



COMMUNITY SERVICES BLOCK GRANT (CSBG) TRIBAL PLAN & APPLICATION

FILLABLE-PDF TOOL FOR TRIBES & TRIBAL ORGANIZATIONS



Administration for Children & Families
Office of Community Services

A resource provided by the
CSBG Tribal Training and Technical Assistance
Program

June 2019

Under contract with the HHS/ACF Office of Community Services, the CSBG Training & Technical Assistance Program for Tribes and Tribal organizations connects CSBG Tribal grantees and provides information and assistance through webinars, conferences, and direct phone support to maximize the impact of CSBG funding. The program offers free comprehensive training and technical assistance, tools and resource materials, and 1:1 phone consultation.

INSTRUCTIONS

The following fillable-PDF form is provided as a technical assistance tool to assist grantees in producing the CSBG Tribal Plan and Application as required in [Section 676 of the CSBG Act](#). Please follow the step-by-step directions provided in the [CSBG Tribal Plan & Application Tool Guide](#) to ensure successful completion.

As you work through this fillable-PDF, please remember that help is available anytime from the CSBG Tribal T&TA Program team at tribalta@luxcg.com or 301-244-3557.

Note: Grantees with previously approved two-year CSBG Tribal Plans that covered FY 2019 and FY 2020 are only required to submit an updated electronic SF-424M and Annual Report each year to receive funding. Grantees in the middle of their two-year plan are NOT required to re-submit the CSBG Tribal Plan.

OLDC ACCESS

Current CSBG Grant Administrators: Login to the OLDC System and confirm that CSBG is listed as one of your programs. If you are unable to log in or do not have CSBG listed as one of your programs, please complete an [OLDC Access form](#) and submit to Niki Frazier, OCS Senior Records Specialist/Project Lead, at nikita.frazier@acf.hhs.gov.

New CSBG Administrators (Current Grantees): To gain access to the OLDC, new administrators of *current CSBG grantees* must complete an [OLDC Access Form](#) and email it to Niki Frazier, OCS Senior Records Specialist/Project Lead, at nikita.frazier@acf.hhs.gov.

Prospective New Grantees: Any federally- or state-recognized Tribe or Tribal organization that is interested in receiving CSBG funds directly must first contact the Office Community Services at csbgtribes@acf.hhs.gov to receive specific instructions. First-time applicants/prospective grantees will then submit the following before completing a CSBG Tribal Plan and Application:

- Employer Identification Number (EIN) Number; and
- A [signed statement of agreement](#) between the Tribe or Tribal Organization and the state confirming the Tribal population and the percentage of Tribal poverty in the state.

SF-424M

SF-424M Form: All grantees must complete an updated SF-424M with their application materials. (Including those grantees in the middle of a two-year plan.) Please verify that the Tribe or Tribal Organization will complete the SF-424M form as a returning grantee or as first-time/prospective grantee.

- The Tribe or Tribal Organization is a returning grantee and will complete the electronic SF-424M form in the OLDC system.
- The Tribe or Tribal Organization is a first-time/prospective grantee and will follow the instructions provided by their OCS Program Specialist regarding the SF-424M.

SECTION 1

TRIBAL CSBG ADMINISTRATIVE INFORMATION

1.1 CSBG Tribal Plan for: Name of Tribe or Tribal Organization

1.1a Fiscal Years covered by the CSBG Tribal Plan:

- One-Year Plan: 2020
- Two-Year Plan: Year One 2020 | Year Two 2021

1.2 Transmittal Letter: Please provide the following information in relation to the Tribe or Tribal Organization designated to administer CSBG as required in [Sections 676 and 677 of the CSBG Act](#), the [Human Services Reauthorization Act of 1998 \(P.L. 105-285\)](#), and relevant federal policy guidance.

The following information should mirror the information provided on the Application for Federal Assistance, SF-424M.

1.2a Name of Tribe or Tribal Organization:

1.2b Fiscal Years to be covered by the CSBG Tribal Plan:

1.2c Authorized Tribal Official to receive the CSBG Grant Award: Contact information for the Authorized Tribal Official (Chairperson/Chief/CEO) who is to receive the CSBG Grant Award, including:

1.2d Authorized Tribal Official Name:

1.2e Authorized Tribal Official Title:

1.2 Street Address:

1.2g City, State, Zip Code:

1.2h Telephone:

1.2i Fax:

1.2j Email:

1.2k Website:

1.3 Tribal CSBG Program Contact Person: Individual designated *within the Tribe or Tribal Organization* to take the lead in administering the Community Services Block Grant and serve as the primary contact on all programmatic activities. The Tribal Program Contact Person information is as follows:

1.3a CSBG Program Contact Person Name:

1.3b CSBG Program Contact Person Title:

1.3c Street Address:

1.3d City, State, Zip Code:

1.3e Telephone:

1.3f Fax:

1.3g Email:

1.4 Delegation of Authority: Is this Tribe or Tribal Organization's Authorized Tribal Official (Chairperson/Chief/CEO) delegating signature authority to any other individual to sign assurances, certifications, and other required CSBG documents on their behalf?

No, Chairperson/Chief/CEO does not delegate authority to another individual.

Yes, Chairperson/Chief/CEO does delegate authority to another individual, as follows:

Signature Authority is delegated to the following additional Authorized Tribal Official:

1.4a Name:

1.4b Title:

1.4c Telephone Number:

1.4d Email:

1.5 Chairperson/Chief/CEO Signature: I hereby attest that I delegate signature authority to the individual listed above to sign assurances, certifications, and other required CSBG documents on my behalf.

1.5a Name of Tribe:

1.5b Chairperson/Chief/CEO Name:

1.5c Chairperson/Chief/CEO Title:

1.5d Chairperson/Chief/CEO Signature: *(NOTE: Please wait until the CSBG Plan is fully completed before adding all signatures.)*

Please Note: The designation should be updated whenever there is a change to the designee.

SECTION 2

CSBG LEGISLATION AND RESOLUTION

2.1 Tribal Resolution:

Is the applicant representing more than one Tribe? Yes No

If marked "YES", attached are copies of the Tribal Resolutions granting authority to receive CSBG funds.

2.2 Federal or State Recognition

2.2a Does the Tribe or Tribal Organization have Federal Recognition? Yes No

If marked "Yes," please provide the full name of the Tribe or Tribal Organization as it appears in the U.S. Federal Register list of *Indian Entities Recognized by and Eligible To Receive Services From the United States Bureau of Indian Affairs*, published on 02/01/2019:

2.2b If not Federally-recognized, does the Tribe or Tribal Organization have State Recognition? Yes No

If marked "Yes," please provide a link to proof of State Recognition or citation information for the State statute or code acknowledging State Recognition:

SECTION 3

TRIBAL CSBG PLAN DEVELOPMENT AND MISSION, GOALS/OBJECTIVES

- 3.1 Mission & Responsibilities:** The mission and responsibilities of the agency or department within the Tribe or Tribal Organization that will administer the CSBG program are as follows: (Briefly describe the mission and responsibilities.)

Describe the mission and responsibilities of the agency or department within the Tribe or Tribal Organization that will administer the CSBG program.

3.1a CSBG Goals & Objectives: The CSBG-specific goals and objectives for the proposed CSBG funding within the Tribe or Tribal Organization are as follows: (Briefly describe the specific goals and objectives.)

Describe the CSBG-specific goals and objectives for the proposed CSBG funding within the Tribe or Tribal organization

SECTION 4
CSBG HEARING REQUIREMENTS

4.1 CSBG Public Hearing(s): Detail how the Tribe provided the CSBG Tribal Plan to the public for review and comments. Provide the date(s) and location(s) of the CSBG public hearings as required under [Section 676\(e\)\(2\) of the CSBG Act](#):

<p style="text-align: center;">Date</p> <p style="text-align: center;"><i>Enter a date for each hearing in the boxes below</i></p>	<p style="text-align: center;">Location</p> <p style="text-align: center;"><i>Enter the location and address for each public hearing in the boxes below.</i></p>

4.1a All grantees must provide evidence that the public hearing took place and was open to the community.

- The Tribe or Tribal Organization will attach a copy of their Public Hearing announcement in the OLDC system.

SECTION 5
USE OF FUNDS AND FISCAL CONTROLS

5.1 Planned CSBG Allocation Funds: *According to the CSBG Act, not more than five (5) percent can be allocated to administrative items, and not less than 95 percent can be allocated to program funds. Provide the planned allocation in percent for Administrative and Program CSBG funding. If this is a two-year plan, please provide the planned allocations for both years.*

	Fiscal Year <i>[Enter fiscal year]</i> % of CSBG Funding	Fiscal Year % of CSBG Funding
Administrative <i>(Not more than 5%)</i>		
Program <i>(Not less than 95%)</i>		

5.2 Limitation on the Use of Funds: The Tribe or Tribal Organization acknowledges and assures that they will abide by the CSBG limitations outlined in [Section 678F of the CSBG Act](#) as follows:

Note: Funds will not be used for the purchase or improvement of land, or the purchase, construction, or permanent improvement (other than low-cost residential weatherization or other energy-related home repairs) of any building or other facility without an approved federal waiver. *(View instructions in [Section 678F of the CSBG Act](#) for information on waivers for construction.)*

5.3 Single Audit Review: Provide the date and the period (timeframe) that the most recent audit covers.

DATE	PERIOD

SECTION 6

INDIVIDUAL ELIGIBILITY REQUIREMENTS AND TARGET COMMUNITIES

6.1 Individual and Community Income Eligibility Requirements: Please provide the income eligibility information for services provided with CSBG funds in the sections below.

6.1a Required Income Eligibility: Please describe any policy and/or procedures for income eligibility, such as treatment of income and family/household composition. *(Please note the maximum eligibility is up to 125% of poverty line.)*

Enter or attach any policies and procedures made to ensure income eligibility requirements are made.

6.1b Target Communities: Describe how the organization ensures that services target and benefit low-income communities, for those services that provide a community-wide benefit.

SECTION 7

CSBG ASSURANCES & IMPLEMENTATION NARRATIVES

Community Services Block Grant Assurances

Community Services Block Grant Reauthorization Act of 1998: P.L. 105-285g

Please read all sections of the CSBG Assurances (summarized below and detailed in Section 676 of the Community Services Block Grant Reauthorization Act of 1998: P.L. 105-285) and apply the Authorized Tribal Official's signature to affirm. (**NOTE:** *Please wait until the CSBG Plan is fully completed before adding all signatures. Also, signatures will be authorized for up to two-years (FY2020 and FY2021) provided that there is not a change in the Authorized Official. If there is a change in Authorized Official, new signatures will be needed on the FY21 CSBG Tribal Plan & Application.*)

7.1 Statement of CSBG Assurances:

As a part of the annual or biannual application and plan required by subsection 676 of Community Services Block Grant Act, as amended, (412 U.S. C.9901 et seq.) (The Act), the designee of the Chief Executive of the State hereby agrees to the Assurances in Section 676 of the Act (summarized below and detailed in Section 676 of the CSBG Act) —

Programmatic Assurances

(1) An assurance that funds made available through the grant or allotment will be used for at least one of the following purposes [per 676(b)1] —

- (A) to support activities that are designed to assist low-income families and individuals, including families and individuals receiving assistance under part A of title IV of the Social Security Act (42 U.S.C. 601 et seq.), homeless families and individuals, migrant or seasonal farm workers, and elderly low-income individuals and families:
 - (i) to remove obstacles and solve problems that block the achievement of self-sufficiency;
 - (ii) to secure and retain meaningful employment;
 - (iii) to attain an adequate education with particular attention toward improving literacy skills of the low-income families in the community, which may include family literacy initiatives;
 - (iv) to make better use of available income;
 - (v) to obtain and maintain adequate housing and a suitable living environment;
 - (vi) to obtain emergency assistance through loans, grants, or other means to meet immediate and urgent individual and family needs;

(vii) to achieve greater participation in the affairs of the communities involved, including the development of public and private grassroots partnerships with local law enforcement agencies, local housing authorities, private foundations, and other public and private partners.

(B) to address the needs of youth in low-income communities through youth development programs that support the primary role of the family, give priority to the prevention of youth problems and crime, and promote increased community coordination and collaboration in meeting the needs of youth, and support development and expansion of innovative community-based youth development programs that have demonstrated success in preventing or reducing youth crime, such as

(i) programs for the establishment of violent-free zones that would involve youth development and intervention models (such as models involving youth mediation, youth mentoring, life skills training, job creation, and entrepreneurship programs);

(ii) after-school child care programs

(C) to make more effective use of, and to coordinate with, other programs related to the purposes of this subtitle.

(2) An assurance that information provided by the Tribe will contain the following [per 676(b)3] —

(A) a description of the service delivery system, for services provided or coordinated with funds made available through grants made under section 675C(a), targeted to low-income Individuals and families in communities within the Tribe;

(B) a description of how linkages will be developed to fill identified gaps in the services, through the provision of information, referrals, case management, and follow-up consultations;

(C) a description of how funds made available through grants made under section 675C(a) will be coordinated with other Public and private sources;

(D) a description of how the Tribe will use the funds to support innovative initiatives, which may include fatherhood initiatives and other initiatives with the goals of strengthening families and encouraging effective parenting.

(3) An assurance that the Tribe will provide, on an emergency basis, for the provision of such supplies and services, nutritious foods, and Related services, as may be necessary to counteract conditions of Starvation and malnutrition among low-income individuals. [per 676(b)4]

(4) An assurance that the Tribe will ensure coordination between antipoverty programs in each community within the Tribe, and ensure, where appropriate, the emergency energy crisis intervention programs under title XXVI (relating to low-income home energy assistance) are conducted in such community. [per 676(b)6]

(5) An assurance that the Tribe will permit and cooperate with Federal investigations undertaken in accordance with section 678D. [per 676(b)7]

(6) An assurance that the Tribe will participate in the Results Oriented Management Accountability (ROMA) System, another performance measure system for which the Secretary facilitated development pursuant to section 678E(b), or an alternative system for measuring performance and results that meets the requirements of that section, and a description of outcome measures to be used to measure performance in promoting self-sufficiency, family stability, and community revitalization. [per 676(b)13]

Administrative and Financial Assurances

The Tribe further agrees to the following administrative assurances, as required under the Community Services Block Grant Act —

(1) An assurance to prohibit any activities to provide voters and perspective voters with transportation to the polls or provide similar assistance in connection with an election or any voter registration activity as required by Section 678F(b)(2)(B) and (C) of the Act.

(2) An assurance to expend for administrative expenses an amount not to exceed the greater of five percent of its allotment or the percentage represented by the ratio of \$55,000 to the smallest State allotment for the fiscal year as required by Section 675(C)(b)(2) of the Act.

(3) An assurance that the Tribe agrees to provide that fiscal control and fund accounting procedures will be established as may be necessary to assure the proper disbursement of the accounting for Federal funds paid to the Tribe or Tribal Organization under this subtitle, including monitoring the assistance under this subtitle. 678D(a)(1)(A)

(4) An assurance that each Tribe that expends \$750,000 or more (during the fiscal year) in all types of Federal financial assistance must conduct an audit in accordance with the Single Audit Act, P.L. 98-502 (3) U.S.C 75 and OMB Circular A-133 Subpart B). 678D(2)(B)

(5) An assurance that the Tribe will make each CSBG Tribal Plan or revised plan available for public inspection in such a manner as will facilitate public review of and comment on the proposed use and distribution of CSBG funds. [per 676(a)(2)(B) and 676(e)(2)]

Other Administrative Certifications

The Tribe also certifies the following —

(1) To provide assurances that cost and accounting standards of the Office of Management and Budget shall apply to a recipient of Community Services Block Grant program funds. [per 678D(a)(1)(B), as well as 2 CFR 200, Uniform Administrative Requirements and 45 CFR 75]

7.2 Authorized Tribal Official Affirmation Signature:

Please Note: These assurances will be valid for two years unless the organization and/or the official changes

I hereby affirm that the Tribe or Tribal Organization will ensure compliance with the assurances above.

7.2a Name of Tribe or Tribal Organization:

7.2b Authorized Tribal Official Name:

7.2c Authorized Tribal Official Signature:

(Note: Please wait until the CSBG Plan is fully completed before adding all signatures.)

7.3 Implementation of CSBG Assurances:

7.3a CSBG Service Delivery System: A description of the service delivery system for services provided by or coordinated with CSBG funds include the following:

Provide a description of CSBG Service Delivery System.

7.3b CSBG Geographical Areas and Individuals: Information about geographical areas and categories of individuals to be served with CSBG funds include the following:

Provide a description of geographical areas and categories of individuals being served.

7.3c Method & Criteria for Distribution of Funds: A description of the criteria and method used for the distribution of CSBG funds is as follows:

Provide a description of criteria and method used for distribution of funds.

7.3d Purpose of Funds: Tribes are required to implement at least one of the programmatic assurances as stated in [Section 676\(b\) of the CSBG Act](#) of the CSBG Act. Provide a description of the activities to be supported with CSBG funds that will address at least one of the following areas (for any section that is not applicable, please type N/A):

7.3.d.i. Assist low-income families and individuals in removing obstacles that block the achievement of self-sufficiency; secure and retain meaningful employment; attain adequate literacy and education; make better use of available income; obtain and maintain adequate housing; obtain emergency assistance and achieve greater participation in the affairs of the communities.

Provide a description of activities that assist low-income families/individuals in removing obstacles. (If you are not providing this service, please indicate "N/A" for not applicable.)

7.3.d.ii Address the needs of youth in low-income communities through youth development programs, such as programs for the establishment of violence-free zones and after- school child care programs.

Provide a description of activities that address needs of youth in low-income communities. (If you are not providing this service, please indicate "N/A" for not applicable.)

7.3.d.iii Make more effective use of, and to coordinate with, other programs related to the purposes of the CSBG Act (including welfare reform efforts).

Provide a description of activities that coordinate with other programs related to the purposes of the CSBG Act. (If you are not providing this service, please indicate "N/A" for not applicable.)

7.3e Linkages: A description of how linkages will be developed to fill identified gaps in services, through the provision of information, referrals, case management, and follow up consultations.

Provide a description of how linkages will be developed.

7.3f Coordination with Other Public and Private Resources: A description of how funds made available will be coordinated with other public and private resources is as follows:

Provide a description of coordination with other resources.

7.3g Innovative Community and Neighborhood-based Initiatives: A description of how funds will be used to support innovative community and neighborhood-based initiatives related to the purposes of the CSBG, which may include fatherhood initiatives and other initiatives with the goal of strengthening families and encouraging effective parenting is as follows:

Provide a description of how funds will be used to support innovative and neighborhood-based initiatives.

7.3h Plan for the provision of emergency services: A description of how the provision of emergency services will be provided with CSBG funds.

Provide a description of how emergency services will be provided. (OPTIONAL)

7.3i Performance Management and Accountability System: A description of the outcome measures to be used to measure the performance of CSBG-specific goals and objectives in promoting self- sufficiency, family stability, and community revitalization is as follows:

Provide a description of how outcome measures will be used. (OPTIONAL.)

SECTION 8 FEDERAL CERTIFICATIONS

Federal Certifications: Below are each of the four required Federal Certifications. At the end of each certification, please provide the Authorized Tribal Official's signature to affirm compliance with the certifications.

Note: Please wait until the CSBG Plan is fully completed before adding all signatures. Also, signatures will be authorized for up to two-years (FY 2020 and FY 2021) provided that there is not a change in the Authorized Official. If there is a change in Authorized Official, new signatures will be needed on the FY 2021 CSBG Tribal Plan & Application.

Certification Regarding Lobbying:

Certification for Contracts, Grants, Loans, and Cooperative Agreements –

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

- (1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
- (2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.
- (3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly. This certification is a material representation of fact upon which reliance was placed when this

transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Statement for Loan Guarantees and Loan Insurance

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

8.1 Authorized Tribal Official Signature: I hereby affirm that the Tribe or Tribal Organization will ensure compliance with the certification above.

Please Note: Effective FY 2020 these assurances will be for 2 years unless there is a change in the authorizing officials or CSBG administrator.

8.1a Name of Tribe or Tribal Organization:

8.1b Authorized Tribal Official Name:

8.1c Authorized Tribal Official Signature:

(NOTE: Please wait until the CSBG Plan is fully completed before adding all signatures.)

Certification Regarding Drug-Free Workplace Requirements

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

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

- (1) By signing and/or submitting this application or grant agreement, the grantee is providing the certification set out below.
- (2) The certification set out below is a material representation of fact upon which reliance is placed when the agency awards the grant. If it is later determined that the grantee knowingly rendered a false certification, or otherwise violates the requirements of the Drug-Free Workplace Act, the agency, in addition to any other remedies available to the Federal Government, may take action authorized under the Drug-Free Workplace Act.
- (3) For grantees other than individuals, Alternate I applies.
- (4) For grantees who are individuals, Alternate II applies.
- (5) Workplaces under grants, for grantees other than individuals, need to be identified on the certification. If known, they may be identified in the grant application. If the grantee does not identify the workplaces at the time of application, or upon award, if there is no application, the grantee must keep the identity of the workplace(s) on file in its office and make the information available for Federal inspection. Failure to identify all known workplaces constitutes a violation of the grantee's drug-free workplace requirements.
- (6) Workplace identifications must include the actual address of buildings (or parts of buildings) or other sites where work under the grant takes place. Categorical descriptions may be used (e.g., all vehicles of a mass transit authority or State highway department while in operation, State employees in each local unemployment office, performers in concert halls or radio studios).

- (7) If the workplace identified to the agency changes during the performance of the grant, the grantee shall inform the agency of the change(s), if it previously identified the workplaces in question (see paragraph five).
- (8) Definitions of terms in the Nonprocurement Suspension and Debarment common rule and Drug-Free Workplace common rule apply to this certification. Grantees' attention is called, in particular, to the following definitions from these rules:

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

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

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

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

Certification Regarding Drug-Free Workplace Requirements

Alternate I. (Grantees Other Than Individuals)

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

- (a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
- (b) Establishing an ongoing drug-free awareness program to inform employees about - -
- (1) The dangers of drug abuse in the workplace;

- (2) The grantee's policy of maintaining a drug-free workplace;
 - (3) Any available drug counseling, rehabilitation, and employee assistance programs; and
 - (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
- (c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);
- (d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will - -
- (1) Abide by the terms of the statement; and
 - (2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;
- (e) Notifying the agency in writing, within 10 calendar days after receiving notice under paragraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;
- (f) Taking one of the following actions, within 30 calendar days of receiving notice under paragraph (d)(2), with respect to any employee who is so convicted - -
- (1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or
 - (2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;
- (g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e) and (f).

The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

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

Check if there are workplaces on file that are not identified here. Alternate II. (Grantees Who Are Individuals)

- (a) The grantee certifies that, as a condition of the grant, he or she will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant;
- (b) If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, he or she will report the conviction, in writing, within 10 calendar days of the conviction, to every grant officer or other designee, unless the Federal agency designates a central point for the receipt of such notices. When notice is made to such a central point, it shall include the identification number(s) of each affected grant.

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

8.2 Authorized Tribal Official Signature: I hereby affirm that the Tribe or Tribal Organization will ensure compliance with the certification above.

Please Note: Effective FY 2020 these assurances will be for 2 years unless there is a change in the authorizing officials or CSBG administrator.

8.2a Name of Tribe or Tribal Organization:

8.2b Authorized Tribal Official Name:

8.2c Authorized Tribal Official Signature:

(NOTE: Please wait until the CSBG Plan is fully completed before adding all signatures.)

Certification Regarding Debarment, Suspension, and Other Responsibility Matters

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

Instructions for Certification

- (1) By signing and submitting this proposal, the prospective primary participant is providing the certification set out below.
- (2) The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.
- (3) The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.
- (4) The prospective primary participant shall provide immediate written notice to the department or agency to which this proposal is submitted if at any time the prospective primary participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
- (5) The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded, as used in this clause, have the meanings set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549. You may contact the department or agency to which this proposal is being submitted for assistance in obtaining a copy of those regulations.
- (6) The prospective primary participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into

any lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.

- (7) The prospective primary participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusive-Lower Tier Covered Transaction," provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
- (8) A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that is not proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the List of Parties Excluded from Federal Procurement and Nonprocurement Programs.
- (9) Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
- (10) Except for transactions authorized under paragraph 6 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

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

- (1) The prospective primary participant certifies to the best of its knowledge and belief, that it and its principals:
 - (a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded by any Federal department or agency;
 - (b) Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
 - (c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and
 - (d) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.
- (2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

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

Instructions for Certification

- (1) By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.
- (2) The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government the department or

agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

- (3) The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or had become erroneous by reason of changed circumstances.
- (4) The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded, as used in this clause, have the meaning set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.
- (5) The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.
- (6) The prospective lower tier participant further agrees by submitting this proposal that it will include this clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transaction," without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
- (7) A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, ineligible, or voluntarily excluded from covered transactions, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the List of Parties Excluded from Federal Procurement and Nonprocurement Programs.
- (8) Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this

clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

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

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

- (1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.
- (2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

8.3 Authorized Tribal Official Signature: I hereby affirm that the Tribe or Tribal Organization will ensure compliance with the certification above.

Please Note: Effective FY 2020 these assurances will be for 2 years unless there is a change in the authorizing officials or CSBG administrator.

8.3a Name of Tribe or Tribal Organization:

8.3b Authorized Tribal Official Name:

8.3c Authorized Tribal Official Signature:

(NOTE: Please wait until the CSBG Plan is fully completed before adding all signatures.)

Certification Regarding Environmental Tobacco Smoke

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

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

8.4 Authorized Tribal Official Signature: I hereby affirm that the Tribe or Tribal Organization will ensure compliance with the certification above.

Please Note: Effective FY 2020 these assurances will be for 2 years unless there is a change in the authorizing officials or CSBG administrator.

8.4a Name of Tribe or Tribal Organization:

8.4b Authorized Tribal Official Name:

8.4c Authorized Tribal Official Signature:

(NOTE: Please wait until the CSBG Plan is fully completed before adding all signatures.)

SECTION 9 ANNUAL REPORT

9.1 Mandatory Annual Report:

All renewing grantees must submit an Annual Report *each year* (including grantees with previously-approved two-year CSBG Tribal Plans).

Please Note: Starting FY19 all Annual Reports will be due on **December 30** of each year.

The Annual Report is a narrative description of how the grantee met its CSBG goals and objectives and provides information on the types of projects supported with CSBG funding awarded in the previous fiscal year.

- The Tribe or Tribal Organization will complete and submit a FY19 CSBG Annual Report by December 30, 2019

END OF FORM

Please save your PDF form. Then review and confirm that that you have provided all of the necessary information before adding the required signatures. (Instructions regarding signatures can be found in the [CSBG Tribal Plan & Application Tool Guide](#).) Once signatures have been added, save your final signed PDF file. It will be ready to be submitted as part of your official FY2020 CSBG Tribal Plan & Application package. Please refer to the [CSBG Tribal Plan & Application Tool Guide](#) for detailed instructions on how to submit your official FY 2020 CSBG Tribal Plan & Application package to OCS.