

Office of Chief Financial Officer, USDA

§ 3017.100

- 3017.220 Continuation of covered transactions.
- 3017.225 Failure to adhere to restrictions.

AUTHORITY: 5 U.S.C. 301; 41 U.S.C. 701 *et seq.*; E.O. 12549, 51 FR 6370, 3 CFR, 1986 Comp., p. 189.

SOURCE: 54 FR 4731, Jan. 30, 1989, unless otherwise noted.

Subpart C—Debarment

- 3017.300 General.
- 3017.305 Causes for debarment.
- 3017.310 Procedures.
- 3017.311 Investigation and referral.
- 3017.312 Notice of proposed debarment.
- 3017.313 Opportunity to contest proposed debarment.
- 3017.314 Debarring official's decision.
- 3017.315 Settlement and voluntary exclusion.
- 3017.320 Period of debarment.
- 3017.325 Scope of debarment.

CROSS REFERENCE: See also Office of Management and Budget notices published at 55 FR 21679, May 25, 1990, and 60 FR 33036, June 26, 1995.

Subpart A—General

§ 3017.100 Purpose.

(a) Executive Order (E.O.) 12549 provides that, to the extent permitted by law, Executive departments and agencies shall participate in a governmentwide system for nonprocurement debarment and suspension. A person who is debarred or suspended shall be excluded from Federal financial and non-financial assistance and benefits under Federal programs and activities. Debarment or suspension of a participant in a program by one agency shall have governmentwide effect.

Subpart D—Suspension

- 3017.400 General.
- 3017.405 Causes for suspension.
- 3017.410 Procedures.
- 3017.411 Notice of suspension.
- 3017.412 Opportunity to contest suspension.
- 3017.413 Suspending official's decision.
- 3017.415 Period of suspension.
- 3017.420 Scope of suspension.

(b) These regulations implement section 3 of E.O. 12549 and the guidelines promulgated by the Office of Management and Budget under section 6 of the E.O. by:

Subpart E—Responsibilities of GSA, Agency and Participants

- 3017.500 GSA responsibilities.
- 3017.505 USDA responsibilities.
- 3017.510 Participants' responsibilities.
- 3017.515 Appeal of debarment or suspension decisions.

(1) Prescribing the programs and activities that are covered by the governmentwide system;

Subpart F—Drug-Free Workplace Requirements (Grants)

- 3017.600 Purpose.
- 3017.605 Definitions.
- 3017.610 Coverage.
- 3017.615 Grounds for suspension of payments, suspension or termination of grants, or suspension or debarment.
- 3017.620 Effect of violation.
- 3017.625 Exception provision.
- 3017.630 Certification requirements and procedures.
- 3017.635 Reporting of and employee sanctions for convictions of criminal drug offenses.

(2) Prescribing the governmentwide criteria and governmentwide minimum due process procedures that each agency shall use;

(3) Providing for the listing of debarred and suspended participants, participants declared ineligible (see definition of "ineligible" in §3017.105), and participants who have voluntarily excluded themselves from participation in covered transactions;

APPENDIX A TO PART 3017—CERTIFICATION REGARDING DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS—PRIMARY COVERED TRANSACTIONS

APPENDIX B TO PART 3017—CERTIFICATION REGARDING DEBARMENT, SUSPENSION, INELIGIBILITY AND VOLUNTARY EXCLUSION—LOWER TIER COVERED TRANSACTIONS

APPENDIX C TO PART 3017—CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS

(4) Setting forth the consequences of a debarment, suspension, determination of ineligibility, or voluntary exclusion; and

(5) Offering such other guidance as necessary for the effective implementation and administration of the governmentwide system.

(c) These regulations also implement Executive Order 12689 (3 CFR, 1989 Comp., p. 235) and 31 U.S.C. 6101 note (Public Law 103-355, sec. 2455, 108 Stat. 3327) by—

(1) Providing for the inclusion in the *List of Parties Excluded from Federal Procurement and Nonprocurement Programs* all persons proposed for debarment, debarred or suspended under the Federal Acquisition Regulation, 48 CFR Part 9, subpart 9.4; persons against which governmentwide exclusions have been entered under this part; and persons determined to be ineligible; and

(2) Setting forth the consequences of a debarment, suspension, determination of ineligibility, or voluntary exclusion.

(d) Although these regulations cover the listing of ineligible participants and the effect of such listing, they do not prescribe policies and procedures governing declarations of ineligibility.

[60 FR 33040, 33043, June 26, 1995]

§ 3017.105 Definitions.

The following definitions apply to this part:

Adequate evidence. Information sufficient to support the reasonable belief that a particular act or omission has occurred.

Affiliate. Persons are affiliates of each other if, directly or indirectly, either one controls or has the power to control the other, or, a third person controls or has the power to control both. Indicia of control include, but are not limited to: interlocking management or ownership, identity of interests among family members, shared facilities and equipment, common use of employees, or a business entity organized following the suspension or debarment of a person which has the same or similar management, ownership, or principal employees as the suspended, debarred, ineligible, or voluntarily excluded person.

Agency. Any executive department, military department or defense agency or other agency of the executive branch, excluding the independent regulatory agencies.

(1) A USDA agency, when used in the context of USDA internal procedures or requirements, is any organizational unit of the U.S. Department of Agriculture with authority delegated in 7 CFR part 2 to carry out primary covered transactions under USDA programs.

(2) [Reserved]

Appeals officer. Any administrative law judge of the Office of Administrative Law Judges, Department of Agriculture.

Civil judgment. The disposition of a civil action by any court of competent jurisdiction, whether entered by verdict, decision, settlement, stipulation, or otherwise creating a civil liability for the wrongful acts complained of; or a final determination of liability under the Program Fraud Civil Remedies Act of 1986 (31 U.S.C. 3801-12).

Conviction. A judgment or conviction of a criminal offense by any court of competent jurisdiction, whether entered upon a verdict or a plea, including a plea of nolo contendere.

Debarment. An action taken by a debarring official in accordance with these regulations to exclude a person from participating in covered transactions. A person so excluded is "debarred."

Debarring official. An official authorized to impose debarment. The debarring official is either:

(1) The agency head, or

(2) An official designated by the agency head.

(i) In USDA, the authority to act as a debarring official is not delegated below the agency head, except that in the case of the Forest Service, the Chief may redelegate the authority to act as a debarring official to the Deputy Chief or an Associate Deputy Chief for the National Forest System.

(ii) [Reserved]

(3) In USDA, each Under Secretary, Assistant Secretary, or agency head who has been delegated authority in part 2 of this title to carry out a covered transaction is authorized to act as a debarring official in connection with such covered transaction.

Indictment. Indictment for a criminal offense. An information or other filing by competent authority charging a criminal offense shall be given the same effect as an indictment.

Ineligible. Excluded from participation in Federal nonprocurement programs pursuant to a determination of ineligibility under statutory, executive order, or regulatory authority, other than Executive Order 12549 and its agency implementing regulations; for example, excluded pursuant to the