


<b>1. GRANT TITLE</b> Shasta Teens Drive Safe	
<b>2. NAME OF AGENCY</b> Shasta County	<b>3. Grant Period</b>
<b>4. AGENCY UNIT TO ADMINISTER GRANT</b> Shasta County Health and Human Services Agency	From: 10/01/2017 To: 09/30/2018
<b>5. GRANT DESCRIPTION</b> This countywide program will educate teens about the dangers and consequences of impaired and distracted driving. Activities will encourage teens to drive responsibly and be responsible passengers and pedestrians. This will be done through educational programming and dissemination of messages to teens and their parents. Educational campaigns, presentations, traffic safety events, community events, and educational activities will be conducted on school campuses. Through collaboration among community and agency partners, peer-driven education and awareness campaigns will be conducted.	
<b>6. Federal Funds Allocated Under This Agreement Shall Not Exceed:</b> <b>\$100,000.00</b>	
<b>7. TERMS AND CONDITIONS:</b> The parties agree to comply with the terms and conditions of the following which are by this reference made a part of the Agreement: <ul style="list-style-type: none"><li>• Schedule A – Problem Statement, Goals and Objectives and Method of Procedure</li><li>• Schedule B – Detailed Budget Estimate and Sub-Budget Estimate (if applicable)</li><li>• Schedule B-1 – Budget Narrative and Sub-Budget Narrative (if applicable)</li><li>• Exhibit A – Certifications and Assurances</li><li>• Exhibit B* – OTS Grant Program Manual</li></ul> *Items shown with an asterisk (*), are hereby incorporated by reference and made a part of this agreement as if attached hereto.  These documents can be viewed at the OTS home web page under Grants: <a href="http://www.ots.ca.gov">www.ots.ca.gov</a> .  We, the officials named below, hereby swear under penalty of perjury under the laws of the State of California that we are duly authorized to legally bind the Grant recipient to the above described Grant terms and conditions.  IN WITNESS WHEREOF, this Agreement has been executed by the parties hereto.	
<b>8. Approval Signatures</b>	
<b>A. AUTHORIZING OFFICIAL OF DEPARTMENT</b> NAME: David Kehoe      PHONE: (530) 225-5557 TITLE: Chairman, Board of Supervisors      FAX: (530) 225-5189 ADDRESS: 1450 Court St., Suite 308B Redding, California 96001-1673 EMAIL: dkehoe@co.shasta.ca.us  _____ (Signature)      (Date)	<b>B. AUTHORIZING OFFICIAL OF OFFICE OF TRAFFIC SAFETY</b> NAME: Rhonda L. Craft      PHONE: (916) 509-3030 TITLE: Director      FAX: (916) 509-3055 ADDRESS: 2208 Kausen Drive, Suite 300 Elk Grove, CA 95758 EMAIL: rhonda.craft@ots.ca.gov  _____ (Signature)      (Date)
<b>C. ACCOUNTING OFFICER OF OFFICE OF TRAFFIC SAFETY</b> NAME: Carolyn Vu ADDRESS: 2208 Kausen Drive, Suite 300 Elk Grove, CA 95758	<b>9. DUNS NUMBER</b> DUNS #: 103497280 REGISTERED ADDRESS: 1450 Court St. Ste. 308 CITY: Redding      ZIP+4: 96001-1683

APPROVED AS TO FORM  
SHASTA COUNTY COUNSEL

*Alan B. Cox* 11/21/17  
Alan B. Cox  
Deputy County Counsel

RISK MANAGEMENT APPROVAL

BY: *James Johnson* 11/16/17  
James Johnson  
Risk Management Analyst

10. PROJECTED EXPENDITURES						
FUND	CFDA	ITEM/APPROPRIATION	F.Y.	CHAPTER	STATUTE	PROJECTED EXPENDITURES
405d AL-18	20.616	0521-0890-101	2017	2017	14/17	\$80,000.00
405d AL-18	20.616	0521-0890-101	2018	2018	BA/18	\$20,000.00
				<b>AGREEMENT TOTAL</b>		<b>\$100,000.00</b>
				AMOUNT ENCUMBERED BY THIS DOCUMENT		
				<b>\$100,000.00</b>		
<i>I CERTIFY upon my own personal knowledge that the budgeted funds for the current budget year are available for the period and purpose of the expenditure stated above.</i>				PRIOR AMOUNT ENCUMBERED FOR THIS AGREEMENT		
				<b>\$ 0.00</b>		
ACCOUNTING OFFICER'S SIGNATURE			DATE SIGNED	TOTAL AMOUNT ENCUMBERED TO DATE		
				<b>\$100,000.00</b>		

## 1. PROBLEM STATEMENT

The loss of lives and the high cost of injuries due to motor vehicle crashes create a significant traffic safety and public health problem in Shasta County, especially for young people. Alcohol and unsafe speed are major causes of motor vehicle collisions. In FFY 2014, there were 25 fatal collisions and 783 injury collisions resulting in 27 fatalities and 1,024 victims injured. While only 18 percent of the fatal and injury collisions involved alcohol, 56 percent of the fatal collisions involved alcohol. Of all fatal and injury traffic collisions involving alcohol, 9 percent involved a Had Been Drinking Driver (HBD) under 21 years-of-age and 50 percent involved a HBD 21-34 years-of-age.

There were 25 fatal collisions in FFY 2014 in which one of the drivers was under the influence of drugs, accounting 3 percent of all fatal and injury collisions. Four of these were fatal collisions, accounting for 16 percent of fatal collisions. Furthermore, Shasta County had 744 DUI arrests in 2014.

There were 41 collisions involving a pedestrian in FFY 2014 resulting in five victims killed and 37 victims injured. This accounts for 5 percent of fatal and injury collisions, nineteen percent of all fatalities and four percent of all injuries.

Office of Traffic Safety rankings for 2014 indicate that Shasta County ranked 21<sup>st</sup> for total fatal and injury collisions (7<sup>th</sup> in 2013), 8<sup>th</sup> for alcohol-involved collisions (20<sup>th</sup> in 2013), 30<sup>th</sup> for HBD Drivers < 21 (4<sup>th</sup> in 2013), and 15<sup>th</sup> for HBD Drivers 21-34 (6<sup>th</sup> in 2013). Out of 105 cities of similar size, Redding (the county's main population base) ranked 56<sup>th</sup> for fatal and injury collisions (44<sup>th</sup> of 103 in 2013), 15<sup>th</sup> for alcohol-involved collisions (62<sup>nd</sup> in 2013), 22<sup>nd</sup> for HBD Drivers < 21 (71<sup>st</sup> in 2013), and 24<sup>th</sup> for HBD Drivers 21-34 (35<sup>th</sup> in 2013).

## 2. PERFORMANCE MEASURES

### A. Goals:

1. Reduce the number of persons killed in traffic collisions.
2. Reduce the number of persons injured in traffic collisions.
3. Reduce the number of Had Been Drinking (HBD) drivers under age 21 in alcohol-involved fatal collisions.
4. Reduce the number of Had Been Drinking (HBD) drivers under age 21 in alcohol-involved injury collisions.

### B. Objectives:

	Target Number
1. Issue a press release announcing the kick-off of the grant by November 15. The kick-off press releases and media advisories, alerts, and materials must be emailed to the OTS Public Information Officer at pio@ots.ca.gov, and copied to your OTS Coordinator, for approval 14 days prior to the issuance date of the release.	
2. Conduct 4 Traffic Safety Events in 4 junior high/high schools in October, in recognition of National Teen Driver Safety Week, in an effort to reach 1,500 students.	4
3. Conduct 8 Drugged Driving Prevention Poster campaigns in 8 high schools during National Impaired Driving Prevention Month in December.	8
4. Conduct 6 Pedestrian Safety activities at 6 schools/community events during California Pedestrian Safety Month in September using Pedestrians Don't Have Armor campaign materials, in an effort to reach 200 students.	6
5. Conduct 1 student crossing guard training for Safety Patrol students during California Pedestrian Safety Month in September, in an effort to reach 25 students.	1
6. Coordinate 2 traffic safety events in 2 high schools during Global Youth Traffic Safety Month in May, in an effort to reach 1,000 students.	2
7. Host 4 Distracted Driving Pledge Stations at 4 high schools during National Distracted Driving Awareness Month in April, in an effort to reach 800 students.	4
8. Host Quarterly Injury Prevention Coalition of Shasta County meetings.	4
9. Host traffic safety booths at 4 community events/health fairs, in an effort to reach 1,200 people.	4
10. Participate in the following campaigns: National Walk to School Day, National Teen Driver Safety Week, National Impaired Driver Safety Month, National Distracted Driving Awareness Month, and California's Pedestrian Safety Month.	5
11. Promote the 2018 Create Real Impact contest at 8 high schools in an effort to reach 1,600	8

**3. METHOD OF PROCEDURE****A. Phase 1 – Program Preparation (1<sup>st</sup> Quarter of Grant Year)**

- Assign staff to project and set up operational procedures.
- Receive approval for a grant kick-off press release by November 1<sup>st</sup>.
- Plan for participation in the National Teen Driver Safety Week campaign in October.
- Plan for participation in the Impaired Driving Prevention Month campaign in December.
- Plan for participation in the Distracted Driving Awareness Month campaign in April.
- Plan for participation in the California Pedestrian Safety Month campaign in September.
- Plan and prepare for 4 traffic safety events in 4 schools during NTDSW in October.
- Plan for 2 traffic safety events in 2 high school during Global Youth Traffic Safety Month in May.
- Plan for 4 traffic safety booths at community events.
- Prepare materials for promoting the 2018 Create Real Impact contest in September.
- Plan for 6 Pedestrian Safety activities during California Pedestrian Safety Month in September using PDHA campaign materials.
- Plan for 1 student crossing guard training for Safety Patrol students in September.
- Plan quarterly Injury Prevention Coalition of Shasta County meetings.

**Media Requirements**

- Issue a press release announcing the kick-off of the grant by November 15. The kick-off press releases and media advisories, alerts, and materials must be emailed to the OTS Public Information Officer at [pio@ots.ca.gov](mailto:pio@ots.ca.gov), and copied to your OTS Coordinator, for approval 14 days prior to the issuance date of the release.

**B. Phase 2 – Program Operations (Throughout Grant Year)**

- Issue a grant kick-off press release by November 15<sup>th</sup>.
- Participate in the National Teen Driver Safety Week campaign in October.
- Participate in the National Impaired Driving Prevention Month campaign in December.
- Participate in the Distracted Driving Awareness Month campaign in April.
- Participate in the California Pedestrian Safety Month campaign in September.
- Conduct trainings and quarterly meetings.
- Select and purchase educational materials and supplies for programming activities.
- Conduct traffic safety presentations, events, and campaigns.

**Media Requirements**

- Send all grant-related activity press releases, media advisories, alerts and general public materials to the OTS Public Information Officer (PIO) at [pio@ots.ca.gov](mailto:pio@ots.ca.gov), with a copy to your OTS Coordinator.
- If an OTS template-based press release is used, the OTS PIO and Coordinator should be copied when the release is distributed to the press. If an OTS template is not used, or is substantially changed, a draft press release shall be sent to the OTS PIO for approval. Optimum lead time would be 10-20 days prior to the release date to ensure adequate turn-around time.
- Press releases reporting the results of grant activities such as enforcement operations are exempt from the recommended advance approval process, but still should be copied to the OTS PIO and Coordinator when the release is distributed to the press.
- Activities such as warrant or probation sweeps and court stings that could be compromised by advanced publicity are exempt from pre-publicity, but are encouraged to offer embargoed media coverage and to report the results.
- Use the following standard language in all press, media, and printed materials: Funding for this program was provided by a grant from the California Office of Traffic Safety, through the National Highway Traffic Safety Administration.
- Email the OTS PIO at [pio@ots.ca.gov](mailto:pio@ots.ca.gov) and copy your OTS Coordinator at least 30 days in advance, a short description of any significant grant-related traffic safety event or program so OTS has sufficient notice to arrange for attendance and/or participation in the event.
- Submit a draft or rough-cut of all printed or recorded material (brochures, posters, scripts, artwork, trailer graphics, etc.) to the OTS PIO at [pio@ots.ca.gov](mailto:pio@ots.ca.gov) and copy your OTS Coordinator for approval 14 days prior to the production or duplication.
- Include the OTS logo, space permitting, on grant-funded print materials; consult your OTS Coordinator for specifics.

**C. Phase 3 – Data Collection & Reporting (Throughout Grant Year)**

- Invoice Claims (due January 30, April 30, July 30, and October 30)
- Quarterly Performance Reports (due January 30, April 30, July 30, and October 30)
  - Collect and report quarterly, appropriate data that supports the progress of goals and objectives.
  - Provide a brief list of activity conducted, procurement of grant-funded items, and significant media activities. Include status of grant-funded personnel, status of contracts, challenges, or special accomplishments.
  - Provide a brief summary of quarterly accomplishments and explanations for objectives not completed or plans for upcoming activities.
  - Collect, analyze and report statistical data relating to the grant goals and objectives.

**4. METHOD OF EVALUATION**

Using the data compiled during the grant, the Grant Director will complete the “Final Evaluation” section in the fourth/final Quarterly Performance Report (QPR). The Final Evaluation should provide a brief summary of the grant’s accomplishments, challenges and significant activities. This narrative should also include whether goals and objectives were met, exceeded, or an explanation of why objectives were not completed.

**5. ADMINISTRATIVE SUPPORT**

This program has full administrative support, and every effort will be made to continue the grant activities after grant conclusion.

**GRANT AGREEMENT**

Schedule B

**GRANT NUMBER****AL18024**

FUND NUMBER	CATALOG NUMBER (CFDA)	FUND DESCRIPTION	TOTAL AMOUNT
405d AL	20.616	Impaired Driving Countermeasures	\$100,000.00

COST CATEGORY	CFDA	TOTAL COST TO GRANT
<b>A. PERSONNEL COSTS</b>		
Positions and Salaries		
<b><u>Full-Time</u></b>		
Community Education Specialist II	20.616	\$66,338.00
Benefits - Community Education Specialist II	20.616	\$25,587.00
Senior Public Health Assistant	20.616	\$4,657.00
Benefits - Senior Public Health Assistant	20.616	\$3,364.00
<b><u>Overtime</u></b>		\$0.00
<b><u>Part-Time</u></b>		\$0.00
Category Sub-Total		\$99,946.00
<b>B. TRAVEL EXPENSES</b>		
In State Travel	20.616	\$54.00
		\$0.00
Category Sub-Total		\$54.00
<b>C. CONTRACTUAL SERVICES</b>		
		\$0.00
Category Sub-Total		\$0.00
<b>D. EQUIPMENT</b>		
		\$0.00
Category Sub-Total		\$0.00
<b>E. OTHER DIRECT COSTS</b>		
		\$0.00
Category Sub-Total		\$0.00
<b>F. INDIRECT COSTS</b>		
		\$0.00
Category Sub-Total		\$0.00
<b>GRANT TOTAL</b>		<b>\$100,000.00</b>

**GRANT AGREEMENT**

Schedule B-1

**AL18024**

<b>BUDGET NARRATIVE</b>	
<b>PERSONNEL COSTS</b> Community Education Specialist II - - will act as the Project Coordinator and will plan and implement project goals and ensure accurate and timely completion of grant objectives. This position will also be responsible for monitoring the budget and preparing required reports. 1 x 12 months x \$5,528.20 x 100%	<b>QUANTITY</b> 12
Benefits - Community Education Specialist II - Total Benefit Rate @ 38.57% 7.89% Health Insurance 18.09% Retirement 7.65% Social Security/FICA/OASDI 0.32% Unemployment Insurance 1.26% Workers Compensation 3.00% Other - OPEB 0.36% Liability Insurance Exposure	1
Senior Public Health Assistant - - will assist the Community Education Specialist II with the implementation of project activities and outreach efforts. 1 x 12 months x \$3,527.86 x 11%	12
Benefits - Senior Public Health Assistant - Total Benefit Rate @ 72.23% 41.55% Health Insurance 18.09% Retirement 7.65% Social Security/FICA/OASDI 0.32% Unemployment Insurance 1.26% Workers Compensation 3.00% Other - OPEB 0.36% Liability Insurance Exposure	1
<b>TRAVEL EXPENSES</b> In State Travel - Costs are included for appropriate staff to attend conferences and training events supporting the grant goals and objectives and/or traffic safety. Local mileage for grant activities and meetings is included. All conferences, seminars or training not specifically identified in the Schedule B-1 (Budget Narrative) must be approved by OTS. All travel claimed must be at the agency approved rate. Per Diem may not be claimed for meals provided at conferences when registration fees are paid with OTS grant funds.	1
<b>CONTRACTUAL SERVICES</b> -	
<b>EQUIPMENT</b> -	
<b>OTHER DIRECT COSTS</b> -	
<b>INDIRECT COSTS</b> -	
<b>STATEMENTS/DISCLAIMERS</b> There will be no program income generated from this grant. Salaries may include wages, salaries, special compensations, or authorized absences such as annual leave and sick leave provided the cost for the individual employee is (a) reasonable for the services rendered, and (b) follows an appointment made in accordance with state or local laws and rules and meets federal requirements. Any non-grant funded vacancies created by reassignment to a grant-funded position must be filled at the expense of the grantee agency.	





**CERTIFICATIONS AND ASSURANCES**

Failure to comply with applicable Federal statutes, regulations, and directives may subject Grantee Agency officials to civil or criminal penalties and/or place the State in a high risk grantee status in accordance with 49 CFR §18.12.

The officials named on the grant agreement, certify by way of signature on the grant agreement signature page, that the Grantee Agency complies with all applicable Federal statutes, regulations, and directives and State rules, guidelines, policies and laws in effect with respect to the periods for which it receives grant funding. Applicable provisions include, but are not limited to, the following:

- 23 U.S.C. Chapter 4—Highway Safety Act of 1966, as amended
- 49 CFR Part 18—Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments
- 23 CFR Part 1200—Uniform Procedures for State Highway Safety Grant Programs

**NONDISCRIMINATION**

The Grantee Agency will comply with all Federal statutes and implementing regulations relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (Pub. L. 88- 352), which prohibits discrimination on the basis of race, color or national origin (and 49 CFR Part 21); (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), and the Americans with Disabilities Act of 1990 (Pub. L. 101-336), as amended (42 U.S.C. 12101, et seq.), which prohibits discrimination on the basis of disabilities (and 49 CFR Part 27); (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 Civil Rights Restoration Act of 1987 (Pub. L. 100-259), which requires Federal-aid recipients and all sub-recipients to prevent discrimination and ensure nondiscrimination in all of their programs and activities; (f) the Drug Abuse Office and Treatment Act of 1972 (Pub. L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (g) the comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (Pub. L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (h) Sections 523 and 527 of the Public Health Service Act of 1912, as amended (42 U.S.C. 290dd-3 and 290ee-3), relating to confidentiality of alcohol and drug abuse patient records; (i) Title VIII of the Civil Rights Act of 1968, as amended (42 U.S.C. 3601, et seq.), relating to nondiscrimination in the sale, rental or financing of housing; (j) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (k) the requirements of any other nondiscrimination statute(s) which may apply to the application.

**BUY AMERICA ACT**

The Grantee Agency will comply with the provisions of the Buy America Act (49 U.S.C. 5323(j)), which contains the following requirements:

Only steel, iron and manufactured products produced in the United States may be purchased with Federal funds unless the Secretary of Transportation determines that such domestic purchases would be inconsistent with the public interest, that such materials are not reasonably available and of a satisfactory quality, or that inclusion of domestic materials will increase the cost of the overall project contract by more than 25 percent. Clear justification for the purchase of non-domestic items must be in the form of a waiver request submitted to and approved by the Secretary of Transportation.

**POLITICAL ACTIVITY (HATCHACT)**

The Grantee Agency will comply with provisions of the Hatch Act (5 U.S.C. 1501-1508) which limits the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

## **CERTIFICATION REGARDING FEDERAL 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 any 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 sub-award at all tiers (including subcontracts, sub-grants, and contracts under grant, loans, and cooperative agreements) and that all sub-recipients 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.

## **RESTRICTION ON STATE LOBBYING**

None of the funds under this program will be used for any activity specifically designed to urge or influence a State or local legislator to favor or oppose the adoption of any specific legislative proposal pending before any State or local legislative body. Such activities include both direct and indirect (e.g., "grassroots") lobbying activities, with one exception. This does not preclude a State official whose salary is supported with NHTSA funds from engaging in direct communications with State or local legislative officials, in accordance with customary State practice, even if such communications urge legislative officials to favor or oppose the adoption of a specific pending legislative proposal.

## **CERTIFICATION REGARDING DEBARMENT AND SUSPENSION**

Instructions for Primary Certification

1. By signing and submitting this grant agreement, the Grantee Agency Official is providing the certification set out below.
2. The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the Grantee Agency Official to furnish a certification or an explanation shall disqualify such person from participation in this transaction.
3. The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the Grantee Agency Official knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.
4. The Grant Agency Official shall provide immediate written notice to the department or agency to which this grant agreement is submitted if at any time the Grantee Agency Official learns its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
5. The terms *covered transaction*, *debarred*, *suspended*, *ineligible*, *lower tier covered transaction*, *participant*, *person*, *primary covered transaction*, *principal*, *grant agreement*, and *voluntarily excluded*, as used in this clause, have the meaning set out in the Definitions and coverage sections of 49 CFR Part 29. You may contact the department or agency to which this grant agreement is being submitted for assistance in obtaining a copy of those regulations.
6. The Grantee Agency Official agrees by submitting this grant agreement 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 proposed for debarment under 48 CFR Part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.

7. The Grantee Agency Official further agrees by submitting this grant agreement that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transaction," provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
8. 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 proposed for debarment under 48 CFR Part 9, subpart 9.4, 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, but is not required to, check the list of Parties Excluded from Federal Procurement and Non-procurement Programs.
9. 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.
10. Except for transactions authorized under paragraph 6 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under 48 CFR Part 9, subpart 9.4, 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 may terminate this transaction for cause or default.

#### **Certification Regarding Debarment, Suspension, and Other Responsibility Matters-Primary Covered Transactions**

1. The Grantee Agency Official certifies to the best of its knowledge and belief, that its principals:
  - a. Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded by any Federal department or agency;
  - b. Have not within a three-year period preceding this grant agreement been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of record, making false statements, or receiving stolen property;
  - c. Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or Local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and
  - d. Have not within a three-year period preceding this application/grant agreement had one or more public transactions (Federal, State, or local) terminated for cause or default.
2. Where the Grantee Agency Official is unable to certify to any of the Statements in this certification, such prospective participant shall attach an explanation to this grant agreement.

#### **Instructions for Lower Tier Certification**

1. By signing and submitting this grant agreement, 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 grant agreement 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*, *grant agreement*, and *voluntarily excluded*, as used in this clause, have the meanings set out in the Definition and Coverage sections of 49 CFR Part 29. You may contact the person to whom this grant agreement is submitted for assistance in obtaining a copy of those regulations.
5. The prospective lower tier participant agrees by submitting this grant agreement 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 proposed for debarment under 48 CFR Part 9, subpart 9.4, 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 grant agreement that it will include the clause titled “Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion— Lower Tier Covered Transaction,” without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions. (See below)
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 proposed for debarment under 48 CFR Part 9, subpart 9.4, 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, but is not required to, check the List of Parties Excluded from Federal Procurement and Non-procurement Programs.
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 proposed for debarment under 48 CFR Part 9, subpart 9.4, 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.

**Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion—Lower Tier Covered Transactions:**

1. The prospective lower tier participant certifies, by submission of this grant agreement, that neither it nor its principals is 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 grant agreement.