

**REQUEST FOR PROPOSALS**  
**For**  
**CHILDREN'S ADVOCACY CENTERS**  
**under the**  
**ANTI-DRUG ABUSE ACT OF 1988 (EDWARD BYRNE MEMORIAL FUND)**  
**administered by the**  
**Illinois Criminal Justice Information Authority**

Program Duration: Maximum of 12 months beginning on or about July 1, 2000. Funding beyond the initial period, up to a total of 48 months, is dependent on performance and availability of funds.

Available Funds: A maximum of \$75,000 is available for these programs. Funds will be allocated among multiple programs depending on the number and quality of responses received. The total federal award to each program will be no larger than \$37,500 and no smaller than \$25,000. These funds are a portion of a federal grant from the Bureau of Justice Assistance, Office of Justice Programs, U.S. Department of Justice to the Illinois Criminal Justice Information Authority.

Match: Grant funds may not be used for more than 75% of the total cost of the program. The remaining portion of the program costs must be met through a cash match contribution to the program from non-federal sources.

Eligibility: Eligible applicants include units of local government which have established a Children's Advocacy Center as provided in the Children's Advocacy Center Act (55 ILCS 80) or units of local government on behalf of a Children's Advocacy Center as provided in the Children's Advocacy Center Act (55 ILCS 80).

Proposal Deadline: Proposals (one unbound original and five copies) must be received by **noon (12:00 pm) on Friday, April 14, 2000**. Facsimile transmissions are not acceptable. Late proposals will not be accepted. To be accepted for consideration, proposals must meet the requirements set forth in this Request for Proposals (RFP).

Questions: Call the Illinois Criminal Justice Information Authority's toll-free number at 1-888-425-4248. This RFP may also be downloaded from the Authority's web site: [www.icjia.state.il.us](http://www.icjia.state.il.us).

## **PART I: OVERVIEW**

The Anti-Drug Abuse Act of 1988 created the Edward Byrne Memorial State and Local Law Enforcement Assistance Program to assist states in funding programs that reduce and prevent crime, violence, and drug abuse. The Illinois Criminal Justice Information Authority (Authority) administers these federal funds in Illinois. In response to an analysis of available data received by the Authority during public hearings, and a review of resources available to support activities related to the investigation and prosecution of child physical and sexual abuse, the Authority earmarked \$75,000 in federal fiscal year 1998 Anti-Drug Abuse Act (ADAA) funds to be allocated through this Request for Proposals for the development or expansion of Children's Advocacy Centers.

**The programs funded through this process may not focus solely on the purchase of equipment.**

Rather, funded programs must focus on the implementation of programs and strategies that address a clearly defined problem. **Funds may only be used to initiate or enhance investigative and/or forensic interview services, which are undertaken under the auspices of a Children's Advocacy Center which meets the requirements set forth in the Children's Advocacy Center Act (55 ILCS 80).**

Proposal development must carefully follow the requirements set forth in the following sections. Proposals must:

- A. Be as concise as possible, yet include all required details and address the requirements set forth herein;
- B. Use language that is clear to persons who are not expert in the field of criminal justice; and
- C. Clearly and fully explain how the applicant intends to fulfill RFP requirements.

## **PART II: BACKGROUND**

The Illinois Criminal Justice Information Authority is the state agency charged with the administration of Anti-Drug Abuse Act (Byrne Memorial Formula Grant) funds. The program is supported by annual appropriations from Congress to the Bureau of Justice Assistance, Office of Justice Programs, U.S. Department of Justice. The formula grant awarded to Illinois is based on population. A minimum of 64.51% of the Byrne award must be passed through to local units of government.

During the public hearings the Authority conducted to determine priorities for the Victims of Crime Act (VOCA) FFY99 funds, the need for investigative and forensic interview services for Child Advocacy Centers was raised. It was noted that when child sexual abuse is suspected, evaluations of children pose many challenges. Obtaining reliable and accurate details of the abusive event(s) or ascertaining if a crime has been committed can be a difficult process. The child's age, developmental level, and emotional state at the time of the interview may influence the information he or she can provide. Thus the forensic interview of a victim conducted by a well-trained professional may be the most important part of the investigation, as the information obtained will often be the basis for determining whether or not to arrest and prosecute an alleged offender—particularly when physical evidence is limited or unavailable.

To facilitate these investigations and limit the trauma resulting from multiple interviews of child victims, the Illinois General Assembly passed the Children's Advocacy Center Act in 1989. Children's Advocacy Centers are to coordinate the investigation, prosecution, and treatment referral in child abuse cases. The law also established guidelines for the creation of an advisory board to develop a coordinated protocol for the handling of child sexual abuse cases among various agencies responsible for investigation, prosecution, and treatment referral. The purpose of the protocol is to ensure coordination and cooperation among all agencies involved in child sexual abuse cases so as to increase the efficiency and effectiveness of those agencies, to minimize the stress created for the child and his/her family by the investigatory and judicial process, and to ensure that more effective treatment is provided for the child and his/her family. Well-trained, experienced staff are critical to the success of these programs.

Federal guidelines prohibit VOCA funds being used for investigative or forensic interview services. Since ADAA funds may be used to provide these services, the Authority set-aside \$75,000 from FFY98 ADAA funds for the establishment or expansion of Children's Advocacy Centers.

### **PART III: ELIGIBILITY**

Eligible applicants include units of local government which have established a Children's Advocacy Center as provided in the Children's Advocacy Center Act (55 ILCS 80/4) or units of local government on behalf of a Children's Advocacy Center as provided in the Children's Advocacy Center Act (55 ILCS 80/4).

### **PART IV: MATCH**

Grant funds may not be used for more than 75% of the total cost of the program. The remaining portion of the program costs must be met through a cash contribution by the applicant from non-federal sources. **These matching funds must be new/additional dollars, not the reassignment of existing staff or resources to the proposed program.**

### **PART V: REPORTING REQUIREMENTS**

Monthly progress and fiscal reports will be required of all successful applicants. The nature and format of these reports will be determined by the Authority prior to implementation of the program. The purpose of these reports is to allow the Authority to monitor the progress of the program and program expenditures. In addition, final summary reports will be required for both programmatic and fiscal activity.

### **PART VI: LEVEL AND DURATION OF FUNDING**

A maximum of \$75,000 is being made available through this RFP to be distributed among multiple programs depending on the number and quality of responses. Each program will have a term of 12 months,

commencing on or about July 1, 2000. Funding beyond the initial 12-month period is dependent on program performance and availability of funds. No program will be funded beyond 48 months of program activity.

The total federal award to each program will be no larger than \$37,500 and no smaller than \$25,000. Grant funds may not be used for more than 75% of the total cost of the program. The remaining portion of the program costs must be met through a cash contribution by the program agency from non-federal sources.

**Matching funds must be new/additional dollars, not the reassignment of current personnel or resources to the proposed program.**

These funds are a portion of a federal grant to the Illinois Criminal Justice Information Authority from the Bureau of Justice Assistance, Office of Justice Programs, U.S. Department of Justice.

#### **PART VII: SUPPLANTING**

Byrne funds and matching funds may not be used to supplant or replace existing state, local or other non-federal funds. **Funding must be used to develop new services or expand existing services for investigative and/or forensic interview services. This includes the hiring, training, and equipping of personnel, as well as equipping an appropriate interview room. Proposals may not be for equipment only.**

## **PART VIII: PROPOSAL DEADLINE**

**Proposals must be received by Noon (12:00 p.m.), Friday, April 14, 2000. Facsimile transmissions will not be accepted. Late proposals will not be accepted.**

Proposals must be mailed or delivered to:

Ms. Laura Egger  
Federal & State Grants Unit  
Illinois Criminal Justice Information Authority  
120 S. Riverside Plaza, Suite 1016  
Chicago, Illinois 60606-3997  
Attention: CAC RFP

**Proposal packages will be opened at 2:00 p.m. on Friday, April 14, 2000, at the Authority. All proposals not submitted in sealed envelopes will be rejected. Submissions which do not include the complete original proposal (unbound) and five copies of the proposal (including all items A through E, as outlined in Part IX: Proposal Content, below) will not be considered.**

## **PART IX: PROPOSAL CONTENT**

To be accepted for consideration, proposals must meet the requirements set forth in this RFP. The total federal award to each program will be no larger than \$37,500 and no smaller than \$25,000. Grant funds may not be used for more than 75% of the total cost of the program. The remaining portion of the program costs must be met through a cash matching contribution by the applicant from non-federal sources. **Funds may only be used for providing investigative and/or forensic interview services.**

**Applicants must submit a sealed envelope (marked Attn: CAC RFP) containing an original (unbound) proposal and five copies of the proposal. Copies may be bound. Submissions must be on 8 1/2" x 11" paper, single sided, 12pt font, double-spaced, with margins of not less than 1" each and include, in the order indicated:**

- A) A completed cover page that includes the name, address and Federal Employer Identification Number (FEIN) for the applicant unit of local government; the full name and telephone number of a contact person; applicant facsimile number; and the total amount of federal funding requested (ATTACHMENT A).
- B) A signed certification that the applicant is not barred from contracting with any unit of state or local government as a result of a violation of 720 ILCS 5/33E-3 or 5/33E-4, and the applicant shall notify the Authority's Ethics Officer if the applicant solicits or intends to solicit for employment any of the Authority's employees during any part of the application process or during the term of any contract awarded. [form attached -- ATTACHMENT 1].
- C) A signed certification regarding the State of Illinois Drug Free Workplace Act (30 ILCS 580). [form attached -- ATTACHMENT 2].
- D) Federal Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters. [form attached -- ATTACHMENT 3].
- E) A narrative (**no longer than 12 pages total**) which includes the following components:

**Section 1: Summary of the Program**

Provide a brief description of your agency and the proposed program. Include a description of the services your agency currently provides, the geographical area served by your agency, and your current staffing levels. Also, explain how cooperation and coordination among agencies involved in child abuse cases is achieved.

**Section 2: Statement of the Problem**

This component must provide a detailed description of the problem that will be addressed through the proposed program. Inclusion of pertinent demographic information (i.e., total population, number of

children 0-5 years, 6-15 years, etc.) for the applicant's community is required. The attached chart (ATTACHMENT B) regarding current client caseloads and child abuse statistics for the applicant's service area must be completed. This section should contain an interpretation of the data contained in the chart. This section must also include a detailed description of current efforts to address the problem, as well as some indication of the adequacy or inadequacy of these efforts.

### **Section 3: Goals and Objectives**

The proposed goals and objectives are the planned outcomes that will result from the proposed program. Goals are general statements of the projected accomplishments of the proposed program. Objectives are the specific, measurable and realistic benchmarks toward these goals. Applicant agencies must supply at least one goal and at least two objectives for each goal.

### **Section 4: Program Strategies**

The problem statement has described the issues(s) to be addressed. The Goals and Objectives have defined the ends to be achieved. The Program Strategy must detail how these ends will be accomplished, by describing the process that will be used to implement the proposed program. In clear, logical detail, this component must supply the reader with a picture of how the program will operate. The strategy must also discuss:

- ☐ which agencies or organizations will participate in the program and how program activities will be coordinated with other agencies in the community that will be affected by program operation;
- ☐ how this program will fit into the overall scope of current operations;
- ☐ how items in the budget relate to the operation of the program;
- ☐ how the proposed program will reach the specified goals;
- ☐ estimated numbers of victims to be interviewed and cases to be investigated;
- ☐ how these funds will expand or enhance existing efforts.

### **Section 5: Performance Indicators**

Performance indicators will be used to gauge the performance of the program and will serve as the basis for the monthly performance report. These indicators must be closely related to the objectives



specified in Section 3.

## **Section 6: Implementation Schedule**

The implementation schedule is a program planning tool which should reflect a realistic projection of how the program will proceed and develop. This section must:

- ❑ describe the activities that will be undertaken to accomplish each objective;
- ❑ identify the staff responsible for each activity;
- ❑ indicate when each identified activity will begin; and
- ❑ indicate the expected completion date of each activity.

A sample implementation schedule format is attached (ATTACHMENT C).

## **Section 7: Letters of Support**

This section should contain letters of support for the proposed expansion or enhancement of services from collaborating agencies in your jurisdiction.

## **Section 8: Proposed Budget**

The attached budget detail and budget narrative (ATTACHMENT D) pages must be completed. The budget detail specifies proposed program expenses by line item, including both federal and matching funds. Matching funds must be in the form of cash from a non-federal source and the applicant must explicitly state the source of the non-federal matching funds.

**Matching funds must be new/additional dollars, not the reassignment of current personnel or resources to the proposed program.** Matching funds must support at least 25% of the total program budget; that is, for every \$3 in federal expenses, the applicant must contribute \$1 in matching funds to the program. For example, if a proposed program has a total budget of \$50,000, 75% or \$37,500 is the maximum federal share of program expenses. The local matching contribution required in this example would be 25% or \$12,500. In this example, the ratio of federal funds to matching funds is \$37,500 to \$12,500 or 3:1.

The budget narrative must include an explanation of how the budgeted items are related and necessary to the program, must specify how costs were calculated, and must state the source of matching funds.

## **PART X: REVIEW CRITERIA AND PROCEDURES**

Proposal selection will be made using the criteria detailed below. The Authority reserves the right to reject any or all proposals if it is determined that submissions are not satisfactory.

### **Need for the Program (20 points)**

The narrative explains the need for the program and the applicant's commitment to serving child abuse victims. Data and anecdotal information are included and discussed. The area to be served is described. Current efforts are discussed.

### **Program Goals/Objectives (15 points)**

The goal(s) and objectives contained in the proposal are realistic, related to the program strategy, and achievable.

### **Responsiveness of the Proposal (30 points)**

The narrative addresses all parts of the RFP well, relates various components of the proposal to one another, identifies the population to be served as well as the number of interviews to be conducted and cases investigated, describes the roles of key staff members as they relate to the program, and demonstrates an ability to successfully implement the program. The proposal demonstrates the ability to provide the proposed enhanced or expanded services. The program clearly states what additional services are to be provided. Intended outcomes of these additional services are clearly stated.

### **Implementation Plan ( 15 points)**

The plan is complete, clear, and reasonable, and sufficiently detailed to guide a third party in implementing the proposed program.

**Adequacy of Cost Estimates (15 points)**

Proposed program costs are realistic and necessary to implement the program. Allocation of resources has been planned in a cost-effective manner, and a calculation of all costs is clearly explained.

**Inclusion of Match (5 points)**

Matching contribution is in the form of cash and at least 25% of the total program budget, and applicant agency states in the budget narrative the source of matching funds.

**Failure to follow RFP guidelines (up to 10 points may be deducted)**

Submissions must be on 8 1/2" x 11" paper, single sided, 12pt font, double-spaced, with margins of not less than 1" each. Letters of support for the program must be included. The total federal award requested must not exceed \$37,500 and must be at least \$25,000.

**PART XI: GRANT CONTENT**

The content of selected proposals, including possible modifications, will help define the program, and will be appended to grants awarded. In addition, other grant obligations include, but are not limited to, subcontractor limitation; international boycott certification; and debarment, equal opportunity, and non-discrimination certifications. Failure of any selected applicant to accept grant obligations may result in cancellation of the selection. The Authority reserves the right to extend the term of grants, at its discretion.

ATTACHMENT A

ANTI-DRUG ABUSE ACT OF 1988  
(EDWARD BYRNE MEMORIAL FUND)

FFY98 Request for Proposals for Children's Advocacy Centers

Cover Sheet

Applicant Name:	
Applicant Address:	
Applicant FEIN #:	
Contact Person:	
Telephone Number:	
Fax Number:	
Federal Funds Requested:	\$
<b>Proposal Checklist:</b>	
	Completed Cover page
	One original unbound proposal and five complete copies, with Attachments
	Signed Certification (Attachment I)
	Signed Drug Free Workplace Certification (Attachment II)
	Signed Federal Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters (Attachment III)

## ATTACHMENT B

This chart must be completed. Please provide information for each calendar year. Please include all data that pertains to the geographical area your agency serves.

Data Element	1997	1998	1999
Number of child physical abuse investigations conducted for victims ages 0-12			
Number of child physical abuse investigations conducted for victims ages 13-17			
Number of child sexual abuse investigations conducted for victims ages 0-12			
Number of child sexual abuse investigations conducted for victims ages 13-17			
Number of forensic interviews conducted by your agency			
Number of child abuse cases reported to police			
Number of child abuse cases reported to DCFS			
Number of child abuse cases verified by DCFS			
Number of arrests made in child abuse cases			
Number of child abuse cases referred to juvenile court for prosecution			
Number of child abuse cases referred to criminal court for prosecution			
Number of child abuse cases accepted for prosecution in juvenile court			
Number of child abuse cases accepted for prosecution in criminal court			

**IMPLEMENTATION SCHEDULE**

<b><u>Task</u></b>	<b><u>Month Begun</u></b>	<b><u>Month Completed</u></b>	<b><u>Personnel Responsible</u></b>
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## Exhibit B: Budget detail

**PROPOSED BUDGET:** Fill in the budget form below for the proposed program. Please note that federal dollars can only support up to 75% of the total costs of the program. See the reverse side for instructions on how to complete this form. You may fill in this form or recreate it on the computer.

Program Expenses	Unit Cost	# of Units/ %of Time	Federal	Match	Total Costs
<b>Personnel Service</b>					
<b>Equipment</b>					
<b>Commodities</b>					
<b>Travel</b>					
<b>Contractual</b>					
<b>Other</b>					
<b>GRAND TOTAL</b>					



## **EXHIBIT B: BUDGET**

### **BUDGET DETAIL INSTRUCTIONS**

**GENERAL INSTRUCTIONS:** The purpose of the attached proposed budget form is to summarize, by item of expenditure, the total budget of the proposed program. Make sure that each budget category is totaled correctly and that the **total budgeted amount of federal funds does not exceed 75% of the total costs of the program**. Please round off all amounts to the nearest dollar.

#### **DETAIL OF ITEMIZED BUDGET:**

**Personnel Services:** Identify the personnel to be funded through this program by job title. Enter the full salary for personnel who will spend time on the program in the *unit cost* column. Identify the percentage of time spent on the program under the *percentage of time* column. Multiply the unit cost by the percentage of time and enter the budgeted amount for this program into the federal and/or match columns as appropriate. Fringe benefits are allowable as long as they are in accordance with federal guidelines and comparable to those granted to other employees of the organization.

**Equipment:** Enter any equipment that is to be purchased and which has a unit cost of \$50 or more. Detail each item of equipment, including the number of units and the estimated cost per unit. The cost for each item should include taxes, delivery, installation and all related costs. Lease or rental equipment belongs under the contractual category. Equipment items of less than \$50 should be listed under Commodities.

All procurements must be competitive to the maximum extent practical. For procurements of **less than \$25,000**, you must solicit quotes or bids from at least three sources. For procurements of **\$25,000 or more**, you must formally advertise the proposed procurement through an Invitation for Bids (IFB) or a Request for Proposals (RFP). If the applicant's procurement procedures call for a more competitive process than the requirement stated above, that more competitive process must be adhered to.

**Commodities:** This section applies to consumable supplies and any equipment items with initial prices of less than \$50. Itemize all commodities to be used for the program; avoid the designation "miscellaneous".

**Travel:** This section applies to travel costs for *program personnel only*. These expenses include mileage, subsistence, lodging and transportation expenses for employees who are on official business related to the goals and objectives of the program. Reimbursement may not exceed the rates and conditions established for state employees by the Governor's Travel Control Board.

**Contractual:** List all costs which are to be incurred as a result of an agreement, letter of intent, contract or lease. This section includes facility costs, utilities, telephone, equipment rentals and hourly personnel.

**Prior written Authority approval is required before any IFB or RFP of \$25,000 or more is released and before any subcontract of \$25,000 or more may be executed.**

**BUDGET NARRATIVE:** Provide a narrative explanation of the how the budgeted items are related and necessary to the program and how those costs were calculated. Refer to the instructions on the reverse side. You may use this form or recreate it on the computer.

Personnel Service: *(List all fringes.)*

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Equipment:

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Commodities:

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Travel:

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Contractual:

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Other:

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## EXHIBIT B: BUDGET BUDGET NARRATIVE INSTRUCTIONS

**General Instructions:** The Budget Narrative accompanies the *Proposed Budget Detail* to provide the justification and information necessary to 1) determine the manner in which the budget detail was computed, and 2) the relationship between major budget components and the achievement of the program goals.

**Personnel:** List the personnel to be paid for with agreement funds and explain any unusual salary levels. Provide a breakdown of the specific fringe benefits that will be charged to the agreement and explain how they were calculated. This section must include a detailed list of all fringe benefits budgeted.

**Equipment:** If equipment is to be purchased, its proposed use and relationship to the program should be described. All equipment purchased must be necessary to the program.

**Commodities:** Enter the basis for computation of consumable item costs and explain any unusual types or quantities of consumable items.

**Travel:** Describe, in detail, travel costs related to each staff function.

**Contractual:** Enter the cost and time basis (i.e. rate per week, month, etc.) of all contractual costs such as facility costs, utilities, telephone, equipment rentals, and hourly personnel. Explain in detail any large expenses and explain why they are necessary for the program.

For each person to be employed by the program on an hourly basis, specify the following:

- (a) Rate of pay;
- (b) Number of hours to be worked each week or month;
- (c) Number of months to be employed by the program;
- (d) Detailed job duties; and
- (e) Minimum educational requirements, training and/or prior experience required.

**CERTIFICATION**

The applicant certifies:

- (1) that it is not barred from contracting with any unit of state or local government as a result of 720 ILCS 5/33E-3 or 5/33E-4; and
- (3) that it shall notify the Authority's Ethics Officer if the applicant solicits or intends to solicit for employment any of the Authority's employees during any part of the application process or during the term of any contract awarded.

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Name and Title of Authorized Representative

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Signature

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Date

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Name of Organization

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Address of Organization

STATE OF ILLINOIS  
DRUG FREE WORKPLACE CERTIFICATION

This certification is required by the Drug Free Workplace Act. The Drug Free Workplace Act, effective January 1, 1992, requires that no grantee or contractor shall receive a grant or be considered for the purposes of being awarded a contract for the procurement of any property or services from the State unless that grantee or contractor has certified to the State that the grantee or contractor will provide a drug free workplace. False certification or violation of the certification may result in sanctions including, but not limited to, suspension of contract or grant payments, termination of the contract or grant and debarment of contracting or grant opportunities with the state for at least one (1) year but not more than five (5) years.

For the purpose of this certification, "grantee" or "contractor" means a corporation, partnership, or other entity with twenty-five (25) or more employees at the time of issuing the grant, or a department, division, or other unit thereof, directly responsible for the specific performance under a contract or grant of \$5,000 or more from the State.

The contractor/grantee certifies and agrees that it will provide a drug free workplace by:

a) Publishing a statement:

- 1) Notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance, including cannabis, is prohibited in the grantee's or contractor's workplace.
- 2) Specifying the actions that will be taken against employees for violations of such prohibition.
- 3) Notifying the employee that, as a condition of employment on such contract or grant, the employee will:
  - (A) abide by the terms of the statement; and
  - (B) notify the employer of any criminal drug statute conviction for a violation occurring in the workplace no later than five (5) days after such conviction.

b) Establishing a drug free awareness program to inform employees about:

- 1) the dangers of drug abuse in the workplace;
- 2) the grantee's or contractor'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 an employee for drug violations.
- c) Providing a copy of the statement required by subparagraph (a) to each employee engaged in the performance of the contract or grant and to post the statement in a prominent place in the workplace.
  - d) Notifying the contracting or granting agency within ten (10) days after receiving notice under part (B) of paragraph (3) of subsection (a) above from an employee or otherwise receiving actual notice of such conviction.
  - e) Imposing a sanction on, or requiring the satisfactory participation in a drug abuse assistance or rehabilitation program by any employee who is so convicted, as required by section 5 of the Drug Free Workplace Act.
  - f) Assisting employees in selecting a course of action in the event drug counseling, treatment, and rehabilitation is required and indicating that a trained referral team is in place.
  - g) Making a good faith effort to continue to maintain a drug free workplace through implementation of the Drug Free Workplace Act.

THE UNDERSIGNED AFFIRMS, UNDER PENALTIES OF PERJURY, THAT HE OR SHE IS AUTHORIZED TO EXECUTE THIS CERTIFICATION ON BEHALF OF THE DESIGNATED ORGANIZATION.

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Printed Name of Organization

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Signature of Authorized Representative

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Requisition/Contract/Grant ID #

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Printed Name and Title

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Date

U.S. DEPARTMENT OF JUSTICE  
OFFICE OF JUSTICE PROGRAMS  
OFFICE OF THE COMPTROLLER

**Certification Regarding  
Debarment, Suspension, Ineligibility and Voluntary Exclusion  
Lower Tier Covered Transactions  
(Sub-Recipient)**

This certification is required by the regulations implementing Executive Order 12549, Debarment and Suspension, 28 CFR Part 67, Section 67.510, Participants' responsibilities. The regulations were published as Part VII of the May 26, 1988 *Federal Register* (pages 19160-19211).

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

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

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**Name and Title of Authorized Representative**

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**Signature**

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**Date**

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**Name of Organization**

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**Address of Organization**

## 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 has become erroneous by reason of changed circumstances.
4. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, have the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549.
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 debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.
6. The prospective lower tier participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transactions," without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded 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 check the Nonprocurement List.
8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.