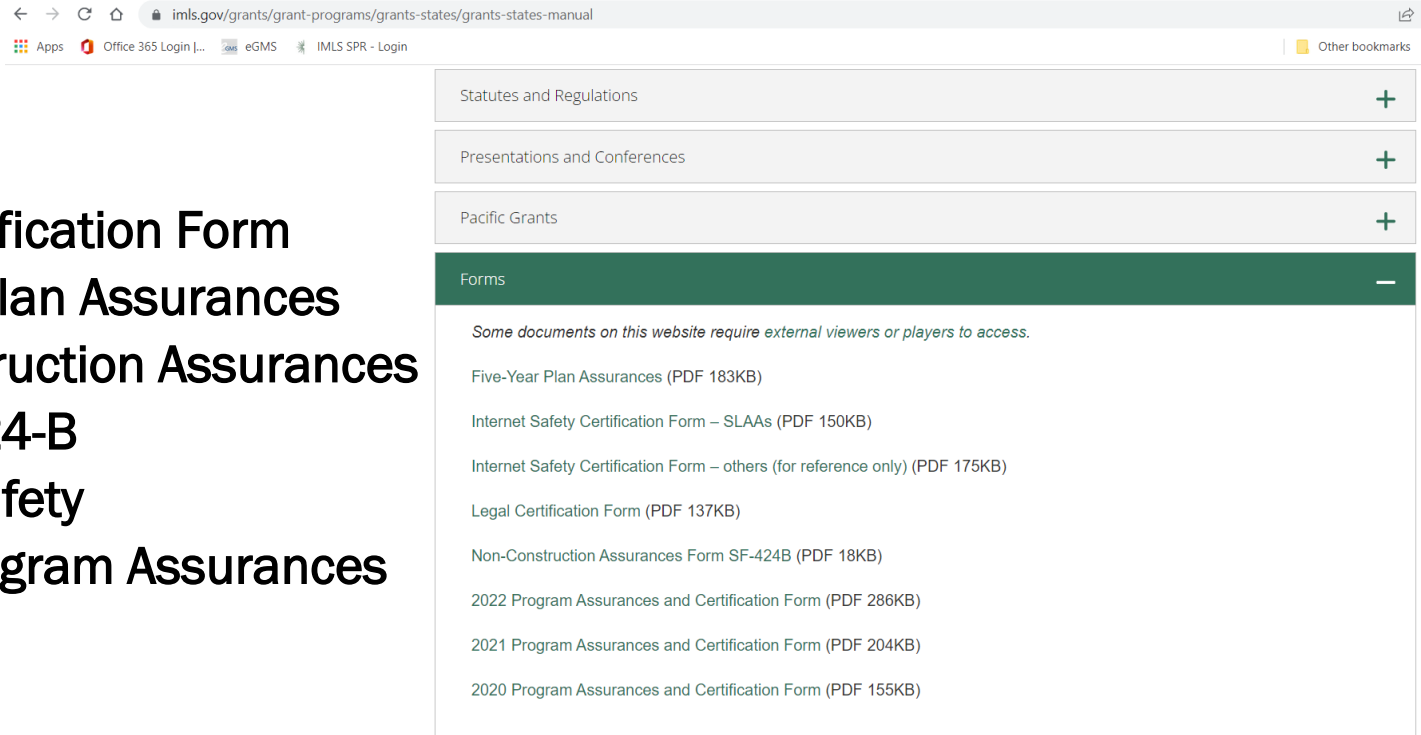




Required Certifications

Grant Certifications

- Legal Certification Form
- Five-Year Plan Assurances
- Non-Construction Assurances Form SF424-B
- Internet Safety
- Annual Program Assurances



The screenshot shows a web browser window with the URL imls.gov/grants/grant-programs/grants-states/grants-states-manual. The page content is organized into a sidebar menu and a main content area. The sidebar menu includes: Statutes and Regulations (+), Presentations and Conferences (+), Pacific Grants (+), and Forms (-). The 'Forms' section is expanded, showing a list of documents with their respective file sizes:

- Some documents on this website require external viewers or players to access.
- Five-Year Plan Assurances (PDF 183KB)
- Internet Safety Certification Form – SLAAs (PDF 150KB)
- Internet Safety Certification Form – others (for reference only) (PDF 175KB)
- Legal Certification Form (PDF 137KB)
- Non-Construction Assurances Form SF-424B (PDF 18KB)
- 2022 Program Assurances and Certification Form (PDF 286KB)
- 2021 Program Assurances and Certification Form (PDF 204KB)
- 2020 Program Assurances and Certification Form (PDF 155KB)

All forms available at: <https://imls.gov/grants/grant-programs/grants-states/grants-states-manual>



Why is this Information Important?

- Legal requirements reflect grantees' agreements with the Federal Government
- Requirements reflect National policies
- Grantees are responsible for compliance
- Failure to comply can have serious consequences



Coverage of Certifications

1. Program Integrity
 - Debarment and Suspension
 - No Delinquent Debt
 - Drug-Free Workplace
 - Lobbying
2. Equal access to Federally-funded programs
3. Responsible use of public funds
4. National priorities



1. Program Integrity: Debarment and Suspension

- This means Government-wide exclusion from federal funding
- Focuses on fraud or wrongdoing:
 - Conviction for fraud/false claims
 - Serious violation of public agreement
 - Knowingly doing business with debarred entity (or person)
- Information:
 - SAM.gov
 - IMLS's Debarment and Suspension regulations:
<https://www.ecfr.gov/current/title-2/subtitle-B/chapter-XXXI/part-3185>



1. Program Integrity: No Delinquent Debt

- The Grantee certifies that it is not delinquent in the repayment of any federal debt
- If you have delinquent federal debt, your grant payments may be diverted to U.S. Treasury to cover the debt



1. Program Integrity: Drug-Free Workplace

- Grantees certify that they maintain a drug-free workplace and a Drug-Free Awareness Program
- Grantees identify grant work sites and keep this information on file
- Grantees must prepare and issue a Drug-Free Workplace Policy
- Grantees maintain a “Drug-Free Awareness Program”
- IMLS's Drug-Free Workplace regulations: <https://www.ecfr.gov/current/title-2/subtitle-B/chapter-XXXI/part-3186>
- Drug-Free Workplace Program Requirement: <https://www.samhsa.gov/workplace/legal/federal-laws/contractors-grantees>



1. Program Integrity: Lobbying

- Cannot use federally appropriated funds to influence federal agency officials or Congress
- Certification required from grantee and any subrecipients



Additional Program Integrity

- 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
 - For personal gain



2. Equal Access

- Title VI of the Civil Rights Act of 1965
 - Prohibits discrimination on the basis of race, color, national origin
- Section 504 of the Rehabilitation Act
 - Prohibits discrimination on the basis of disability
- Age Discrimination in Employment Act
 - Prohibits discrimination on the basis of age
- Title IX of the Education Amendments of 1972
 - Prohibits discrimination on the basis of sex in education programs



3. Responsible Use of Public Funds: Certification

- True/correct information: “I certify to the best of my knowledge and belief that this report is true in all respects and that all disbursements have been made for the purpose and conditions of the grant”
- You confirm this at:
 - Application: Will comply with all laws and regulations
 - Request for Drawdown: Will use funds in compliance with all laws and regulations
 - Reports: Have complied with all laws and regulations/funds were used in compliance with all laws and regulations



4. National Priorities

- National Environmental Policy Act
- Protection of Wetlands / Wild and Scenic Rivers
- Flood Hazards
- Coastal Zone Management Act
- Clean Air / Clean Water Acts
- Protection of Endangered Species



4. National Priorities: Historical/Archeological

- National Historic Preservation Act (Section 106)
- Archeological Resources Protection Act
- Do you know your Historic Preservation Officer (SHPO)? A directory is here: <https://ncshpo.org/directory/>
- The National NAGPRA Program
<https://www.nps.gov/subjects/nagpra/index.htm>



Strategies for Success: Administration

- Develop internal controls: Tools to ensure that objectives are carried out and actions are taken to address risks
 - Keep a policies and procedures manual and checklist for things to do
 - Centralized authority, assign roles, communicate
 - Sign-off system
- Communicate conditions of grant acceptance to others in the program
- Maintain records
 - Create a system
 - Maintain calendar



Strategies for Success: Execution

- Conduct site visits on funded programming
- Provide training to staff
- Convey consequences of non-compliance
- Develop written materials/printed/website
- Coordinate accounting and program staff
- Open lines of communication and obtain technical assistance
- Awareness of proper resources
 - Grants to States Manual



For Additional Information

“I've Signed My Name, What's It Mean”
Webinar (May 27, 2022), Presented by the
IMLS General Counsel

[**I've Signed My Name, What's It Mean
Presentation**](#) (PDF 340KB)

[**Recorded Playback of Webinar**](#)



Questions?