate funding if the grantee is not meeting program reporting requirements, making substantial progress toward meeting identified performance goals and measures, or does not demonstrate a clear need for the allotted level of subgrant support. This includes access to unexpended funds at the end of each fiscal year.

After it has been awarded, the Alaska Department of Education & Early Development may terminate a subgrant by giving the grantee written notice of termination. In the event of termination after award, the Alaska Department of Education & Early Development shall reimburse the grantee for approved subgrant expenses incurred up to the notification of termination.

The state retains the right to refrain from making any awards if it determines that to be in its best interest.

The state reserves the right to add terms and conditions during subgrant negotiations. These terms and conditions will be within the scope of the grant.

The state reserves the right to modify annual awards based on the grantee’s performance towards outcomes outlined in the initial application.

### **Indemnification**

Any contractor shall indemnify, safe harmless and defend the state, its officers, agents and employees from all liability, including costs and expenses, for all actions or claims resulting from injuries or damages sustained by any person or property arising indirectly or indirectly as a result of any error, omission or negligent act of the contractor, subcontractor or anyone directly employed by them in the performance of this contract.

All actions or claims including costs and expenses resulting from injuries or damages sustained by any person or property arising directly or indirectly from the contractor’s performance of this contract which are caused by the joint negligence of the state and the contractor shall be apportioned on a comparative fault basis. Any such joint negligence on the part of the state must be a direct result of active involvement by the state.

### **Insurance**

During the life of this grant, any contractor shall purchase and maintain insurance with a carrier or carriers satisfactory to the Department of Administration, Division of Risk Management, covering injury to persons or property suffered by the State of Alaska or a third party, as a result of errors or omissions or operations which arise both out of and during the sub-contractor engaged in work under this grant. A thirty (30) days prior notice to the Contracting Officer is required before cancellation, non-renewal or breach and ground for termination of the contractor’s services.

Section II: Application

| EEDlogo | Division of Innovation and Education Excellence  P.O. Box 110500  333 Willoughby Ave, Juneau SOB 9th Floor  Juneau, Alaska 99811-0500  **Email**:  [DEED.CARES@alaska.gov](mailto:DEED.CARES@alaska.gov) |
| --- | --- |

**Grantee Data**

|  |  |
| --- | --- |
| **Grantee/Entity Name:** |  |
| **Mailing Address:** |  |
| **Program Contact Name:** |  |
| **Contact Email:** |  |
| **Contact Phone Number:** |  |
| **Authorized Representative Name:** |  |
| **Authorized Representative Email:** |  |
| **Authorized Representative Phone Number:** |  |
| **Unique Entity ID (UEI):** |  |
| **System for Award Management (SAM) Expiration Date:** |  |
| **Amount of Funding Request:** |  |

**By my signature below, I agree, upon the approval of the project application by the Alaska Department of Education & Early Development, to accept and perform the requirements as contained in the Assurance & Certification Packet.**

|  |  |  |
| --- | --- | --- |
| Signature of Authorized Representative |  | Date |
|  |  |  |
|  |  |  |
|  |  |  |

Part A: Project Summary and Goals

**Project Summary**

Provide a summary of the project. This could be the summary proposal already provided to DEED.

**Project Goals**

Create at least 3 specific goals for this project. Consider using SMART goals (specific, measurable, attainable, relevant, and time-based).

*EXAMPLE: By the end of the grant the percent of students scoring proficient in reading, as measured by AK STAR, will increase by 10%.*

**Specific**: Make the goals specific and narrow.

**Measurable**: Define what evidence will prove the project is making progress and reevaluate when necessary.

**Attainable**: Goals can be reasonably accomplished within the timeframe.

**Relevant**: The goals should align with the objectives of the project, purpose of the grant, and allowable uses of funds.

**Time-based**: The time frame should be realistic to complete the project during the life of the grant.

Part B: Budget, Narrative & Summary

Include a detailed budget narrative explaining the specific use of funds.

* **School Districts** - Form [#05-07-071](https://education.alaska.gov/forms/05-07-071.xlsx)
* **Non-profits & For Profits** –Form [#05-07-069](https://education.alaska.gov/forms/05-07-069.xlsx)

Using the state forms for budget/budget narratives referenced above, provide the following information to include a detailed budget and budget narrative that itemizes how you will use grant funds. Indicate in both the budget and the budget narrative the purpose by line item for each of the expenditures, paying particular attention to the following categories:

* **Staffing**: For each position, describe the services to be provided, the duration of services, and the unit rate of pay (salary, per hour or per day).
* **Professional/Technical:** Describe proposed subcontract agreements with other allowable contractors including the cost.
* **Staff Travel:** Indicate how many traveling, the event, amount of time, and cost.
* **Supplies/Materials**: Provide specific information on supplies and materials requested and their costs per site.

# Grantee Assurances

This packet of assurances represents ALL assurances required for the COVID Discretionary Grants. The district/organization should print this packet, have the superintendent or authorized representative sign and date each appropriate page.

**Assurances form a binding agreement between the GRANTEE, the Alaska Department of Education and Early Development, and the U.S. Department of Education that assures all legal requirements are met in accordance with state and federal laws, regulations, and rules. These assurances apply to program activities and expenditures of funds. Compliance to general and specific program assurances is the legal responsibility of the GRANTEE.**

**The GRANTEE certifies the following statements:**

1. The GRANTEE understands and will comply with the provisions, regulations and rules of the Coronavirus Response and Relief Supplemental Appropriations (CRRSA) Act and/or the American Rescue Plan (ARP) Act.
2. The GRANTEE understands and will comply with all applicable assurances for federal grant funds as provided in this COVID Discretionary Assurances Packet.
3. The GRANTEE will provide, on request, other data as required, and will maintain all required documentation.
4. The GRANTEE will comply with the provisions of all applicable acts, regulations, and assurances; the provisions of the Education Department General Administrative Regulations in 34 CFR parts 75, 76, 77, 81, 82, 84, 86, 97, 98, and 99; the OMB Guidelines to Agencies on Governmentwide Debarment and Suspension (Nonprocurement) in 2 CFR part 180, as adopted and amended as regulations of the Department in 2 CFR part 3485; and the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards in 2 CFR part 200, as adopted and amended as regulations of the Department in 2 CFR part 3474.
5. The GRANTEE will comply with all applicable assurances in OMB Standard Forms 424B and D (Assurances for Non-Construction and Construction Programs), including the assurances relating to the legal authority to apply for assistance; access to records; conflict of interest; merit systems; nondiscrimination; Hatch Act provisions; labor standards; flood hazards; historic preservation; protection of human subjects; animal welfare; lead-based paint; Single Audit Act; and the general agreement to comply with all applicable Federal laws, executive orders, and regulations.
6. With respect to the certification regarding lobbying in Department Form 80-0013, no 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 the making or renewal of Federal grants under this program. The GRANTEE will complete and submit Standard Form-LLL, “Disclosure Form to Report Lobbying,” when required (34 CFR part 82, Appendix B).
7. The Grantee will comply with Section 427 of GEPA, 20 U.S.C.1228a. Indicate how the district/organization will comply with the requirements. The description must include information on the steps the district/organization proposes to take to permit students, teachers, and other program beneficiaries to overcome barriers (including barriers based on gender, race, color, national origin, disability, and age) that impede access to, or participation in, the program.

|  |
| --- |
| Provide Response: |

**By my signature I am assuring that:**

1. I am an authorized grantee representative;
2. I certify that to the best of my knowledge the above statements, 1-7, are true; and,
3. Each applicable page of this Federal COVID Discretionary Assurances & Certifications Packet has been signed (as applicable to the grantee).

Name of Authorized Representative:

Signature of Authorized Representative:

Date Signed:

# Elementary and Secondary School Emergency Relief II (ESSER II) Fund Assurances

**In accepting CRRSA Act ESSER II funding the GRANTEE assures that:**

* The GRANTEE will use their funds in accordance with the allowable use of funds listed in Section 313(d) of the CRRSA Act.
* The GRANTEE will comply with all applicable reporting requirements listed in Section 313 of the CRRSA Act.
* The GRANTEE will cooperate with any examination of records with respect to such funds by making records available for inspection, production, and examination, and authorized individuals available for interview and examination, upon the request of (i) the U.S. Department of Education and/or its Inspector General; or (ii) any other federal agency, commission, or department in the lawful exercise of its jurisdiction and authority.
* The GRANTEE receiving funding under this program will have on file with the State a set of assurances that meets the requirements of Section 442 of the General Education Provisions Act (GEPA), 20 U.S.C. 1232e.

**By my signature below, I agree, upon the approval of the project application by the Alaska Department of Education and Early Development, to accept and perform the requirements as contained in the assurances above.**

Not Applicable (GRANTEE does not receive ESSER II)

Signature:  Date:

Title:

# Elementary and Secondary School Emergency Relief III (ESSER III) Fund Assurances

**In accepting ARP Act ESSER III funding the GRANTEE assures that:**

* The GRANTEE will use their funds in accordance with the allowable use of funds listed in Section 2001(d) of the American Rescue Plan Act.
* Records pertaining to the ESSER III award under 2 C.F.R. § 200.334 and 34 C.F.R. § 76.730, including financial records related to use of grant funds, will be retained separately from other grant funds, including funds that a GRANTEE receives under the Coronavirus Aid, Relief, and Economic Security Act (CARES Act) and the Coronavirus Response and Relief Supplemental Appropriations Act, 2021 (CRRSA Act)
* The GRANTEE will comply with all reporting requirements at such time and in such manner and containing such information as the Secretary may reasonably require, including on matters such as:
  + impacts and outcomes (disaggregated by student subgroup) through use of ESSER III funding (e.g., quantitative and qualitative results of ESSER III funding, including on personnel, student learning, and budgeting at the school and district level);
  + student data (disaggregated by student subgroup) related to how the COVID-19 pandemic has affected instruction and learning;
  + requirements under the Federal Financial Accountability Transparency Act (FFATA); and
  + additional reporting requirements as may be necessary to ensure accountability and transparency of ESSER III funds.
* The GRANTEE will cooperate with any examination of records with respect to such funds by making records available for inspection, production, and examination, and authorized individuals available for interview and examination, upon the request of (i) the U.S. Department of Education and/or its Inspector General; or (ii) any other federal agency, commission, or department in the lawful exercise of its jurisdiction and authority.
* The GRANTEE receiving funding under this program will have on file with the State a set of assurances that meets the requirements of Section 442 of the General Education Provisions Act (GEPA), 20 U.S.C. 1232e.

**By my signature below, I agree, upon the approval of the project application by the Alaska Department of Education and Early Development, to accept and perform the requirements as contained in the assurances above.**

Not Applicable (GRANTEE does not receive ESSER III)

Signature:  Date:

Title:

## 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 2 CFR Part 180, "Government-wide Debarment and Suspension (Nonprocurement) 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.

### **LOBBYING**

As required by Section 1352, Title 31 of the U.S. Code, and implemented at 34 CFR Part 82, for persons entering into a grant or cooperative agreement over $100,000, as defined at 34 CFR Part 82, Sections 82.105 and 82.110, the applicant certifies 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 any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the making of 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;
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 grant or cooperative agreement, the undersigned shall complete and submit Standard Form - LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions;
3. The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subgrants, contracts under grants and cooperative agreements, and subcontracts) and that all subrecipients shall certify and disclose accordingly.

### **DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS**

As required by Executive Order 12549, Debarment and Suspension, and implemented at 2 CFR Part 180, for prospective participants in primary covered transactions, as defined at 2 CFR Part 180, Sections

180.105 and 180.110.

* 1. The applicant certifies that it and its principals:

1. Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any federal department or agency;
2. 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 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 (2)(b) of this certification; and

1. ) 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; and
   1. Where the applicant is unable to certify to any of the statements in this certification, he or she shall attach an explanation to this application.

### **3. DRUG-FREE WORKPLACE (GRANTEES OTHER THAN INDIVIDUALS)**

As required by the Drug-Free Workplace Act of 1988, and implemented at 2 CFR Part 180 , Subpart F, for grantees, as defined at 2 CFR Part 180, Sections 180.605 and 180.610.

* 1. The applicant certifies that it will or will continue to provide a drug-free workplace by:

1. 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;
2. ) 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;
3. ) 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);
4. 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;
3. Notifying the agency, in writing, within 10 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: Director, Grants Policy and Oversight Staff, U.S.

Department of Education, 400 Maryland Avenue, S.W. (Room 3652, GSA Regional Office Building No. 3), Washington, DC 20202-4248. Notice shall include the identification number(s) of each affected grant;

1. 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;
2. ) Making a good faith effort to continue to maintain a drug- free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).
   1. The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

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

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

**DRUG-FREE WORKPLACE**

**(GRANTEES WHO ARE INDIVIDUALS)**

As required by the Drug-Free Workplace Act of 1988, and implemented at 2 CFR Part 180, Subpart F, for grantees, as defined at 2 CFR Part 180, Sections 180.605 and 180.610-

1. As a condition of the grant, I certify that I will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant; and
2. If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, I will report the conviction, in writing, within 10 calendar days of the conviction, to: Director, Grants Policy and Oversight Staff, Department of Education, 400 Maryland Avenue, S.W. (Room 3652, GSA Regional Office Building No. 3), Washington, DC 20202-4248. Notice shall include the identification number(s) of each affected grant.

**As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above certifications.**

Name of Applicant:  PR/Award Number and/or Project Name:

Printed Name and Title of Authorized Representative:

Signature:  Date:

## Disclosure of Lobbying Activities

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

(See reverse for public burden disclosure)

**\*Did NOT lobby – Check box, skip sections 1-10, sign below in section 11**

**\*Did lobby – Check box, complete sections 1-10, sign below in section 11**

1. **Type of Federal Action:**

contract

grant

cooperative agreement

loan

loan guarantee

loan insurance

1. **Status of Federal Action:**  bid/offer/application

initial award  post-award**3. Report Type:**

initial filing  material change

**For material change only:**

Year:

Quarter:

Date of last report:

**4. Name and Address of Reporting Entity:**

Prime  Subawardee Tier     , *if known*

**Congressional District, if known:**

1. **Federal Department/Agency:**

1. **Federal Action Number,** *if known:*

**10. a. Name and Address of Lobbying Registrant**

*(if individual, last name, first name, MI):*

1. **If Reporting Entity in No. 4 is Subawardee,**

Enter Name and Address of Prime:

**Congressional District, if known:**

1. **Federal Program Name/Description:**

CFDA Number, *if applicable*:

**9. Award Amount**, *if known:*

**$**

**b. Individuals Performing Services** *(including address if different from No. 10a) (last name, first name, MI):*

**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 the 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:**

**Print Name:**

**Title:**

**Telephone:       Date:**

**Federal Use Only** **Authorized for Local Reproduction Standard Form - LLL (Rev. 7-97)**

Approved by OMB 0348-0046

## 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 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 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; 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).

1. 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