

## Appendix

The Appendix section of this RFP provides essential forms and documents that proposers must review, complete, and submit as part of their proposal package. These forms and documents ensure compliance with various regulations, policies, and requirements associated with the provision of services. By completing and submitting these forms, proposers demonstrate their commitment to adhering to all necessary legal and ethical standards throughout the contract period.

**Assurances and Certifications:** This form requires proposers to review and acknowledge their understanding of, and agreement to, various assurances and certifications related to the delivery of Workforce Innovation and Opportunity Act (WIOA) Title I & Pennsylvania Department of Human Services Employment Retention & Advancement Network (EARN) services. These assurances and certifications include compliance with all applicable federal, state, and local laws, regulations, and policies.

Attachment A      Administrative Assurances Chart

Attachment B      Contractual Assurances Chart

Attachment C      Northern Tier Regional Planning and Development Commission (NTRPDC) will require the following written certifications prior to the commencement of any program funded with monies under the jurisdiction of NTRPDC.

- **Non-discrimination and Equal Opportunity.** Proposers must certify that they will comply fully with the Nondiscrimination and Equal Opportunity provisions of the Workforce Innovation and Opportunity Act, including Title VI of the Civil Rights Act of 1964, as amended; Section 504 of the Rehabilitation Act of 1974, as amended; the Age Discrimination Act of 1975, as amended; Title IX of the Education Amendments of 1972, as amended. Also, the Nontraditional Employment for Women Act of 1991
- **Conflict of Interest.** Proposers must certify that they will prohibit their employees from using their positions for a purpose that is, or gives the appearance of, being motivated by a desire for private gain for themselves, particularly those with whom they have family, business, or other ties.
- **Certification Regarding Disclosure of Lobbying Activities.** This form requires proposers to certify that no federal funds have been used for lobbying activities related to the WIOA Title I or DHS RFP. Proposers must disclose any lobbying activities and associated expenditures in accordance with federal requirements.
- **Drug-Free Workplace Certification.** Proposers must certify their commitment to maintaining a drug-free workplace in compliance with the Drug-Free Workplace Act of 1988. This certification ensures that the proposer's organization has implemented a policy to prevent the unlawful manufacture, distribution, dispensation, possession, or use of controlled substances in the workplace.
- **Labor Standards.** Proposers will certify they will fully comply with the requirements under the Davis-Bacon Act, Copeland Anti-Kickback Act and the Contract Work Hours and Safety Standards Act.
- **Confidentiality.** Proposers will certify employee compliance with the confidentiality requirements of the Northern Tier Workforce Development Area to safeguard all information either written or spoken, regarding any program participant.

- Proposers will comply with the **Pennsylvania Right-To-Know Law**, 65 P.S. §§ 67.101-3104.

#### Attachment D

- **Debarment, Suspension, Ineligibility & Voluntary Exclusion Documentation.** Proposers must certify that their organization and its principals are not debarred, suspended, or otherwise ineligible to participate in federally funded contracts or programs. This certification ensures that the proposer is in good standing and capable of delivering WIOA Title I & EARN services without risk to the NTWDB or the community it serves.

By reviewing, completing, and submitting the required forms and documents, proposers demonstrate their commitment to compliance and ethical standards in the delivery of WIOA Title I & EARN services. Failure to submit these forms may result in the disqualification of a proposal from the evaluation process. Proposers are encouraged to carefully review and complete all forms in the appendix to ensure a complete and compliant proposal package.

## Attachment A

### ADMINISTRATIVE ASSURANCES CHART

The purpose of distinguishing the following assurances is to highlight specific requirements, and does not limit the responsibilities of the applicant agency in anyway. By including these assurances in the grant narrative, the applicant agency assures NTRPDC and the Northern Tier Workforce Development Board that it will abide by the following requirements:

\_\_\_\_\_  
Name of Organization

<b>ASSURANCES</b>	<b>YES</b>	<b>NO</b>
1. Assures that the financial management system satisfactorily accounts for and documents the receipt and disbursement of all WIOA and EARN funds;		
2. Assures that information pertaining to sub grants and contract awards, obligations, unobligated balances, assets, expenditures, and income will be maintained;		
3. Assures that one has effective internal controls in place to safeguard assets and assure proper use (including property location and usage);		
4. Assures that one will maintain source documentation to support accounting records that will permit the tracing of funds to a level of expenditure adequate to establish that funds have not been used in a violation of the applicable restrictions of the use of such funds;		
5. Assures that one financial system will permit the tracing of program income and potential stand-in costs and other funds that are allowable;		
6. Assures that one will maintain a comparison of actual expenditures with budgeted amounts for each sub grant and contract and that this comparison will be used to assess program progress and success;		
7. Assures that one will prepare and submit the required financial reports in a timely manner.		

<p>8. Assures that all persons authorized to receive or deposit WIOA and EARN funds, or to issue financial documents, checks or other instruments of payment for WIOA and/or EARN program costs, will be bonded in accordance with Federal and State regulatory requirements for protection against loss;</p>		
<p>9. Assures that contractors will be mandated to operate programs in compliance with regulations and policies outlined in the Act, Federal Regulations, and State Departments of Labor, Department of Human Service and Industry and/or Education;</p>		
<p>10. Assures that there is no excess cash on hand and that procedures exist for maintaining and monitoring the minimum amount of cash on hand to efficiently improve the timing and control of disbursements;</p>		
<p>11. Assures that all financial and program records, including any supporting documents will be retained for at least four years from the date of submission of the closeout reports for each program;</p>		
<p>12. Assures that all audit findings that impact the WIOA and EARN programs will be resolved and that corrective action for all such findings is instituted within 6 months after receipt of the audit report; and</p>		
<p>13. Assures that one will maintain an audit resolution file documenting the disposition of reported questioned costs and corrective actions taken for all findings.</p>		
<p>14. Assures that adequate internal program management procedures exist to prevent fraud and program abuse.</p>		
<p>15. Assures that WIOA training shall be provided only for those occupations for which there is a demand in the local area or in another area to which the client is willing to relocate.</p>		
<p>16. Assures that it has the administrative capabilities and expertise to operate an effective program.</p>		
<p>17. Assures that one has no significant outstanding audit deficiencies or disallowed costs.</p>		

18. Assures that one has appropriate staff and material to provide the employment and training services.		
19. Assures that all program clients, regardless of disability, including persons with limited English speaking ability, are provided access to all program activities; that qualified program clients with disabilities will be provided with reasonable accommodation, unless providing the accommodation would cause undue hardship; and that reasonable modifications will be made to policies, practices and procedures when the modifications are necessary to avoid discrimination, unless making the modifications would fundamentally alter the nature of the service, program or activity.		
20. Assures that records will be maintained for the purposes of equal opportunity which include characteristics data on race/ethnicity, sex, age, disability status of applicants, registrants, eligible applicants/registrants, participants, individuals existing in the programs, applicants for employment, and employees.		
21. Assures that all recruitment brochures and other materials which are ordinarily distributed to the public to describe programs funded under WIOA must certify the above using the following wording "The WIOA funded program or activity is an equal opportunity employer/program; auxiliary aids and services are available upon request to individuals with disabilities".		

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Typed Name and Title

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Signature

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Date

**Contractual Assurances Chart**

\_\_\_\_\_  
Name of Organization

<b>Please review each line item and acknowledge your organization's ability/consent to comply with the following provisions:</b>	<b>Yes</b>	<b>No</b>
Equal Employment Opportunities <ul style="list-style-type: none"> <li>• 41 CFR Part 60; Executive Order 11246, as amended; 2 CFR Appendix II Part 200(C)</li> </ul>		
Labor Standards <ul style="list-style-type: none"> <li>• WIOA Public Law 113-128 Section 181 (b); 20 CFR 680.830</li> </ul>		
Clean Air Act <ul style="list-style-type: none"> <li>• 42 U.S.C. 7401 – 7671q; 2 CFR Appendix II Part 200(G)</li> </ul>		
Federal Water Pollution Control Act, as amended <ul style="list-style-type: none"> <li>• 33 U.S.C. 1251-1387; 2 CFR Appendix II Part 200(G)</li> </ul>		
Energy Policy and Conservation Act <ul style="list-style-type: none"> <li>• Public Law 94-163</li> </ul>		
Patent Rights, Copyrights and rights to data		
Procurement of Recovered Materials <ul style="list-style-type: none"> <li>• Section 6002 of the Solid Waste Disposal Act, as amended by the Resources Conservation and Recovery Act; 2 CFR Appendix II Part 200(J)</li> </ul>		
Prohibition on certain telecommunications and video surveillance services or equipment <ul style="list-style-type: none"> <li>• Public Law 115-232 section 889; 2 CFR Appendix II Part 200(K)</li> </ul>		
Domestic preference for procurement <ul style="list-style-type: none"> <li>• 2 CFR 200.322; 2 CFR Appendix II Part 200(L)</li> </ul>		
Rights to inventions made under a contract or agreement <ul style="list-style-type: none"> <li>• 37 CFR Part 401; 2 CFR Appendix II Part 200(F)</li> </ul>		
Child Labor Laws <ul style="list-style-type: none"> <li>• Fair Labor Standards Act (FLSA) of 1938 &amp; 29 CFR 570</li> </ul>		

\_\_\_\_\_  
Typed Name and Title

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

## Certifications

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Name of Organization

The authorized representative agrees to comply with all applicable State and Federal laws and regulations governing the Workforce Innovation and Opportunity Act, Employment Advancement and Retention Network, Workforce Development Boards, and any other applicable laws and regulations. The authorized representative certifies that the proposing organization possesses legal authority to offer the attached proposal. A resolution, motion or similar action has been duly adopted or passed as an official act of the organization's governing body authorizing the submission of this proposal.

The authorized representative certifies that their agency will comply with the following provisions:

1. **Non-discrimination and Equal Opportunity** As a condition to the award of financial assistance from the Department of Labor under Title I of the Workforce Innovation and Opportunity Act (WIOA), the grant applicant assures that it will comply fully with the nondiscrimination and equal opportunity provisions of WIOA Section 188 and also the Nontraditional Employment for Women Act of 1991:
  - **WIOA Section 188 (a)(1) Federal Financial Assistance.** – For the purpose of applying the prohibitions against discrimination on the basis of the following:
    - Title VI of the Civil Rights Act of 1964, as amended, which prohibits discrimination on the basis of race, color and national origin;
    - Section 504 of the Rehabilitation Act of 1973, as amended, which prohibits discrimination against qualified individuals with disabilities;
    - The Age Discrimination Act of 1975, as amended, which prohibits discrimination on the basis of age: and
    - Title IX of the Education Amendments of 1972, as amended, which prohibits discrimination on the basis of sex in educational programs.

Programs and activities funded or otherwise financially assisted in whole or in part under this Act are considered to be programs and activities receiving Federal financial assistance.

- **Section 188 (a)(2) Prohibition of discrimination regarding participation, benefits, and employment.** -- No individual shall be excluded from participation in, denied the benefits of, subjected to discrimination under, or denied employment in the administration of or in connection with, any such program or activity because of race, color, religion, sex (except as otherwise permitted under Title IX of the Education Amendments of 1972), national origin, age, disability, or political affiliation or belief.

- **Section 188 (a)(3) Prohibition on assistance for facilities for sectarian instruction or religious worship.** -- Participants shall not be employed under WIOA Title I to carry out the construction, operation, or maintenance of any part of any facility that is used or to be used for sectarian instruction or as a place for religious worship (except with respect to the maintenance of a facility that is not primarily or inherently devoted to sectarian instruction or religious worship, in a case in which the organization operating the facility is part of a program or activity providing services to participants).
- **Section 188 (a)(4) Prohibition on discrimination on basis of participant status.** -- No person may discriminate against an individual who is a participant in a program or activity that receives funds under WIOA Title I, with respect to the terms and conditions affecting, or rights provided to, the individual, solely because of the status of the individual as a participant.
- **Section 188 (a)(5) Prohibition on discrimination against certain noncitizens.** -- Participation in programs and activities or receiving funds under WIOA Title I shall be available to citizens and nationals of the United States, lawfully admitted permanent resident aliens, refugees, asylees, and parolees, and other immigrants authorized by the Attorney General to work in the United States.

The grant applicant also assures that it will comply with WIOA regulations and all other regulations implementing the laws listed above. This assurance applies to the applicant's operation of the WIOA Title I-financially assisted program or activity, and to all agreements the applicant makes to carry out the WIOA Title I-financially assisted program or activity. The grant applicant understands that the United States has the right to seek judicial enforcement of this assurance.

## **2. Conflict of Interest**

The undersigned applicant certifies that:

- No manager, employee or paid consultant of the Proposer is a member of the Board of Directors, or an employee of the Board;
- No manager or paid consultant of the Proposer is married to a member of the Board of Directors, or an employee of the Board;
- No member of the Board of Directors, or an employee of the Board owns or has any control in the Proposer's organization;
- No spouse of a member of the Board of Directors, or employee of the Board receives compensation from Proposer for lobbying activities;
- Proposer has disclosed within the proposal response any interest, fact or circumstance which does or may present a potential conflict of interest;
- Should Proposer fail to abide by the foregoing covenants and affirmations regarding conflict of interest, Proposer shall not be entitled to the recovery of any costs or expenses incurred in relations to any contract with the Board and shall immediately refund the Board any fees or expenses that may have been paid under the contract and shall

further be liable for any other costs incurred or damages sustained by the Board relating to that contract.

3. **Lobbying** This certification is required by the Federal Regulations, Implementing Section 1352 of the Program Fraud and Civil Remedies Act, Title 31 U.S. Code for the Department of Agriculture (7 CFR Part 3018), Department of Labor (29 CFR Part 93), Department of Education (34 CFR Part 82), Department of Health and Human Services (45 CFR Part 93).

The undersigned applicant certifies that:

- 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 any officer or employee of Congress, or an employee of a Member of Congress, or locally elected officials.
- In connection with the awarding 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.
- 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, any officer or employee of Congress, an employee of a Member of Congress, or locally elected officials in connection with this Federal contract, grant, loan or cooperative agreement, the undersigned shall complete and submit "Disclosure Form to Report Lobbying", in accordance with its instructions.
- The undersigned shall require that the language of this certification be included in the award for all sub-awards at all tiers (including subcontracts, sub-grants, and contracts under grants, loans, and cooperative agreements) and that all sub- recipients shall certify and provide disclosure accordingly.

4. **Drug-Free Workplace** This certification is required by the Federal Regulations, Implementing Section 5150-5160 of the Drug-Free Workplace Act, 41 U.S.C. 701; for the Department of Agriculture (7 CFR Part 3017), Department of Labor (29 CFR Part 98), Department of Education (34 CFR Part 85, 668 and 682), Department of Health and Human Services (45 CFR Part 76).

The undersigned applicant certifies that it shall provide a drug-free workplace by:

- Publishing a policy statement notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the workplace and specifying the consequences of any such action by an employee;

- Establishing an ongoing drug-free awareness program to inform employees of the dangers of drug abuse in the workplace, the Contractor's policy of maintaining a drug-free workplace, the availability of counseling, rehabilitation and employee assistance programs, and the penalties that may be imposed on employees for drug abuse violations in the workplace;
- Providing each employee with a copy of the Contractor's policy statement;
- Notifying the employees in the Contractor's policy statement that as a condition of employment under this contract, employees shall abide by the terms of the policy statement and notifying the Contractor in writing within five (5) days after any conviction for a violation by the employee of a criminal drug statute in the workplace;
- Notifying the Commission within ten (10) days of Contractor's receipt of a notice of a conviction of an employee; and,
- Taking appropriate personnel action against an employee of violating a criminal drug statute or require such employee to participate in drug abuse assistance or a rehabilitation program.

These certifications are material representations 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.

## **5. Labor Standards**

Applicant agrees and certifies that it will comply with applicable provisions of the Davis-Bacon Act (40 U.S.C. 276a- 276a-7), the Copland Act (40 U.S.C. 276c), the Contract Work Hours and Safety Standards Act (40 U.S.C. 327-332), as set forth in Department of Labor Regulations at 20 CFR 5.5a.

## **6. Confidentiality**

- The Health Insurance Portability and Accountability Act (HIPAA) of 1996 require that organizations protect identifiable individual health care information. Applicant must ensure that each staff member who has contact with clients or client information receive HIPAA training. New staff members must be trained in HIPAA requirements within 14 days of the start of employment. Applicant must ensure that all subcontracted staff with access to clients or client information are also trained and must maintain documentation of all training. The documentation must include a list of the staff persons that were trained and the date and location of the training.

Applicant acknowledges that the use or disclosure of information concerning applicants or recipients of public assistance for purposes other than as provided in this agreement is strictly prohibited by state and federal law. Applicant will keep such information confidential and will require its employees accessing confidential information to sign an acknowledgement to evidence their understanding and agreement concerning the confidential nature of the information. Applicant will use the information only as agreed to and for no other purpose. Applicant will properly instruct any person having access to this information as to security requirements and obligations, and to inform persons having access that they are bound by confidentiality provisions. All employees must be informed that violation may result in disciplinary action, including discharge or criminal prosecution if the employee knowingly uses the information for fraudulent purposes. The applicant and its employees may have access to information only on a “need to know” basis. These obligations will survive the expiration or termination of the contract.

- The applicant will ensure the proper handling and protection of Personally Identifiable Information (PII). PII is defined as information that can be used to distinguish or trace an individual’s identity, either alone or when combined with other personal or identifying information that is linked or linkable to a specific individual.

Federal law, Office of Management and Budget (OMB) Guidance, DOL and ETA policies require that PII and other sensitive information be protected. To ensure compliance with Federal law and regulations, local Administration and Contractors must secure transmission of PII and sensitive data developed, obtained, or otherwise associated with grants/contracts funded by ETA directly or through the state.

Failure to comply with the requirements, or any improper use or disclosure of PII for an unauthorized purpose, may result in the termination or suspension of the grant/ contract, or the imposition of special conditions or restrictions, or such other actions as the applicable grant/contract administrator may deem necessary to protect the privacy of participants or the integrity of data. *Employment and Training Guidance Letter No. 39-11*

## **7. Pennsylvania Right-to-Know-Law**

- The Grantee and any of its lower tiered grantees understands that this grant agreement and records related to or arising out of the grant agreement are subject to requests made pursuant to the Pennsylvania Right-to-Know Law, 65P.S. §§ 67.101-3104, (“RTKL”). For the purpose of these provisions, the term “the Commonwealth” shall refer to the granting Commonwealth agency.
- If the Commonwealth needs the grantee’s assistance in any matter arising out of the RTKL related to this grant agreement, it shall notify the grantee using the legal contact information provided in the grant agreement. The grantee, at any time, may designate a different contact for such purpose upon reasonable prior written notice to the Commonwealth.

- Upon written notification from the Commonwealth that it requires a grantee's assistance in responding to a request under the RTKL for information related to this grant agreement that may in the grantee's possession, constituting, or alleged to constitute, a public record in accordance with the RTKL ("Requested Information"), grantee shall:
  - Provide the Commonwealth, within ten (10) calendar days after receipt of written notification access to and copies of any document or information in grantee's or any of its lower tiered grantee's possession arising out of this grant agreement that the Commonwealth reasonably believes is requested information and may be a public record under the RTKL; and
  - Provide such other assistance as the Commonwealth may reasonably request, in order to comply with the RTKL with respect to this grant agreement.
- If grantee or any of its lower tiered grantees consider the requested information to include a request for a trade secret or confidential proprietary information, as those terms are defined by the RTKL, or other information that the grantee considers exempt from production under the RTKL, grantee must notify the Commonwealth and provide within seven (7) calendar days of receiving the written notification a written statement signed by a representative of grantee or lower tiered grantee explaining why the requested material is exempt from public disclosure under the RTKL.
- The Commonwealth will rely upon the written statement from grantee or its lower tiered grantee in denying a RTKL request for the requested information unless the Commonwealth determines that the requested information is clearly not protected from disclosure under the RTKL. Should the Commonwealth determine that the requested information is clearly not exempt from disclosure, grantee or its lower tiered grantee shall provide the requested information within five (5) business days of receipt of written notification of the Commonwealth's determination.
- If grantee or its lower tiered grantee fails to provide the requested information within the time period required by these provisions, grantee or its lower tiered grantee shall indemnify and hold the Commonwealth harmless for any damages, penalties, costs, detriment or harm that the Commonwealth may incur as a result of grantee's or its lower tiered grantee's failure including any statutory damages assessed against the Commonwealth.
- The Commonwealth will reimburse the grantee or its lower tiered grantees for any costs associated with complying with these provisions only to the extent allowed under the fee schedule established by the Office of Open Records or as otherwise provided by the RTKL if the fee schedule is inapplicable.

- Grantee or its lower tiered grantee's may file a legal challenge to any Commonwealth decision to release a record to the public with the Office of Open Records or in the Pennsylvania courts. However, grantee or its lower tiered grantees shall indemnify the Commonwealth for any legal expenses incurred by the Commonwealth as a result of such a challenge and shall hold the Commonwealth harmless for any damages, penalties, costs, detriment or harm that the Commonwealth may incur as a result of grantee's or its lower tiered grantee's failure, including any statutory damages assessed against the commonwealth, regardless of the outcome of such legal challenge. As between the parties, grantee or its lower tiered grantee agrees to waive all rights or remedies that may be available to waive all rights or remedies that may be available to it as a result of the Commonwealth's disclosure of requested information pursuant to the RTKL.
- The grantee's or its lower tiered grantee's duties relating to the RTKL are continuing duties that survive the expiration of the grant agreement and shall continue as long as the grantee or its lower tiered grantee has the requested information in its possession.

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Typed Name and Title

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Signature

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Date

## INSTRUCTION FOR CERTIFICATION-LOWER TIER TRANSACTIONS

1. By signing this certification and submitting it with this proposal, the prospective recipient of State and /or Federal assistance funds is providing the certification as set out below.
2. The certification in this clause is a material representative of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective recipient of State and/or Federal assistance funds knowingly rendered an erroneous certification, in addition to other remedies available to the State and/or Federal Government, the Department may pursue available remedies, including suspension and/or debarment.
3. The prospective recipient of State and/or Federal assistance funds shall provide immediate written notice to the person to whom this proposal is submitted if at any time the prospective recipient of State and/or Federal assistance funds 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,” and used in this clause, have the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to whom this proposal is submitted for assistance in obtaining a copy of those regulations.
5. The prospective recipient of State and/or Federal assistance funds further agrees by submitting this proposal 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 debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the Department.
6. The prospective recipient of State and/or Federal assistance funds further agrees by submitting this proposal that it will include the clause title “Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion – Lower Tier Covered Transactions,” without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
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 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. For contracts involving Federal funds, each participant may, but is not required to check the List of Parties Excluded from Procurement or 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 suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the State and/or Federal Government, the Department may pursue available remedies, including suspension and/or debarment.

**CERTIFICATION REGARDING DEBARMENT, SUSPENSION, INELIGIBILITY  
AND VOLUNTARY EXCLUSION**

**LOWER TIER COVERED TRANSACTION FOR PY' \_\_\_\_\_**

Contractor: \_\_\_\_\_

This certification is required by the regulations implementing Executive Order 12549, Debarment and Suspension, 29 CFR Part 98, Section 98.510, Participant's Responsibilities. The regulations were published as Part VII of the May 26, 1988 Federal Register (Pages 19160-19211).

**BEFORE COMPLETING CERTIFICATION,  
READ INSTRUCTIONS**

1. The prospective recipient of federal assistance funds certifies, by submission of this proposal, that neither it nor its principals are 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 recipient of Federal assistance funds is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

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Name of Contractor Representative

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Signature and Date

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Name and Title of Authorized Representative

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Signature and Date