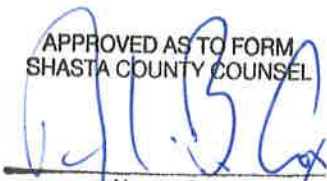
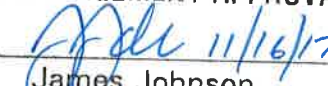



1. GRANT TITLE "Drive Sober Shasta" Drug-Impaired Driving Prevention Program	
2. NAME OF AGENCY Shasta County	3. Grant Period
4. AGENCY UNIT TO ADMINISTER GRANT Shasta County Health and Human Services Agency	From: 10/01/2017 To: 09/30/2018
5. GRANT DESCRIPTION The Shasta County Health and Human Services Agency will implement the "Drive Sober Shasta" to educate teens and young adults about drug-impaired driving in an effort to prevent driving while under the influence of harmful substances in Shasta County. The county wide project will provide community education and build local capacity through: presentations to parent and community groups, interactive educational booths at high school campuses and colleges, conducting media spokesperson trainings to build the capacity of local youth and young adults to educate and raise awareness, production of web-based videos utilizing local youth and young adult spokespersons to educate peers about the risks related to drug-impaired driving, and peer-driven education and awareness promoted through earned media and web-based social media.	
6. Federal Funds Allocated Under This Agreement Shall Not Exceed: \$155,000.00	
7. TERMS AND CONDITIONS: 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">• Schedule A – Problem Statement, Goals and Objectives and Method of Procedure• Schedule B – Detailed Budget Estimate and Sub-Budget Estimate (if applicable)• Schedule B-1 – Budget Narrative and Sub-Budget Narrative (if applicable)• Exhibit A – Certifications and Assurances• Exhibit B* – OTS Grant Program Manual *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: www.ots.ca.gov . 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.	
8. Approval Signatures	
A. AUTHORIZING OFFICIAL OF DEPARTMENT 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. AUTHORIZING OFFICIAL OF OFFICE OF TRAFFIC SAFETY 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)
C. ACCOUNTING OFFICER OF OFFICE OF TRAFFIC SAFETY NAME: Carolyn Vu ADDRESS: 2208 Kausen Drive, Suite 300 Elk Grove, CA 95758	9. DUNS NUMBER 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
Deputy County Counsel

RISK MANAGEMENT APPROVAL

BY: 
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	\$124,000.00
405d AL-18	20.616	0521-0890-101	2018	2018	BA/18	\$31,000.00
				AGREEMENT TOTAL		\$155,000.00
				AMOUNT ENCUMBERED BY THIS DOCUMENT		
				\$155,000.00		
<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		
				\$ 0.00		
ACCOUNTING OFFICER'S SIGNATURE			DATE SIGNED	TOTAL AMOUNT ENCUMBERED TO DATE		
				\$155,000.00		

1. PROBLEM STATEMENT

Driving while under the influence of harmful substances is a significant public health and traffic safety concern. The rise in prescription drug use and the recent California legalization of marijuana for medical and recreational purposes presents unprecedented challenges in injury prevention. The Shasta County Health and Human Services Agency will expand efforts to address the growing need for education and raise awareness among teens and young adults in Shasta County. Increasing public health and traffic safety concerns related to increased drug presence among drivers is the main focus of this project with the goal of preventing driving while under the influence of harmful substances.

According to the 2014 National Survey on Drug Use and Health, illicit drug use has increased since 2002, attributed primarily to the increased use of marijuana and the nonmedical use of prescription pain relievers. The Office of Traffic Safety rankings for Federal Fiscal Year (FFY) 2014 indicate that out of 58 counties in California, Shasta County ranked 21st highest for all fatal and injury collisions, 8th highest in alcohol-involved collisions, 30th highest in Had Been Drinking (HBD) drivers under the age of 21 and 15th highest in HBD Drivers ages 21-34. In 2014, Shasta County had 25 fatal collisions and 783 injury collisions resulting in 27 fatalities and 1,024 victim injuries. While only 18 percent of the fatal and injury collisions during FFY 2014 involved alcohol, 56 percent of those collisions ended with a fatality. In FFY 2014, 9 percent of fatal and injury traffic collisions involving alcohol, included a HBD driver under the age of 21 and 50 percent involved a HBD aged 21-34. Furthermore, Shasta County had 744 driving under the influence arrests in 2014.

The increased probability of driving under the influence of prescription drugs is another major concern within our County. In 2015, Shasta County had 1,428.9 opioid prescriptions per 1,000 residents vs. the State average of 619.19 per 1,000 residents. In 2014, Shasta County had a total of 8,537 alcohol and other drug related emergency room visits at a rate of 4,761 per 100,000 vs. the State average of 455 visits per 100,000. A nationwide survey of 12th grade students reports that prescription narcotic drug use outside of medical supervision was 4.8 percent in 2016. Additionally, Shasta County has one of the highest rates of drug related deaths, significantly higher than that of California.

The recent statewide legalization of marijuana for recreational use could contribute to drug-impaired driving. The adverse effects of both short-term use, long-term use and heavy use of marijuana include impaired motor coordination, reduced driving ability and can increase the risk of injury and fatality. Nationwide, the annual prevalence of daily marijuana use among 12th grade students in 2016 was 6 percent. Studies indicate that both immediate exposure and long-term exposure to marijuana impair driving ability. Additionally, marijuana is the illicit drug most frequently reported in connection with impaired driving and accidents, including fatal accidents.

Barriers to working to prevent drugged driving include a lack of local funding for prevention including community education and outreach, the absence of driving while under the influence drug testing protocols and the limited ability of testing for specific drugs.

2. PERFORMANCE MEASURES

A. Goals:

1. Reduce the number of persons killed in drug-involved collisions in Shasta County.
2. Reduce the number of persons injured in drug-involved collisions in Shasta County.
3. Increase awareness of the risks of drug-impaired driving among Shasta County residents.
4. Increase community capacity to promote traffic safety messages.

B. Objectives:

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 1 media spokesperson training to build the capacity of local youth and young adult participants to serve as spokespeople for preventing injury and fatality caused by impaired driving, in an effort to train 10 people.
3. Conduct a pre-training and post-training assessment to develop a baseline level of

Target Number

1

1

confidence in project participant's media spokesperson abilities.	
4. Develop, maintain and utilize 2 social media websites to promote drug-impaired driving education.	2
5. Develop and purchase digital media focused on preventing drug-impaired driving in Shasta County.	
6. Develop and distribute drug-impaired driving prevention educational materials to local 11 high schools and colleges, in an effort to impact 5,000 students.	11
7. Establish and maintain collaboration with partner agencies such as local law enforcement, injury prevention coalitions, high schools, colleges and youth organizations.	1
8. Participate in the following campaigns: National Teen Driver Safety Week – October 16-22, 2017, National Impaired Driving Prevention Month – December 2017, and National Distracted Driving Awareness Month – April 2018	1
9. Produce 2 web-based videos utilizing local youth and young adults who have completed media spokesperson training to educate peers about the consequences of drug-impaired driving, in an effort to impact 1,000 people.	2
10. Provide 5 interactive educational booths and resources at Shasta College, local high schools and events to educate the public about the unintended consequences of drug-impaired driving, in an effort to impact 750 people.	5

3. METHOD OF PROCEDURE

A. **Phase 1 – Program Preparation (1st Quarter of Grant Year)**

- Assign staff to project and set up operational procedures.
- Plan for participation in the National Teen Driver Safety Week campaign in October.
- Plan for participation in the National Impaired Driving Prevention Month campaign in December.
- Plan for participation in the Distracted Driving Awareness Month campaign in April.
- Plan and prepare for interactive educational booths and prepare resources.
- Develop, order and distribute educational materials to educate the community about the consequences of drug-impaired driving.
- Order and distribute Office of Traffic Safety drug-impaired driving prevention educational materials to local high schools and colleges.
- Learn how to use social media and plan for using it to deliver traffic safety messages and inform high school and college students of events.
- Plan to develop 2 social media websites to promote drug-impaired driving education.
- Plan for conducting 1 media spokesperson training.
- Plan a pre-training and post-training assessment to develop a baseline level of confidence in participant's media spokesperson abilities.
- Plan and prepare contract production for web-based videos utilizing local youth and young adults.
- Establish contact with partner agencies such as local law enforcement, injury prevention coalitions, high schools, colleges and youth organizations.
- Plan to participate in 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, 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)**

- Participate in the National Teen Driver Safety Week campaign in October.
- Participate in the National Impaired Driving Prevention Month campaign in December.
- Collaborate in the Distracted Driving Awareness Month campaign in April.
- Provide interactive educational booths and resources.
- Distribute educational materials to educate the community about the consequences of drug-impaired driving.
- Distribute drug-impaired driving prevention educational materials to local high schools and colleges.
- Conduct 1 media spokesperson training to build the capacity of local youth and young adult participants to serve as spokespeople for preventing injury and fatality caused by impaired driving.
- Conduct a pre-training and post-training assessment to develop a baseline level of confidence in project participant's media spokesperson abilities.

- Produce 2 web-based videos utilizing local youth and young adults who have completed media spokesperson training to educate peers about the consequences of drug-impaired driving.
- Maintain and utilize 2 social media websites to promote drug-impaired driving education.
- Provide technical assistance including dissemination of effective strategies, educational materials and media created by the project provided to other rural drug-impaired driving prevention efforts.
- Maintain collaboration with partner agencies such as local law enforcement, injury prevention coalitions, high schools, colleges and youth organizations.
- Participate in quarterly Injury Prevention Coalition of Shasta County meetings.**Media Requirements**
- Submit 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, 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 should first 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.
- 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 (NHTSA) Administration.
- Email the OTS PIO at 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 grant-funded printed or recorded material (brochures, posters, scripts, artwork, trailer graphics, etc.) to the OTS PIO at 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

DI18013

FUND NUMBER	CATALOG NUMBER (CFDA)	FUND DESCRIPTION	TOTAL AMOUNT
405d AL	20.616	Impaired Driving Countermeasures	\$155,000.00

COST CATEGORY	CFDA	TOTAL COST TO GRANT
A. PERSONNEL COSTS		
Positions and Salaries		
<u>Full-Time</u>		
Community Education Specialist II	20.616	\$66,338.00
Benefits - Community Education Specialist	20.616	\$23,868.00
Senior Public Health Assistant	20.616	\$14,820.00
Benefits - Senior Public Health Assistant	20.616	\$10,568.00
<u>Overtime</u>		\$0.00
<u>Part-Time</u>		\$0.00
Category Sub-Total		\$115,594.00
B. TRAVEL EXPENSES		
In State Travel	20.616	\$3,500.00
		\$0.00
Category Sub-Total		\$3,500.00
C. CONTRACTUAL SERVICES		
Production of Web-based Videos	20.616	\$17,000.00
Category Sub-Total		\$17,000.00
D. EQUIPMENT		
		\$0.00
Category Sub-Total		\$0.00
E. OTHER DIRECT COSTS		
Educational Materials	20.616	\$8,906.00
Digital Media Advertising	20.616	\$10,000.00
Category Sub-Total		\$18,906.00
F. INDIRECT COSTS		
		\$0.00
Category Sub-Total		\$0.00
GRANT TOTAL		\$155,000.00

GRANT AGREEMENT

Schedule B-1

DI18013

BUDGET NARRATIVE	
PERSONNEL COSTS 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%	QUANTITY 12
Benefits - Community Education Specialist - Total Benefits Rate @ 35.98 8.84% Health Insurance 17.91% Retirement 7.65% Social Security/FICA/OASDI 0.32% Unemployment Insurance 1.259% Workers Compensation	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 \$3,528.67 x 35%	12
Benefits - Senior Public Health Assistant - Total Benefits Rate @ 71.31% 44.17% Health Insurance 17.91% Retirement 7.65% Social Security/FICA/OASDI 0.32% Unemployment Insurance 1.259% Workers Compensation	1
TRAVEL EXPENSES 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
CONTRACTUAL SERVICES Production of Web-based Videos - A graphic designer will produce 2 web-based videos utilizing local youth and young adults who have completed media spokesperson training to educate peers about the consequences of drug-impaired driving, in an effort to impact 1,000 people. Flat rate for services, \$8,500 x 2 videos	1
EQUIPMENT -	
OTHER DIRECT COSTS Educational Materials - costs of purchasing, developing or printing brochures, pamphlets, fliers, coloring books, posters, signs, and banners associated with grant activities, and traffic safety conference and training materials. Items shall include a traffic safety message and if space is available the OTS logo. Additional items may be purchased if approved by OTS.	1
Digital Media Advertising - Paid digital media advertising, such as web banners, and school and business kiosks to promote traffic safety messages related to the prevention of drug-impaired driving.	1
INDIRECT COSTS -	
STATEMENTS/DISCLAIMERS 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.