

Appendix D

DUE DILIGENCE ASSESSMENT FORM

Contractor/Grantee/Vendor ("Entity") Name:		Agreement Number:	
Project Name:			
Agreement Period:			

Instructions: Check Not Applicable (N/A), No, or Yes in response to questions # 1-11 below.

	Question	N/A	No	Yes
1	Are there any issues surrounding the Entity's license, certification, or accreditation? Has the Entity been issued with a license, certification, or accreditation under a new name?			
2	In the past three (3) years, has your Entity had its non-profit status or business/professional permit or license disbarred, suspended or revoked?			
3	Are any key staff members on this project unable to be bonded?			
4	In the past three (3) years, has any of your Entity's contract(s) been terminated for non-compliance or inadequate performance?			
5	In the past three (3) years, has your Entity been placed on, maintained on or removed from probation, suspension, debarment, or another non-compliance status by a contracting body?			
6	Is your Entity currently, or within the past three (3) years, involved in litigation, arbitration, or mediation?			
7	Is your Entity (including Executive Director or Board of Directors) currently, or within the past three (3) years, involved in litigation related to the administration and operation of a program or organization?			
8	Has your Entity been the target or subject of any Federal, State or local law enforcement or administrative investigation in the past three (3) years?			
9	Has there been any finding or determination by an auditor or contracting party regarding fiscal management or controls or contract compliance?			
10	Has your Entity ever had public or foundation funds withheld?			
11	Has your Entity filed for bankruptcy within the last three (3) years, or is it contemplating bankruptcy in the foreseeable future?			

Explanation: If the response is Yes to any of the questions above, the Entity must respond by identifying the question number(s) and explaining 1) the circumstances and 2) whether there will be a potential impact on the project. Attach additional pages if necessary.

Certification:

As part of the contract process First 5 LA, at its own discretion, may implement additional procedures to validate or further investigate any of the Contractor/Grantee/Vendor's responses. First 5 LA reserves the right to terminate the contracting process without entering into an agreement if the Contractor/Grantee/Vendor submits false or incorrect information.

By signing this form, I certify, on behalf of the Entity named above that the responses contained herein are true and complete to the best of my knowledge.

Signature: _____ Date: _____
(Must be signed by an Authorized Signatory)

Printed Name: _____ Title: _____