CONSENT AGENDA

AGENDA ITEM 12.5
TO: Mayor and City Council

FROM: Blair Ulring, Interim Chief of Police

SUBJECT: GRANT AWARD FOR DUI ENFORCEMENT AND AWARENESS CAMPAIGN

RECOMMENDATION

It is recommended that the City Council adopt a resolution to: 1) authorize the City Manager to accept a grant award from the State of California Office of Traffic Safety in the amount of $300,000, and make all necessary appropriations in compliance with and for the purposes stated in the grant application; and 2) execute the grant agreement and all related documents to carry out the purposes and intent of the grant award.

Summary

The Police Department seeks Council approval to accept grant funding from the State of California Office of Traffic Safety to serve as a host agency for the Driving Under the Influence (DUI) Enforcement and Awareness Campaign for the period of October 1, 2011, through September 30, 2012. This grant provides funding for Stockton Police Department overtime and related expenses in an effort to reduce alcohol-involved fatalities and injuries and raise general public awareness regarding the problems associated with drinking and driving. The program is administered by the Office of Traffic Safety. Funding for this program is provided by a grant from the California Office of Traffic Safety, through the National Highway Traffic Safety Administration.

DISCUSSION

Background

In January 2011, the Stockton Police Department submitted a Memorandum Proposal to the State of California Office of Traffic Safety requesting consideration to participate in the DUI Enforcement and Awareness Campaign. The Police Department's proposal included "best practice" strategies, to be conducted on an overtime basis, to help reduce the number of individuals killed or injured in alcohol-involved crashes. Those "best practices" include, but are not limited to, DUI checkpoints, DUI saturation missions targeting motorcycles, warrant service operations targeting DUI offenders, and court stings targeting DUI offenders.

Under the DUI Enforcement and Awareness Campaign, these missions would be conducted by the Stockton Police Department during the Winter Holiday Mobilization period, Memorial Day weekend, Independence Day weekend/period, Summer Mobilization period, and any special dates, county fairs, festivals, and other community
events. Following several months of negotiations and approval of the State budget, the proposal was approved in the amount of $300,000.

Present Situation

In September 2011, the Police Department received notification and grant award documents from the State of California Office of Traffic Safety indicating the proposal was accepted for funding in the amount of $300,000. Grant funds will be used to pay for DUI enforcement overtime, training, and miscellaneous materials and supplies.

FINANCIAL SUMMARY

The Police Department’s Traffic Section will be responsible for coordinating operations of the grant program. The grant program does not require matching funds. A budget appropriation is needed in Police Grants & Special Programs Other Special Revenue Programs OTS/DUI Enforcement Account No. 025-6453 for $300,000 in revenue and $300,000 in expenditures: $298,491 in personnel overtime and benefit costs and $2,662 in operational costs.

Respectfully submitted,

BLAIR ULRING
INTERIM CHIEF OF POLICE

APPROVED

BOB DEIS
CITY MANAGER

BU:EM:gr

::ODMA\GRPWISE\COS.PD.PD_Library:347355.1
Resolution No. __________

STOCKTON CITY COUNCIL

RESOLUTION ACCEPTING GRANT FUNDING, IN THE AMOUNT OF $300,000, FROM THE STATE OF CALIFORNIA OFFICE OF TRAFFIC SAFETY FOR THE DUI ENFORCEMENT AND AWARENESS CAMPAIGN FOR THE PERIOD OCTOBER 1, 2011, THROUGH SEPTEMBER 30, 2012

In January 2011, the Stockton Police Department submitted a Memorandum Proposal to the State of California Office of Traffic Safety requesting consideration to participate in the DUI Enforcement and Awareness Campaign; and

The program is administered by the Office of Traffic Safety. Funding for this program is provided by a grant from the California Office of Traffic Safety, through the National Highway Traffic Safety Administration; and

The Police Department’s proposal included “best practice” strategies to be conducted on an overtime basis to help reduce the number of individuals killed or injured in alcohol-involved crashes; and

Under the DUI Enforcement and Awareness Campaign, missions would be conducted by the Stockton Police Department during the Winter Holiday Mobilization period, Memorial Day Weekend, Independence Day Weekend/Period, Summer Mobilization period, and any special dates, county fairs, festivals, and other community events; and

In September 2011, the Police Department received notification and a Grant Agreement, attached as Exhibit 1, from the State of California Office of Traffic Safety indicating that its proposal was accepted for funding in the amount of $300,000; and

Grant funds will be used to pay for DUI enforcement overtime, training, and miscellaneous materials and supplies; now, therefore,

BE IT RESOLVED BY THE COUNCIL OF THE CITY OF STOCKTON, AS FOLLOWS:

1. The City Manager is authorized to accept the grant award in the amount of $300,000 for the period October 1, 2011, through September 30, 2012, and make all necessary appropriations in compliance with and for the purposes stated in the grant application.

City Atty: ____________________________
Review Date: October 6, 2011
2. The City Manager is authorized to execute the Grant Agreement, attached as Exhibit 1, and all related documents necessary to carry out the purposes and intent of the grant award and this resolution.

PASSED, APPROVED, and ADOPTED ______ October 18, 2011.

ANN JOHNSTON, Mayor
of the City of Stockton

ATTEST:

BONNIE PAIGE
City Clerk of the City of Stockton
OFFICE OF TRAFFIC SAFETY

GRANT AGREEMENT

Federal Fiscal Year 2012

10/1/2011 - 09/30/2012
1. This Agreement is entered into between the Office of Traffic Safety and the City of Stockton Police Department.

2. Grant Period: 10/01/2011 to 09/30/2012

3. Federal Funds allocated under this Agreement shall not exceed: $300,000.00

4. Grant Title: DUI Enforcement and Awareness Program

5. Grant Description: To reduce the number of persons killed and injured in alcohol involved crashes, "best practice" strategies will be conducted on an overtime basis. The funded strategies may include: DUI/driver license checkpoints to deter potential drunk drivers and to educate the public; DUI saturation patrols, warrant service operations targeting DUI violators who failed to appear in court or violate probation; stakeouts, a "HOT Sheet" program, court stings to focus on DUI offenders with a suspended or revoked driver license who get behind the wheel after leaving court and motorcycle safety DUI saturation patrols targeting impaired riders and drivers. These strategies are designed to earn media attention thus enhancing the overall deterrent effect.

6. The parties agree to comply with the terms and conditions of the following exhibits which are by this reference made a part of the Agreement:
   - Exhibit A – Budget Summary, Budget Estimate and Narrative
   - Exhibit A1 – Sub-Budget Summary, Sub-Budget Estimate and Narrative (if applicable)
   - Exhibit B – Goals and Objectives
   - Exhibit C – Problem Statement, Method of Procedure
   - Exhibit D – Certifications and Assurances
   - Exhibit E* – OTS Grant Program Manual

*Items shown with an asterisk (*), are hereby incorporated by reference and made part of this agreement as if attached hereto. These documents can be viewed at: www.ots.ca.gov/Grants/Grant_Administration/Program_Manual.asp

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.

Grantee Agency

By (Authorized Signature)  
DATE SIGNED (Do not type)

PRINTED NAME AND TITLE OF PERSON SIGNING

ADDRESS

California Office of Traffic Safety

By (Authorized Signature)  
DATE SIGNED (Do not type)

PRINTED NAME AND TITLE OF PERSON SIGNING

Christopher J. Murphy, Director

ADDRESS

2208 Kausen Drive, Suite 300, Elk Grove, CA 95758

1 Grant Agreement – Standard (Rev. 08/11)
## EXHIBIT A
### BUDGET SUMMARY

<table>
<thead>
<tr>
<th>COST CATEGORY</th>
<th>TOTAL COSTS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Personnel</td>
<td>$297,338.40</td>
</tr>
<tr>
<td>Travel</td>
<td>$1,000.00</td>
</tr>
<tr>
<td>Contractual Services</td>
<td>$</td>
</tr>
<tr>
<td>Equipment</td>
<td>$</td>
</tr>
<tr>
<td>Other Direct Costs</td>
<td>$1,661.60</td>
</tr>
<tr>
<td>Indirect Costs</td>
<td>$</td>
</tr>
<tr>
<td><strong>TOTAL GRANT AMOUNT</strong></td>
<td><strong>$300,000.00</strong></td>
</tr>
</tbody>
</table>
EXHIBIT A
BUDGET ESTIMATE AND NARRATIVE

This Grant Agreement is funded by the US Department of Transportation National Highway Traffic Safety Administration (NHTSA).

<table>
<thead>
<tr>
<th>FUND NUMBER</th>
<th>CATALOG NUMBER</th>
<th>FUND DESCRIPTION</th>
</tr>
</thead>
<tbody>
<tr>
<td>410 Impaired Driving Funds - HSP 2012</td>
<td>CFDA 20.601</td>
<td>Alcohol Impaired Driving Countermeasures Incentive Grants</td>
</tr>
</tbody>
</table>

PERSONNEL TOTAL COSTS $297,338.40

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.

<table>
<thead>
<tr>
<th>Regular</th>
<th>Fund Number</th>
<th>Total All Positions</th>
<th>Total % Benefits</th>
<th>Total All Benefits</th>
<th>Total Compensation</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>$</td>
<td>%</td>
<td>$</td>
<td>$</td>
</tr>
</tbody>
</table>

Subtotal $ $ $

Benefits

Narrative:

TOTAL (REGULAR POSITIONS AND BENEFITS) $

<table>
<thead>
<tr>
<th>Hourly</th>
<th>Fund Number</th>
<th>Total All Positions</th>
<th>Total % Benefits</th>
<th>Total All Benefits</th>
<th>Total Compensation</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>$</td>
<td>%</td>
<td>$</td>
<td>$</td>
</tr>
</tbody>
</table>

Subtotal $ $ $

Benefits

Narrative:
OVERTIME

Budgeted grant activities will be conducted by agency personnel on an overtime basis.

Overtime for grant funded law enforcement operations may be conducted by personnel such as a Lieutenant, Sergeant, Corporal, Deputy, Officer, Probation Officer, Community Services Officer, Dispatcher etc., depending on the titles used by the agency and their city's paid overtime policy.

Personnel will be deployed as needed to accomplish the grant goals and objectives. Costs are estimated based on an overtime hourly rate range (not including benefits). Overtime reimbursement (overtime hourly rate and benefits) will reflect actual costs of the personnel conducting the appropriate operation up to the maximum range specified.

Overtime Hourly Rate Range $49.42 to $101.21

<table>
<thead>
<tr>
<th>Overtime</th>
<th>Fund Number</th>
<th>Total All Positions</th>
<th>Total % Benefits</th>
<th>Total All Benefits</th>
<th>Total Compensation</th>
</tr>
</thead>
<tbody>
<tr>
<td>2 Court Sting Operations @ $7,000.00</td>
<td>410 Impaired Driving Funds - HSP 2012</td>
<td>$14,000.00</td>
<td>9.80%</td>
<td>$1,372.00</td>
<td>$15,372.00</td>
</tr>
</tbody>
</table>

Benefits

Worker's Compensation @ 8.18%

Medicare @ 1.45%

Unemployment Insurance @ 0.17%

<table>
<thead>
<tr>
<th>Overtime</th>
<th>Fund Number</th>
<th>Total All Positions</th>
<th>Total % Benefits</th>
<th>Total All Benefits</th>
<th>Total Compensation</th>
</tr>
</thead>
<tbody>
<tr>
<td>34 DUI Saturation Patrols @ $3,500.00</td>
<td>410 Impaired Driving Funds - HSP 2012</td>
<td>$119,000.00</td>
<td>9.80%</td>
<td>$11,662.00</td>
<td>$130,662.00</td>
</tr>
</tbody>
</table>

Benefits

Worker's Compensation @ 8.18%

Medicare @ 1.45%
Unemployment Insurance @ 0.17%

<table>
<thead>
<tr>
<th>Overtime</th>
<th>Fund Number</th>
<th>Total All Positions</th>
<th>Total % Benefits</th>
<th>Total All Benefits</th>
<th>Total Compensation</th>
</tr>
</thead>
<tbody>
<tr>
<td>12 DUI/DL Checkpoints @ $8,500.00</td>
<td>410 Impaired Driving Funds - HSP 2012</td>
<td>$102,000.00</td>
<td>9.80%</td>
<td>$9,996.00</td>
<td>$111,996.00</td>
</tr>
</tbody>
</table>

Benefits
Worker’s Compensation @ 8.18%

Medicare @ 1.45%

Unemployment Insurance @ 0.17%

<table>
<thead>
<tr>
<th>Overtime</th>
<th>Fund Number</th>
<th>Total All Positions</th>
<th>Total % Benefits</th>
<th>Total All Benefits</th>
<th>Total Compensation</th>
</tr>
</thead>
<tbody>
<tr>
<td>2 Motorcycle Safety DUI Saturation Patrols @ $3,500.00</td>
<td>410 Impaired Driving Funds - HSP 2012</td>
<td>$7,000.00</td>
<td>9.80%</td>
<td>$686.00</td>
<td>$7,686.00</td>
</tr>
</tbody>
</table>

Benefits
Worker’s Compensation @ 8.18%

Medicare @ 1.45%

Unemployment Insurance @ 0.17%

<table>
<thead>
<tr>
<th>Overtime</th>
<th>Fund Number</th>
<th>Total All Positions</th>
<th>Total % Benefits</th>
<th>Total All Benefits</th>
<th>Total Compensation</th>
</tr>
</thead>
<tbody>
<tr>
<td>2 Stakeout Operations @ $4,800.00</td>
<td>410 Impaired Driving Funds - HSP 2012</td>
<td>$9,600.00</td>
<td>9.80%</td>
<td>$940.80</td>
<td>$10,540.80</td>
</tr>
</tbody>
</table>

Benefits
Worker's Compensation @ 8.18%

Medicare @ 1.45%

Unemployment Insurance @ 0.17%

<table>
<thead>
<tr>
<th>Overtime</th>
<th>Fund Number</th>
<th>Total All Positions</th>
<th>Total % Benefits</th>
<th>Total All Benefits</th>
<th>Total Compensation</th>
</tr>
</thead>
<tbody>
<tr>
<td>4 Warrant Service Operations @ $4,800.00</td>
<td>410 Impaired Driving Funds - HSP 2012</td>
<td>$19,200.00</td>
<td>9.80%</td>
<td>$1,881.60</td>
<td>$21,081.60</td>
</tr>
</tbody>
</table>

Benefits
Worker's Compensation @ 8.18%

Medicare @ 1.45%

Unemployment Insurance @ 0.17%

Subtotal $270,800.00 $26,538.40 $297,338.40

TOTAL (OVERTIME POSITIONS AND BENEFITS) $297,338.40

TRAVEL TOTAL COSTS $1,000.00

Costs are included for appropriate staff to attend conferences and training events supporting the grant goals and objectives and/or traffic safety. Travel shall be claimed 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.

In State Travel: All conferences, seminars, or training not specifically identified in this Grant Agreement must be approved by OTS. Costs include local mileage for grant activities/meetings attended by appropriate staff.

<table>
<thead>
<tr>
<th>Type</th>
<th>Fund Number</th>
<th>In State Travel Costs</th>
</tr>
</thead>
<tbody>
<tr>
<td>In State Travel</td>
<td>410 Impaired Driving Funds - HSP 2012</td>
<td>$1,000.00</td>
</tr>
</tbody>
</table>

Additional Anticipated Travel:
Costs are requested for appropriate staff to attend conferences and training events (Vehicular Homicide Seminar) supporting the grants goals and objectives and/or traffic safety.

**Out of State Travel:** All Out of State travel trips not specifically identified in this Grant Agreement must receive written approval from OTS.

<table>
<thead>
<tr>
<th>Type</th>
<th>Fund Number</th>
<th>Out of State Travel Costs</th>
</tr>
</thead>
<tbody>
<tr>
<td>Out of State Travel</td>
<td></td>
<td>$</td>
</tr>
</tbody>
</table>

**Additional Anticipated Travel:**

<table>
<thead>
<tr>
<th>Description</th>
<th>Contractual Services Costs</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>$</td>
</tr>
</tbody>
</table>

**CONTRACTUAL SERVICES TOTAL COSTS**

<table>
<thead>
<tr>
<th>Description</th>
<th>Contractual Services Costs</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>$</td>
</tr>
</tbody>
</table>

**Narrative:**

**EQUIPMENT TOTAL COSTS**

<table>
<thead>
<tr>
<th>Description</th>
<th>Fund Number</th>
<th>Equipment Costs</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>$</td>
</tr>
</tbody>
</table>

**Narrative:**

**OTHER DIRECT TOTAL COSTS**

$1,661.60

<table>
<thead>
<tr>
<th>Description</th>
<th>Fund Number</th>
<th>Other Direct Costs</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 DUI Checkpoint Supplies @ $1200.00</td>
<td>410 Impaired Driving Funds - HSP 2012</td>
<td>$1,200.00</td>
</tr>
</tbody>
</table>

**Narrative:** Supplies to conduct sobriety checkpoints. Include cones, signage, reflective vests (maximum of 10), generator, lighting, reflective banners, flares, PAS device supplies, heater, fan and canopy. Additional items may be purchased if approved by OTS.
<table>
<thead>
<tr>
<th>Description</th>
<th>Fund Number</th>
<th>Other Direct Costs</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 Printing/Duplication @ $461.60</td>
<td>410 Impaired Driving Funds - HSP 2012</td>
<td>$461.60</td>
</tr>
</tbody>
</table>

**Narrative:** Costs include the purchases of paper, production, printing and/or duplication of materials associated with grant operations.

**INDIRECT TOTAL COSTS**

<table>
<thead>
<tr>
<th>Description</th>
<th>Fund Number</th>
<th>Indirect Costs</th>
</tr>
</thead>
</table>

**TOTAL GRANT AMOUNT**

$300,000.00
## Exhibit B
### Goals and Objectives

#### Goals

<table>
<thead>
<tr>
<th>Order</th>
<th>Goal ID #</th>
<th>Goal</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>5</td>
<td>To reduce the number of persons killed in traffic collisions.</td>
</tr>
<tr>
<td>2</td>
<td>6</td>
<td>To reduce the number of persons injured in traffic collisions.</td>
</tr>
<tr>
<td>3</td>
<td>7</td>
<td>To reduce the number of persons killed in alcohol-involved collisions.</td>
</tr>
<tr>
<td>4</td>
<td>8</td>
<td>To reduce the number of persons injured in alcohol-involved collisions.</td>
</tr>
<tr>
<td>5</td>
<td>52</td>
<td>To reduce the number of persons killed in drug involved collisions.</td>
</tr>
<tr>
<td>6</td>
<td>53</td>
<td>To reduce the number of persons injured in drug involved collisions.</td>
</tr>
<tr>
<td>7</td>
<td>9</td>
<td>To reduce the number of motorcyclists killed in traffic collisions.</td>
</tr>
<tr>
<td>8</td>
<td>10</td>
<td>To reduce the number of motorcyclists injured in traffic collisions.</td>
</tr>
<tr>
<td>9</td>
<td>11</td>
<td>To reduce the number of motorcyclists killed in alcohol-involved collisions.</td>
</tr>
<tr>
<td>10</td>
<td>12</td>
<td>To reduce the number of motorcyclists injured in alcohol-involved collisions.</td>
</tr>
<tr>
<td>11</td>
<td>13</td>
<td>To reduce hit &amp; run fatal collisions.</td>
</tr>
<tr>
<td>12</td>
<td>14</td>
<td>To reduce hit &amp; run injury collisions.</td>
</tr>
<tr>
<td>13</td>
<td>15</td>
<td>To reduce nighttime (2100 - 0259 hours) fatal collisions.</td>
</tr>
<tr>
<td>14</td>
<td>16</td>
<td>To reduce nighttime (2100 - 0259 hours) injury collisions.</td>
</tr>
</tbody>
</table>

#### Objectives

<table>
<thead>
<tr>
<th>Order</th>
<th>Objective ID #</th>
<th>Objective</th>
<th>User Input</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>25</td>
<td>To issue a press release announcing the kick-off of the grant by November 15 of the first grant year. The press releases and media advisories, alerts, and materials must be emailed to the OTS Public Information Officer at <a href="mailto:pic@ots.ca.gov">pic@ots.ca.gov</a>, and copied to your OTS Coordinator, for approval 14 days prior to the issuance date of the release.</td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>225</td>
<td>To send all grant-related activity press releases, media advisories, alerts and general public materials to the OTS Public Information Officer (PIO) at <a href="mailto:pio@ots.ca.gov">pio@ots.ca.gov</a>, 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, a draft press release must first be sent to the OTS PIO for approval. Drafts should be sent for approval as early as possible to ensure adequate turn-around time. Optimum lead time would be 10-20 days prior to the operation. Media communications reporting the results of grant activities such as checkpoints and saturation patrols are exempt from the advance approval requirement. 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 results.</td>
<td></td>
</tr>
<tr>
<td>----</td>
<td>-----</td>
<td>-------------------------------------------------------------------------------------------------</td>
<td></td>
</tr>
<tr>
<td>3</td>
<td>34</td>
<td>To 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.</td>
<td></td>
</tr>
<tr>
<td>4</td>
<td>55</td>
<td>To issue a press release prior to each motorcycle safety enforcement operation to raise awareness about motorcycle safety in general and to draw attention to the motorcycle safety enforcement operations. If you (grantee) choose not to use the OTS template, the press releases and media advisories, alerts, and materials must be emailed to the OTS Public Information Officer at <a href="mailto:pio@ots.ca.gov">pio@ots.ca.gov</a> and copied to your OTS Coordinator for approval 14 days prior to the issuance date of the release.</td>
<td></td>
</tr>
<tr>
<td>5</td>
<td>226</td>
<td>To email the OTS Public Information Officer at <a href="mailto:pio@ots.ca.gov">pio@ots.ca.gov</a>, 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 that OTS has enough notice to arrange for attendance and/or participation in the event.</td>
<td></td>
</tr>
<tr>
<td>6</td>
<td>227</td>
<td>To submit a draft or rough-cut of all printed or recorded material (brochures, posters, scripts, artwork, trailer graphics, etc.) to the OTS Public Information Officer at <a href="mailto:pio@ots.ca.gov">pio@ots.ca.gov</a>, and copy your OTS Coordinator, for approval 14 days prior to the production or duplication.</td>
<td></td>
</tr>
<tr>
<td>7</td>
<td>228</td>
<td>To include OTS logo, space permitting, on grant-funded print materials; consult your OTS Coordinator for specifics relating to this grant.</td>
<td></td>
</tr>
<tr>
<td>8</td>
<td>39</td>
<td>To develop and maintain a “Hot Sheet” program to notify patrol and traffic officers to be on the lookout for identified repeat DUI offenders with a suspended or revoked license as a result of DUI convictions by December 31 of the first grant year. Updated Hot Sheets will be distributed to patrol and traffic officers every three to four weeks.</td>
<td></td>
</tr>
<tr>
<td>9</td>
<td>263</td>
<td>To send supervisory and other interested law enforcement personnel to the OTS sponsored “DUI Checkpoints – Planning and Management” 8 hour, POST Certified training course by December 31.</td>
<td></td>
</tr>
<tr>
<td>10</td>
<td>35</td>
<td>To conduct Standardized Field Sobriety Testing (SFST) training for ___ officers by January 31. Note: At least one sworn officer who has received NHTSA-certified SFST training should participate in each DUI/DL checkpoint conducted under this grant.</td>
<td>Target number: 15</td>
</tr>
<tr>
<td>11</td>
<td>264</td>
<td>To send ___ law enforcement personnel to the NHTSA “Advanced Roadside Impaired Driving Enforcement” (ARIDE) 16 hour, POST-Certified training by January 31.</td>
<td>Target number: 20</td>
</tr>
<tr>
<td>12</td>
<td>36</td>
<td>To submit a California Law Enforcement Challenge application to CHP according to instructions on the CHP website <a href="http://www.chp.ca.gov/features/clec.html">http://www.chp.ca.gov/features/clec.html</a> and submit a copy of the application to CHP and the Office of Traffic Safety by the last Friday of March in each grant year.</td>
<td></td>
</tr>
<tr>
<td>13</td>
<td>266</td>
<td>To report the procurement status of all equipment planned to be purchased as part of this grant.</td>
<td></td>
</tr>
<tr>
<td>14</td>
<td>1</td>
<td>To conduct ___ DUI/DL Checkpoints. Note: To enhance the overall deterrent effect and promote high visibility, be sure to issue an advance press release for each checkpoint operation. For combination DUI/DL checkpoints, departments must issue press releases that mention DL's will be checked at the DUI/DL checkpoint. Also, according to the Attorney General's Office all DUI/DL checkpoint operations must have signs reading &quot;DUI/Driver's License Checkpoint Ahead.&quot; OTS does not fund or support independent DL checkpoints. Only on an exception basis and with OTS pre-approval will OTS fund checkpoint operations that begin prior to 1800 hours.</td>
<td>Target number: 12</td>
</tr>
<tr>
<td>15</td>
<td>6</td>
<td>To conduct ___ DUI Saturation Patrols.</td>
<td>Target number: 34</td>
</tr>
<tr>
<td>16</td>
<td>56</td>
<td>To conduct ___ highly publicized Motorcycle Safety DUI Saturation Patrol(s) in areas or during events with motorcycle incidents or collisions resulting from DUI drivers/motorcyclists.</td>
<td>Target number: 2</td>
</tr>
<tr>
<td>17</td>
<td>366</td>
<td>To track the number of DUID reports submitted to the City or District Attorney for case issuance. Note: “DUID reports” are defined as reports seeking criminal charges upon a suspect for violation of California Vehicle Code sections 23152(a) or 23153(a) without a corresponding violation of 23152(b) or 23153(b).</td>
<td></td>
</tr>
<tr>
<td>18</td>
<td>367</td>
<td>To report the number of DUID reports returned to law enforcement where the City or District Attorney’s Office declined to issue DUID charges against the suspect.</td>
<td></td>
</tr>
<tr>
<td>19</td>
<td>368</td>
<td>To develop a tracking system that can track DUID report submissions and rejections and includes unique case identifiers and attributes (e.g. report number, suspect name, etc.).</td>
<td></td>
</tr>
<tr>
<td>20</td>
<td>16</td>
<td>To conduct ___ Warrant Service operations targeting multiple DUI offenders who violate probation terms or fail to appear in court.</td>
<td>Target number: 4</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Description</td>
<td>Target number:</td>
</tr>
<tr>
<td>---</td>
<td>---</td>
<td>------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------</td>
<td>----------------</td>
</tr>
<tr>
<td>21</td>
<td>19</td>
<td>To conduct ___ Court Sting operations to cite individuals driving from court after having their license suspended or revoked.</td>
<td>2</td>
</tr>
<tr>
<td>22</td>
<td>40</td>
<td>To conduct ___ Stakeout operations that employ police officers to observe the &quot;worst of the worst&quot; repeat DUI offender probationers with suspended or revoked driver licenses.</td>
<td>2</td>
</tr>
<tr>
<td>23</td>
<td>37</td>
<td>To collaborate with the county's &quot;Avoid Coalition&quot; by: participating in all planning and scheduling meetings and MADD/Avoid DUI Seminars; providing your county Avoid Coordinator (Host) with your agency's schedule of operations that occur during any Avoid operational campaign period; and reporting daily, during holiday Avoid efforts, to the county Avoid Coordinator your agency's DUI arrests &amp; DUI fatality information for the Avoid media campaign.</td>
<td></td>
</tr>
</tbody>
</table>
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EXHIBIT C
PROBLEM STATEMENT AND METHOD OF PROCEDURE

PROBLEM STATEMENT

Using local data (not OTS Rankings or SWITRS), complete the table below.

<table>
<thead>
<tr>
<th>Collision Type</th>
<th>2007</th>
<th></th>
<th>2008</th>
<th></th>
<th>2009</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Collisions</td>
<td>Victims</td>
<td>Collisions</td>
<td>Victims</td>
<td>Collisions</td>
<td>Victims</td>
</tr>
<tr>
<td>Fatal</td>
<td>19</td>
<td>21</td>
<td>15</td>
<td>17</td>
<td>21</td>
<td>23</td>
</tr>
<tr>
<td>Injury</td>
<td>1368</td>
<td>2155</td>
<td>1383</td>
<td>2167</td>
<td>1452</td>
<td>2138</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Alcohol Involved</td>
<td>9</td>
<td>75</td>
<td>9</td>
<td>142</td>
<td>8</td>
<td>80</td>
</tr>
<tr>
<td>Hit and Run</td>
<td>2</td>
<td>202</td>
<td>3</td>
<td>287</td>
<td>3</td>
<td>224</td>
</tr>
<tr>
<td>Nighttime (2100-0259 hours)</td>
<td>4</td>
<td>87</td>
<td>4</td>
<td>109</td>
<td>5</td>
<td>97</td>
</tr>
</tbody>
</table>

PROVIDE DETAILED ANSWERS TO THE FOLLOWING QUESTIONS AS PART OF THE PROBLEM STATEMENT:

1. Describe current traffic unit complement (number of personnel and classifications). If applicable, describe how the size of the traffic unit has fluctuated in the past five years and why.

   The Stockton Police Department Traffic Section currently has 1 Sergeant, 11 Officers assigned to traffic enforcement, 2 officers assigned to DUI enforcement, 1 officer assigned to investigate hit and run collisions, 1 officer assigned to oversee major collisions, 1 officer assigned to run the red light photo system and 1 officer assigned to oversee the vehicle impound program. In July of 2009, 1 sergeant and 4 officer positions were eliminated due to budget restraints. In July of 2010 an additional 1 sergeant and 4 officer positions were eliminated.

2. How many sobriety checkpoints did your department conduct between October 1, 2009 and September 30, 2010? (Include checkpoints from all funding sources, i.e. OTS grants or mini-grants, and department funded).

<table>
<thead>
<tr>
<th>OTS Grant Number</th>
<th>AL 1016</th>
<th>Number of Checkpoints (Not Avoid)</th>
<th>15</th>
</tr>
</thead>
<tbody>
<tr>
<td>AVOID the 10</td>
<td>0</td>
<td>Number Of Checkpoints In Your Jurisdiction</td>
<td>0</td>
</tr>
<tr>
<td>Mini-Grant Number</td>
<td>SC 10420</td>
<td>Number of Checkpoints</td>
<td>10</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Number of Department Funded Checkpoints (Not OTS Funded)</td>
<td>0</td>
</tr>
</tbody>
</table>
EXHIBIT C
PROBLEM STATEMENT AND METHOD OF PROCEDURE

Additional information:
None

3. What is the average number of DUI arrests per checkpoint?
We average 2 arrests and about 15 vehicles impounded per checkpoint.

4. Does your Agency participate in an AVOID DUI program? (If yes, complete 4a)
   Yes
   a. AVOID the 10 DUI Campaign in San Joaquin County

5. What percent of your DUI arrests between October 1, 2009 and September 30, 2010 were made as
   a result of a collision?
   27%

6. What percent of your collisions involve drivers with a suspended or revoked license?
   17%

7. What is the magnitude of your city’s problem concerning repeat DUI offenders who violate
   probation or fail to appear in court? Do you currently have a program that proactively addresses this
   issue?

   Despite a recent Stockton Record article praising our efforts on repeat DUI offenders, we still have a
   large repeat offender problem. We work collaboratively with the OTS funded DUI court to impact
   the problem, which includes: Court Stings, Warrant Missions and Stakeouts.

8. Do you have a backlog of unserved warrants for repeat DUI offenders?
   Yes
   Additional information:
   We average about 40 new warrants issued every month on DUI offenders who are either new
   offenders who haven’t made their court appearance or warrants from the DUI court from the repeat
   offender program.

9. How many of your traffic officers have received Standardized Field Sobriety Testing (SFST) training?
   All of the Stockton Police Department Traffic Officers have received SFST training.

METHOD OF PROCEDURE

Phase I: Program Preparation, Training and Implementation (1st Quarter of the Grant Year)

- The police department will develop operational plans to implement the “best practice”
  strategies outlined in the objectives section.
EXHIBIT C
PROBLEM STATEMENT AND METHOD OF PROCEDURE

- A draft news release will be submitted to OTS to announce the grant program.
- All training needed to implement the program will be conducted this quarter.
- All grant related purchases needed to implement the program will be made this quarter.
- In order to develop the “Hot Sheets”, research will be conducted to identify the “worst of the worst” repeat DUI offenders with a suspended or revoked license as a result of DUI convictions. The Hot Sheets may include the driver’s name, last known address, DOB, description, current license status, and the number of times suspended or revoked for DUI. Hot Sheets will be updated and distributed to traffic and patrol officers every three to four weeks.
- DUI/Driver’s License checkpoint site locations will have a history of significant alcohol involved collisions and/or DUI arrests.

Phase II: Community Awareness (Throughout Grant Period)

- The police department will work to create media opportunities throughout the grant period to call attention to the innovative program strategies and outcomes.

Phase III: Data Collection & Reporting (Throughout Grant Period)

- The police department will submit a Quarterly Performance Report (QPR) and a separate quarterly data reporting form within 30 days following each calendar quarter.
- The final QPR, Data Form, Claim and Executive Summary are due to OTS 30 days following the grant’s termination.
- Reports shall be completed and submitted in accordance with OTS requirements specified in the Grant Program Manual.

Method of Evaluation

Using the data compiled during the grant, the Grant Director will: (1) briefly state the original problem, (2) specify the most significant goals and objectives, (3) highlight the most significant activities that contributed to the success of the program and the strategies used to accomplish the goals, and (4) describe the program’s accomplishments as they related to the goals and objectives.
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 Chapter II - (§§1200, 1205, 1206, 1250, 1251, & 1252) Regulations governing highway safety programs
- NHTSA Order 462-6C - Matching Rates for State and Community Highway Safety Programs
- Highway Safety Grant Funding Policy for Field-Administered Grants

Certifications and Assurances

The Grantee Agency will implement activities in support of national highway safety goals to reduce motor vehicle related fatalities that also reflect the primary data-related crash factors within the State as identified by the State highway safety planning process, including:

- National law enforcement mobilizations,
- Sustained enforcement of statutes addressing impaired driving, occupant protection, and driving in excess of posted speed limits,
- An annual statewide safety belt use survey in accordance with criteria established by the Secretary for the measurement of State safety belt use rates to ensure that the measurements are accurate and representative,
- Development of statewide data systems to provide timely and effective data analysis to support allocation of highway safety resources.

The Grantee Agency shall actively encourage all relevant law enforcement personnel in the State to follow the guidelines established for vehicular pursuits issued by the International Association of Chiefs of Police that are currently in effect. (23 USC 402 (b) (1) (E)

Other Federal Requirements

Cash disbursements and balances will be reported in a timely manner as required by NHTSA. (49 CFR 18.21)

The same standards of timing and amount, including the reporting of cash disbursement and balances, apply to grantees as they do the State. (49 CFR 18.41)

Failure to adhere to these provisions may result in the termination of State drawdown privileges.

Equipment acquired under this Grant Agreement for use in highway safety program areas shall be used and kept in operation for highway safety purposes by the Grantee Agency; or the State, by formal agreement with appropriate
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CERTIFICATIONS AND ASSURANCES

officials of a political subdivision or State agency, shall cause such equipment to be used and kept in operation for highway safety purposes (23 CFR 1200.21);

The Grantee Agency will comply with all applicable State procurement procedures and will maintain a financial management system that complies with the minimum requirements of 49 CFR 18.20;

Federal Funding Accountability and Transparency Act

The State will comply with FFATA guidance, OMB Guidance on FFATA Subaward and Executive Compensation Reporting, August 27, 2010, (https://www.fsrs.gov/documents/OMB_Guidance_on_FFATA_Subaward_andExecutive_Compensation_Reporting_08272010.pdf) by reporting to FSRS.gov for each sub-grant awarded:

- Name of the entity receiving the award;
- Amount of the award;
- Information on the award including transaction type, funding agency, the North American Industry Classification System code or Catalog of Federal Domestic Assistance number (where applicable), program source;
- Location of the entity receiving the award and the primary location of performance under the award, including the city, State, congressional district, and country; and an award title descriptive of the purpose of each funding action;
- A unique identifier (DUNS);
- The names and total compensation of the five most highly compensated officers of the entity if—of the entity receiving the award and of the parent entity of the recipient, should the entity be owned by another entity;

(i) the entity in the preceding fiscal year received—

(ii) 80 percent or more of its annual gross revenues in Federal awards; and (ii) $25,000,000 or more in annual gross revenues from Federal awards; and (ii) the public does not have access to information about the compensation of the senior executives of the entity through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986;

- Other relevant information specified by OMB guidance.

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 (P.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 (42 USC § 12101, et seg. PL 101-336), 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 Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse and alcoholism; (g) §§ 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§ 290 dd-3 and 290 ee-3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights
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Act of 1968 (42 U.S.C. §§ 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; The Civil Rights Restoration Act of 1987, which provides that any portion of a state or local entity receiving federal funds will obligate all programs or activities of that entity to comply with these civil rights laws; and, (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.

The Drug-free Workplace Act of 1988 (41 U.S.C. 702;):

The Grantee Agency will provide a drug-free workplace by:

a. Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

b. Establishing a drug-free awareness program to inform employees about:
   1. The dangers of drug abuse in the workplace.
   2. The grantee’s policy of maintaining a drug-free workplace.
   3. Any available drug counseling, rehabilitation, and employee assistance programs.
   4. The penalties that may be imposed upon employees for drug violations occurring in the workplace.

c. Making it a requirement that each employee engaged in the performance of the grant be given a copy of the statement required by paragraph (a).

d. Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will:
   1. Abide by the terms of the statement.
   2. Notify the employer of any criminal drug statute conviction for a violation occurring in the workplace no later than five days after such conviction.

e. Notifying the agency within ten days after receiving notice under subparagraph (d) (2) from an employee or otherwise receiving actual notice of such conviction.

f. Taking one of the following actions, within 30 days of receiving notice under subparagraph (d) (2), with respect to any employee who is so convicted:
   1. Taking appropriate personnel action against such an employee, up to and including termination.
   2. Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by Federal, State, or local health, law enforcement, or other appropriate agency.

g. Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f) above.
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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 (Hatch Act)

The Grantee Agency will comply, as applicable, with the provisions of the Hatch Act (5 U.S.C. §§ 1501-1508 and 7324-7328) which limit 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 Grantee Agency official 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 Grantee Agency official shall require that the language of this certification be included in the award documents for all sub-award at all tiers (including sub-contracts, 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.
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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 Grantee Agency official 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 Grantee 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, proposal, 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 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
EXHIBIT D
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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/proposal 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 Grantee Agency official shall attach an explanation to this Grant Agreement.

Instructions for Lower Tier Certification
EXHIBIT D
CERTIFICATIONS AND ASSURANCES

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, proposal, 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 proposal that is 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
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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.

Policy to Ban Text Messaging While Driving

In accordance with Executive Order 13513, Federal Leadership On Reducing Text Messaging While Driving, and DOT Order 3902.10, Text Messaging While Driving, Grantee Agencies are encouraged to:

1. Adopt and enforce workplace safety policies to decrease crashes caused by distracted driving including policies to ban text messaging while driving:
   a. Company-owned or -rented vehicles, or Government-owned, leased or rented vehicles; or
   b. Privately-owned when on official Government business or when performing any work on or on behalf of the Government.

2. Conduct workplace safety initiatives in a manner commensurate with the size of the business, such as:
   a. Establishment of new rules and programs or re-evaluation of existing programs to prohibit text messaging while driving; and
   b. Education, awareness, and other outreach to employees about the safety risks associated with texting while driving.

Environmental Impact

The Grantee Agency official has reviewed the Grant Agreement and hereby declares that no significant environmental impact will result from implementing this traffic safety program. If, under a future revision, this program will be modified in such a manner that a program would be instituted that could affect environmental quality to the extent that a review and statement would be necessary, this office is prepared to take the action necessary to comply with the National Environmental Policy Act of 1969 (42 USC 4321 et seq.) and the implementing regulations of the Council on Environmental Quality (40 CFR Parts 1500-1517).