

§ 1230.405

conduct that is the basis for the imposition of such civil penalty.

§ 1230.405 Penalty procedures.

Agencies shall impose and collect civil penalties pursuant to the provisions of the Program Fraud and Civil Remedies Act, 31 U.S.C. sections 3803 (except subsection (c)), 3804, 3805, 3806, 3807, 3808, and 3812, insofar as these provisions are not inconsistent with the requirements herein.

§ 1230.410 Enforcement.

The head of each agency shall take such actions as are necessary to ensure that the provisions herein are vigorously implemented and enforced in that agency.

Subpart E—Exemptions

§ 1230.500 Secretary of Defense.

(a) The Secretary of Defense may exempt, on a case-by-case basis, a covered Federal action from the prohibition whenever the Secretary determines, in writing, that such an exemption is in the national interest. The Secretary shall transmit a copy of each such written exemption to Congress immediately after making such a determination.

(b) The Department of Defense may issue supplemental regulations to implement paragraph (a) of this section.

Subpart F—Agency Reports

§ 1230.600 Semi-annual compilation.

(a) The head of each agency shall collect and compile the disclosure reports (see Appendix B) and, on May 31 and November 30 of each year, submit to the Secretary of the Senate and the Clerk of the House of Representatives a report containing a compilation of the information contained in the disclosure reports received during the six-month period ending on March 31 or September 30, respectively, of that year.

(b) The report, including the compilation, shall be available for public inspection 30 days after receipt of the report by the Secretary and the Clerk.

(c) Information that involves intelligence matters shall be reported only

45 CFR Ch. XII (10–1–00 Edition)

to the Select Committee on Intelligence of the Senate, the Permanent Select Committee on Intelligence of the House of Representatives, and the Committees on Appropriations of the Senate and the House of Representatives in accordance with procedures agreed to by such committees. Such information shall not be available for public inspection.

(d) Information that is classified under Executive Order 12356 or any successor order shall be reported only to the Committee on Foreign Relations of the Senate and the Committee on Foreign Affairs of the House of Representatives or the Committees on Armed Services of the Senate and the House of Representatives (whichever such committees have jurisdiction of matters involving such information) and to the Committees on Appropriations of the Senate and the House of Representatives in accordance with procedures agreed to by such committees. Such information shall not be available for public inspection.

(e) The first semi-annual compilation shall be submitted on May 31, 1990, and shall contain a compilation of the disclosure reports received from December 23, 1989 to March 31, 1990.

(f) Major agencies, designated by the Office of Management and Budget (OMB), are required to provide machine-readable compilations to the Secretary of the Senate and the Clerk of the House of Representatives no later than with the compilations due on May 31, 1991. OMB shall provide detailed specifications in a memorandum to these agencies.

(g) Non-major agencies are requested to provide machine-readable compilations to the Secretary of the Senate and the Clerk of the House of Representatives.

(h) Agencies shall keep the originals of all disclosure reports in the official files of the agency.

§ 1230.605 Inspector General report.

(a) The Inspector General, or other official as specified in paragraph (b) of this section, of each agency shall prepare and submit to Congress each year, commencing with submission of the President's Budget in 1991, an evaluation of the compliance of that agency

with, and the effectiveness of, the requirements herein. The evaluation may include any recommended changes that may be necessary to strengthen or improve the requirements.

(b) In the case of an agency that does not have an Inspector General, the agency official comparable to an Inspector General shall prepare and submit the annual report, or, if there is no such comparable official, the head of the agency shall prepare and submit the annual report.

(c) The annual report shall be submitted at the same time the agency submits its annual budget justifications to Congress.

(d) The annual report shall include the following: All alleged violations relating to the agency's covered Federal actions during the year covered by the report, the actions taken by the head of the agency in the year covered by the report with respect to those alleged violations and alleged violations in previous years, and the amounts of civil penalties imposed by the agency in the year covered by the report.

APPENDIX A TO PART 1230—
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.

APPENDIX B TO PART 1230—DISCLOSURE FORM TO REPORT LOBBYING

CONTEXT PRECEDING THE KEY WORD	KEY WORD AND CONTEXT FOLLOWING THE KEY WORD	FAR REFERENCE
	Ordering from Federal Supply Schedules.	8.4
	Ordering.	52.216-18
	Orders, and Government Delay of Work.	12.5
	Orders.	43.2
	Orders.	13.5
	Order—Facilities.	52.212-14
	ordering agreements.	16.703
	orders.	12.503
	Organization and Direction of the Work.	52.236-19
	Organization costs.	31.205-37
	Organization.	52.215-6
	Organizational Conflicts of Interest.	9.5
	Organizations for the Handicapped.	52.219-15
	Organizations Owned or Controlled by Them.	3.6
	Organizations.	31.2
	organizations.	31.103
	Organizations.	31.7
	organizations.	31.108
	Organization—Sealed Bidding.	52.214-2
	Orientation.	42.5
	Origin and/or F.o.b. Destination Evaluation.	52.247-45
	Origin Offers.	52.247-46
	Origin, Contractor's Facility.	52.247-30
	Origin, Freight Allowed.	52.247-31
	Origin, Freight Prepaid.	52.247-32
	Origin, with Differentials.	52.247-33
	Origin.	52.247-47
	origin.	47.303-1
	origin.	52.247-29
	Origin—Carload and Truckload Shipments.	52.247-59
	Origin—Government Bills of Lading or Indicia Mail.	52.242-11
	Origin—Government Bills of Lading or Prepaid Postage.	52.242-10
	Origin—Minimum Size of Shipments.	52.247-61
	Other business expenses.	31.205-28
	other capital assets.	31.205-16
	other contracts.	31.205-23
	Other Contracts.	52.236-8
	other costs for use of patents.	31.205-37
	other financial costs.	31.205-20
	Other Improper Business Practices.	3.5
	OTHER PURCHASE DESCRIPTIONS.	PART 10
	Other Responsibility Matters.	52.209-5
	Other Secretly Handicapped.	8.7
	Gain and losses on disposition of depreciable property or Losses on	
	Royalties and Interest and	
	SPECIFICATIONS, STANDARDS, AND	
	Certification Regarding Debarment, Suspension, Proposed Debarment, and	
	Acquisition from the Blind and	

FAR INDEX - 49

FEDERAL ACQUISITION REGULATION (FAR)

CONTEXT PRECEDING THE KEY WORD	KEY WORD AND CONTEXT FOLLOWING THE KEY WORD	FAR REFERENCE
SMALL PURCHASE AND	OTHER SIMPLIFIED PURCHASE PROCEDURES.	PART 13
Contractor Liability for Loss of and/or	OTHER SOCIOECONOMIC PROGRAMS.	PART 26
Damage to Freight	Other Than Full and Open Competition.	6.3
Subcontractors and	Outside Associates and Consultants.	52.247-22
Severance Payments to	Outside the United States.	52.244-4
Foreign Nationals Employed Under a Service Contract	Overseas.	52.237-8
Performed	Overseas.	52.228-4
Workers' Compensation and War-Hazard Insurance	Overseas).	52.214-32
Late Submissions, Modifications, and Withdrawals of Bids (Overseas).	52.215-36
Late Submissions, Modifications, and Withdrawals of Proposals (Overseas).	52.214-33
and Withdrawals of Technical Proposals under Two-Step Sealed Bidding (Oversight in Architect-Engineer Contracts.	52.236-24
Work	Oversight in Cost-Reimbursement Construction Contracts.	52.236-18
Contract Work Hours and Safety Standards Act—	Overtime Compensation.	52.232-4
Payment for	Owned Small Business Representation.	52.232-2
Women-	Owned Small Businesses.	52.219-3
Utilization of Women-	Owned U.S.-Flag Commercial Vessels.	52.219-13
Preference for Privacy	Packing, marking, and consignment instructions.	52.247-64
OMB Approval Under the	Paid Advertisements	47.305-10
Notice of	Paperwork Reduction Act.	5.5
Stopping in Transit for	Patent Company and Identifying Data	1.104-5
Agency and Public	Patent set-asides.	52.214-8
Certification of Commercial Pricing for	Patent Small Business Set-Aside.	19.502-3
Notice and Assistance Regarding	Patent Unloading.	52.219-7
Filing of	Participation by Organizations for the Handicapped.	52.247-19
Royalties and other costs for use of	Parts or Components.	52.219-15
Incremental	Patent and Copyright Infringement.	1.5
	Patent Applications—Classified Subject Matter.	52.232-32
	Patent costs.	52.227-2
	Patent Indemnity—Construction Contracts.	52.227-10
	Patent Rights Under Government Contracts.	31.205-30
	Patent Rights—Retention by the Contractor (Long Form).	52.227-3
	Patent Rights—Retention by the Contractor (Short Form).	52.227-4
	PATENTS, DATA, AND COPYRIGHTS.	27.3
	patents.	52.227-12
	Patents.	52.227-11
	Patents—Notice of Government License.	PART 27
	Payment by Contractor to Government.	31.205-37
	Payment by Government to Contractor.	27.2
		52.227-7
		52.237-6
		52.237-4

FAR INDEX - 50

FEDERAL ACQUISITION REGULATION (FAR)

CONTEXT PRECEDING THE KEY WORD	KEY WORD, AND CONTEXT FOLLOWING THE KEY WORD	FAR REFERENCE
Prompt	Payment for Construction Contracts.	52.232-27
Prompt	Payment for Fixed-Price Architect-Engineer Contracts.	52.232-26
	Payment for Overtime Premiums.	52.222-2
	Payment in Local Foreign Currency.	25.5
Electronic Funds Transfer	Payment of Funds to Influence Federal Transactions.	52.232-28
Limitation on the	Payment Procedure.	3.8
Fast	Payment Procedure.	13.3
Fast	Payment under Communication Service Contracts with Common Carriers.	2.213-1
Allowable Cost and	Payment.	52.232-6
Discounts for Prompt	Payment.	52.216-7
Prompt	Payment.	52.232-8
Progress	Payments Based on Costs.	52.232-25
Notice of Availability of Progress	Payments Exclusively for Small Business Concerns.	32.5
	Payments of Allowable Costs Before Definitization.	52.232-14
	Payments Program Certificate.	52.216-26
Buy American Act—Trade Agreements Act—Balance of	Payments Program Certificate.	52.225-8
Balance of	Payments Program.	52.225-7
Balance of	Payments Program.	25.3
Balance of	Payments Program.	52.225-9
Severance	Payments to Foreign Nationals Employed Under a Service Contract Performed Outside the United States.	52.237-8
Certification and Disclosure Regarding	Payments to Influence Certain Federal Transactions.	52.203-11
Limitation on	Payments to Influence Certain Federal Transactions.	52.203-12
	Payments under Fixed-Price Architect-Engineer Contracts.	52.232-10
	Payments under Fixed-Price Construction Contracts.	52.232-5
	Payments under Fixed-Price Research and Development Contracts.	52.232-2
	Payments under Personal Services Contracts.	52.232-3
	Payments under Time-and-Materials and Labor-Hour Contracts.	52.232-7
	Payments under Transportation Contracts and Transportation-Related Services Contracts.	52.232-4
	Payments.	52.232-12
Advance	Payments.	32.4
Advance	Payments.	52.232-9
Limitation on Withholding of	Payments.	52.232-13
Notice of Progress	Payments.	52.232-16
Progress	Payments.	52.208-4
Vehicle Lease	Payments.	52.232-1
	Payment—Facilities Use.	52.216-14
Allowable Cost and	Payment—Facilities.	52.216-13
Allowable Cost and	Payment—Major Systems.	52.227-21
Technical Data Certification, Revision, and Withholding of	Payrolls and Basic Records.	52.222-8
	penalties, and mischarging costs.	31.205-15
Fines,	Pension Plans.	52.215-27
Termination of Defined Benefit		