

**GRANTEE ASSURANCES
FOR SUBGRANTEES
TO THE UTAH DEPARTMENT OF HEALTH**

The assurances given below are material representations of fact upon which reliance is placed in entering into Agreements with the Utah Department of Health. As the duly authorized representative of the proposed Grantee, I certify that the legal business name and form of the proposed Grantee is as follows (check all that apply):

Business Name: _____
 Address: _____
 Phone Number: _____

- Local Public Procurement Unit under the Utah Procurement Code (UCA § 63G-6-103-14)
- College or University Indian Tribal Government Other Governmental Entity (describe):
- Sole Proprietor/Individual Professional Corporation
- For-profit Corporation Non-profit Corporation (I.R.C. § 501(c)(3))
- Partnership Limited Partnership
- Limited Liability Company Association/Consortium (describe):

I certify that the proposed Grantee:

1. has obtained Dunn and Bradstreet Data Universal Numbering System (DUNS) number _____, and has a current registration within the Central Contractor Registration (CCR) database. The DUNS number is obtained by contracting Dunn and Bradstreet at (800) 244-3867 or via the internet, <http://www.dnb.com>; CCR registration is at <http://www.ccr.gov>.
2. has completed Internal Revenue Service form W-9, Request for Taxpayer Identification Number and Certification, and is attached to this document. Electronic copy of this document is available at the following web address: <http://www.irs.gov/pub/irs-pdf/fw9.pdf>
3. has the institutional, managerial, and financial capability to ensure proper planning, management, and completion of the project described in the Grant(s) with the Utah Department of Health and has in place the fiscal control and accounting procedures sufficient to meet the financial reporting, accounting records, internal control, budget control, allowable cost, source documentation, and cash management requirements of the federal OMB Common Rule § 20(b)(1) through (7), or federal OMB Circular A-110, Attachment F - Standards for Financial Management Systems as cited in Table 1 depending upon the appropriate business form of the Grantee.
4. shall comply with all applicable federal and State of Utah regulations concerning cost principles, audit requirements, and grant administration requirements, cited in Table 1. All federal and state principles and requirements cited in Table 1 are available on the Web at the addresses indicated, and by signing this document the proposed Grantee acknowledges receipt of these documents.

Table 1

Federal and State Principles and Requirements				
Proposed Grantee	Cost Principles	Federal Audit Requirements	State Audit Requirements	Grant Admin. Requirements
State or Local Govt. & Indian Tribal Govts.	OMB Circular A-87	OMB Circular A-133	SULCAG	OMB Common Rule (Circular A-102)
Hospitals	45 CFR 74	OMB Circular A-133	SULCAG	OMB Common Rule or Circular A-110
College or University	OMB Circular A-21	OMB Circular A-133	SULCAG	OMB Circular A-110
Non-Profit Organization	OMB Circular A-122	OMB Circular A-133	SULCAG	OMB Circular A-110
For Profit Organization	48 CFR 31	n/a	n/a	OMB Circular A-110

<u>Document</u>	<u>Web Address</u>
OMB Circulars	http://www.whitehouse.gov/omb/circulars/index.html
OMB Common Rule	http://www.whitehouse.gov/omb/grants/attach.html
CFRs	http://www.access.gpo.gov/nara/cfr/cfr-table-search.html
SULCAG	http://www.sao.utah.gov/lgResources.html Select "Legal Compliance Audit Guide"

a. Unless specifically exempted in the Grant's special provisions, the proposed Grantee must comply with applicable federal cost principles and grant administration requirements if state funds are received. If a Grant is awarded, the Grantee shall also provide the Department with a copy of all reports required by the State of Utah Legal Compliance Audit Guide (SULCAG) as defined in Chapter 2a, Title 51, UCA. A Grantee who receives federal, state, or local government funds may be subject to federal and State of Utah reporting and audit requirements. Copies of required reports shall be sent to the Utah Department of Health, Bureau of Financial Audit, Box 144002, Salt Lake City, Utah 84114-4002.

b. Federal audit requirements demand that organizations that expend \$500,000 or more in a year in federal financial assistance shall have a single or program specific audit conducted for that year. SULCAG requires the filing of reports with the State Auditor by all counties, cities, towns, school districts, and non-profit corporations that receive at least 50 percent of its funds from federal, state, or local government entities. The Grantee will assure compliance with these requirements and will initiate the process by providing the following data:

1. Grantee's accounting year:

From _____ To _____

2. Funding projected from Federal, State, or Local governments:

Amount \$ _____ Percent of Total Revenues _____%

3. Single Audit:

Performed last year Yes No
 Required for current year Yes No

4. Grantee's representative for financial matters:

Name _____

Title _____ Phone No. _____

5. has established safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.

6. shall comply with all applicable requirements of all other laws, executive orders, regulations and policies governing this program.

7. to the best knowledge and belief of the proposed Grantee and its principals, the proposed Grantee and its principals:
 (a) are not presently debarred, suspended, proposed for debarment, declared ineligible, excluded from covered transactions by any Federal Department or Agency, or associated with a terrorist organization (<http://epls.gov>);
 (b) have not within a 3-year period preceding this proposal 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 records, making false statements, or receiving stolen property;
 (c) are not presently indicted or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph 6(b) of this certification; and
 (d) have not within a 3-year period preceding this application/proposal had one or more public transactions (Federal, State, or local) terminated for cause or default;

By submitting this proposal, the proposed Grantee agrees to include without modification the clauses contained in paragraph 7(a) through (d) with contractors, in all lower tier covered transactions and in all solicitations for lower tier covered transactions in accordance with 45 CFR Part 76. Should the proposed Grantee not be able to provide this certification, an explanation, signed by the proposed Grantee as to why certification cannot be provided, should be attached to this document.

8. is in compliance with government-wide guidance on lobbying restrictions (31 U.S.C. § 1352) and that:
 (a) no federal 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 federal 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, or the extension, continuation, renewal, amendment, or modification of any federal contract, grant, loan, or cooperative agreement.
 (b) 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 federal agency, a member of Congress, an officer or employee of Congress, or an employee of a member of Congress in connection with the federal contract, grant, loan, or cooperative agreement, the Grantee shall complete and submit Federal Standard Form LLL, "Disclosure Form to report Lobbying," in accordance with its instructions.
9. has disclosed all public officers or employees who are related parties to the proposed Grantee. As used in this paragraph, "related parties" means any person related to the proposed Grantee by blood, marriage, partnership, common directors or officers, or 10% or greater direct or indirect ownership in a common entity. (Disclosure is to be made by attaching a separate sheet to this document listing all public officers and employees who are related parties to the proposed Grantee.)
10. has complied with the Public Officers' and Employees' Ethics Act, § 67-16-10, UCA, which prohibits actions that may create or that are actual or potential conflicts of interest. It also provides that "no person shall induce or seek to induce any public officer or public employee to violate any of the provisions of this act."
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AUTHORIZED AGENT OF PROPOSED GRANTEE

 Signature Date

STATE OF _____ |
 | SS.
 COUNTY OF _____ |

On this _____ day of _____, 20_____, _____ personally appeared before me and executed the above certification in my presence.

 NOTARY PUBLIC

Residing at: _____

My Commission Expires: _____

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If the proposed Grantee is a corporation the following Corporate Acknowledgment must be completed.

I, _____, certify that the following are authorized agents of _____
(Corporate Secretary) (Name of Corporation)

and are duly authorized by authority of said corporation to sign the above assurances and the Grant on behalf of the corporation.

(Authorized Agent of Corporation **) Title
Print or Type: Name and Title

(Authorized Agent of Corporation **) Title

Corporate Secretary Signature date

** (Note: authorized agent of Corporation must not be Corporate Secretary)

CORPORATION SEAL