

Federal Assurances/Certifications Responsible Parties			
STANDARD FEDERAL ASSURANCES			
	Provision/Regulation	Summary of Assurance/Certification	Responsible Individual
1	Authority to Apply for Federal Assistance	SFASU has the legal authority to apply for Federal assistance and the institutional, managerial, and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management and completion of the project described in Federal grant applications.	VP for Finance & Admin. Judith Kruwell kruwelljf@sfasu.edu
			Provost and Executive VPAA / CRO Lorenzo Smith lorenzo.smith@sfasu.edu
2	Access to Records	SFASU will give the awarding agency, the Comptroller General of the United States and, if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.	VP for Finance & Admin. Judith Kruwell kruwelljf@sfasu.edu
3	Employee Personal Gain and/or Conflict of Interest	SFASU establishes safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.	General, nepotism: Director of PPS Kay Johnson johnsondk6@sfasu.edu
			Interim Director of Human Resources Judith Kruwell kruwelljf@sfasu.edu
			Project Specific: Interim Dean of Research and Graduate Studies Freddie Avant favant@sfasu.edu
4	Adherence to Time Frame	SFASU will initiate and complete the work within a project's time frame after receiving approval from the funding agency.	Interim Dean of Research and Graduate Studies Freddie Avant favant@sfasu.edu

5	Standards for Merit System	The Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statues or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).	Interim Director of Human Resources John Wyatt wyattjohn@sfasu.edu
6	Nondiscrimination	(a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681- 1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§290 dd-3 and 290 ee 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. §§3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and, (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.	Title IX Coordinator Lissy Turner turnermr4@sfasu.edu
			Interim Director of Human Resources John Wyatt wyattjohn@sfasu.edu
7	Uniform Relocation Assistance and Real Property Acquisition	Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally-assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases. [42 USC Ch 61]	VP for Finance & Admin. Judith Kruwell kruwelljf@sfasu.edu
8	Political Activities of Employees	The Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328) which limits the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.	Provost and Executive VPAA / CRO Lorenzo Smith lorenzo.smith@sfasu.edu
9	Labor Standards for Construction	This certification applies to Federal statutes relating to contract work, which include: • The Davis-Bacon Act (40 U.S.C. §§276a to 276a-7); • The Copeland Act (40 U.S.C. §276c and 18 U.S.C. §874); and • The Contract Work Hours and Safety Standards Act (40 U.S.C. §§327- 333), regarding labor standards for federally-assisted construction sub-agreements.	Director of Physical Plant Jessica DeWitt jdewitt@sfasu.edu
			Director of PPS Kay Johnson johnsondk6@sfasu.edu

			Director of Financial Services Judith Kruwell kruwellj@sfasu.edu
10	Flood Disaster Protection	Flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more. [42 USC Ch 50]	Director of EHSRM Jeremy Higgins higginsjk@sfasu.edu
11	Environmental Standards	This certification applies to Federal statutes relating to environmental standards, prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.); (f) conformity of Federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93-205).	Director of EHSRM Jeremy Higgins higginsjk@sfasu.edu
12	Wild and Scenic Rivers	The Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.	Provost and ExecutiveVPAA / CRO Lorenzo Smith lorenzo.smith@sfasu.edu
13	National Historic Preservation and Archaeological and Historic Preservation	SFASU will assist awarding agencies in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§469a-1 et seq.).	Provost and ExecutiveVPAA / CRO Lorenzo Smith lorenzo.smith@sfasu.edu
14	Protection of Human Subjects in Research	P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by a Federal award, as applicable.	Provost and ExecutiveVPAA / CRO Lorenzo Smith lorenzo.smith@sfasu.edu

15	Laboratory Animal Welfare	The Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. §§2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by Federal awards.	Provost and Executive VPAA / CRO Lorenzo Smith lorenzo.smith@sfasu.edu
16	Lead-Based Paint	The Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.	Director of EHSRM Jeremy Higgins higginsjk@sfasu.edu
17	Financial and Compliance Audits	SFASU will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996, OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations," and/or 2 CFR 200.500, as applicable to the award.	VP for Finance & Admin. Judith Kruwell kruwelljf@sfasu.edu
			Executive Director for Enrollment Management Erma Brecht brechte@sfasu.edu
			Controller Dannette Sales salesdl@sfasu.edu
18	All Other Requirements, Laws, EOs, Regulations and Policies	Will comply with all applicable requirements of all other Federal laws, executive orders, regulations, and policies governing this program.	See next section
19	Trafficking Victims Protection	Section 106(g) of the Trafficking Victims Protection Act (TVPA) of 2000, as amended (22 U.S.C. 7104) which prohibits grant award recipients or a sub-recipient from (1) Engaging in severe forms of trafficking in persons during the period of time that the award is in effect (2) Procuring a commercial sex act during the period of time that the award is in effect or (3) Using forced labor in the performance of Federal awards or sub-awards under a Federal award.	Interim Director of Human Resources John Wyatt wyattjohn@sfasu.edu

ADDITIONAL FEDERAL ASSURANCES, REQUIREMENTS, ETC. (10)			
	Provision/Regulation	Summary of Assurance/Certification	Responsible Individual
20	Lobbying	Section 1352 USC Title 31, titled "Limitation on use of appropriated funds to influence certain Federal contracting and financial transactions," generally prohibits recipients of Federal grants and cooperative agreements from using Federal (appropriated) funds for lobbying the Executive or Legislative Branches of the Federal Government in connection with a SPECIFIC grant or cooperative agreement. Section 1352 also requires that each person who requests or receives a Federal grant or cooperative agreement must disclose lobbying undertaken with non-Federal (non-appropriated) funds. These requirements apply to grants and cooperative agreements exceeding \$100,000 in total costs (45 CFR Part 93). By signing and submitting this application, the applicant is providing certification set out in Appendix A to 45 CFR Part 93.	Individual PI Responsible for submitting the Lobbying Certification Form for appropriate parties to certify whether lobbying has occurred. This form is part of the ORGS Proposal Clearance and Compliance Forms.
21	Debarment and Suspension and Other Responsibility Matters	Executive Orders 12549 and 12689, Debarment and Suspension, 13 CFR Part 145 as well as the Federal Acquisition Streamlining Act of 1994, recipients of federal grants and contracts must determine whether it or any of its principals are disqualified from participating in grants, cooperative agreements, fellowships, scholarship or loan programs.	Interim Dean of Research and Graduate Studies Freddie Avant favant@sfasu.edu Director of PPS Kay Johnson johnsonk6@sfasu.edu Director of Financial Aid Rachele' Garrett nixonhr@sfasu.edu
22	Mandatory Disclosures	2 CFR 200.113 - The non-Federal entity or applicant for a Federal award must disclose, in a timely manner, in writing to the Federal awarding agency or pass-through entity all violations of Federal criminal law involving fraud, bribery, or gratuity violations potentially affecting the Federal award. Non-Federal entities that have received a Federal award including the term and condition outlined in Appendix XII - Award Term and Condition for Recipient Integrity and Performance Matters are required to report certain civil, criminal, or administrative proceedings to SAM. Failure to make required disclosures can result in any of the remedies described in § 200.338 Remedies for noncompliance, including suspension or debarment. (See also 2 CFR part 180, 31 U.S.C. 3321, and 41 U.S.C. 2313.)	Interim Dean of Research and Graduate Studies Freddie Avant favant@sfasu.edu

23	Drug-Free Workplace	Drug-Free Workplace Act of 1988 (“Act”) which requires some Federal contractors and all Federal grantees to agree that they will provide drug-free workplaces as a condition of receiving a contract or grant from a Federal agency. The Act does not apply to those who do not have, nor intend to apply for, contracts/grants from the Federal government. The Act also does not apply to subcontractors or subgrantees. The Act requires organizations to post antidrug-use policies within the workplace and provide employee awareness training.	Interim Director of Human Resources Judith Kruwell kruwelljf@sfasu.edu
24	Export Control	This certification applies to Federal statutes relating to Export Control, which includes but are not limited to: The Export Administration Regulations (EAR) 15 CFR §§730-774) controls the export or transfer of “dual use” items. International Traffic in Arms Regulations (ITAR) 22 CFR Section 121.1 et seq.,) prohibits the unauthorized disclosure or transfer of controlled software, technology, and technical data to non-U.S. persons, both abroad and in the United States (i.e., a “deemed export). Export controls regulate the shipment, transmission, carriage, or provision of certain goods, software, technology, and services outside of the United States. The items subject to the regulations include the EAR-controlled items on the Commerce Control List. The ITAR-controlled items on the U.S. Munitions List. Foreign Assets Control Regulations impose economic sanctions against several countries as well as the individuals and organizations on the Specially Designated Nationals List.	Employees: Interim Director of Human Resources John Wyatt wyattjohn@sfasu.edu Interim Dean of Research and Graduate Studies Freddie Avant favant@sfasu.edu Controller Dannette Sales salesdl@sfasu.edu Technology: Chief Information Officer Anthony Espinoza espinozaea1@sfasu.edu Foreign Students Study Abroad: Director, International Programs Heather Catton hcatton@sfasu.edu

25	Environmental Tobacco Smoke	Public Law 103-227, also known as the Pro-Children Act of 1994 (Act), requires that smoking not be permitted in any portion of any indoor facility owned or leased or contracted for by an entity and used routinely or regularly for the provision of health, day care, early childhood development services, 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 also applies to children's services that are provided in indoor facilities that are constructed, operated, or maintained with such Federal funds. The law does not apply to children's services provided in private residence, portions of facilities used for inpatient drug or alcohol treatment, service providers whose sole source of applicable Federal funds is Medicare or Medicaid, or facilities where WIC coupons are redeemed.	VP for Finance & Admin. Judith Kruwell kruwelljf@sfasu.edu
26	Biosafety and Recombinant DNA	Will comply with the National Institutes of Health, Office of Science Policy, NIH Guidelines for Research Involving Recombinant or Synthetic Nucleic Acid Molecules that "detail safety practices and containment procedures for basic and clinical research involving recombinant or synthetic nucleic acid molecules, including the creation and use of organisms and viruses containing recombinant or synthetic nucleic acid molecules."	Provost and Executive VPAA / CRO Lorenzo Smith lorenzo.smith@sfasu.edu
27	Fly America Act	The Fly America Act (49 U.S.C. §§40118 et seq.) requires travelers using federal funds to travel to use United States air carrier service for all air travel and cargo transportation services funded by the United States Government. One exception to this requirement is transportation provided under a bilateral or multilateral air transport agreement, to which the United States Government and the government of a foreign country are parties, and which the Department of Transportation has determined meets the requirements of the Fly America Act.	Interim Dean of Research and Graduate Studies Freddie Avant favant@sfasu.edu
			Controller Dannette Sales salesdl@sfasu.edu
28	Limited English Proficiency	(a) Title VI of the Civil Rights Act of 1964 as amended, which prohibits discrimination on the basis of race, color or national origin; and (b) Executive Order 13166 created to improve access to federally conducted, and federally assisted programs, and activities for persons who, as a result of national origin, are limited in the English proficiency ("LEP"). Specifically, the order provides that no person shall "on the ground of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving Federal financial assistance."	Interim Director of Human Resources John Wyatt wyattjohn@sfasu.edu
			Director of Financial Aid Rachele' Garrett nixonhr@sfasu.edu
	Pilot Program for Enhancement of Employee Whistleblower Protection	An employee of a contractor, subcontractor, grantee [or subgrantee] may not be discharged, demoted, or otherwise discriminated against in reprisal for whistleblowing. In addition, whistleblower protections cannot be waived by any agreement, policy, form, or condition of employment. "Whistleblowing" means reporting information the employee reasonably believes is evidence of wrongdoing, including any of the following:	Provost and Executive VPAA / CRO Lorenzo Smith lorenzo.smith@sfasu.edu

29	<ul style="list-style-type: none">• Gross mismanagement of a Federal contract or grant;• The gross waste of Federal funds;• An abuse of authority relating to a Federal contract or grant;• A substantial and specific danger to public health or safety; or,• A violation of law or regulation related to a Federal contract or grant (including the competition for, or negotiation of, a contract or grant).	Interim Director of Human Resources John Wyatt wyattjohn@sfasu.edu
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