

Appendix D

DUE DILIGENCE ASSESSMENT FORM

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|--|-------------------|--|--|
| Contractor/Grantee/Vendor ("Entity") Name: | | | |
| Project Name: | Agreement Number: | | |
| 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 contractcompliance? | | | |
| 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: _____