

ATTACHMENT C – Compliance, Litigation, and Fiscal Questionnaire

Agency Name:	
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Check YES, NO, or Not Applicable (N/A) in response to the following questions. If a YES answer is checked, please fully explain the circumstances and include whether it will have a potential impact on each project.	YES	NO	N/A
1. Is the organization currently, or within the past three (3) years, involved in litigation, arbitration, or mediation?	☐	☐	☐
2. Is the 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?	☐	☐	☐
3. Are any key staff members unable to be bonded?	☐	☐	☐
4. Has your agency been placed on, maintained on, or removed from probation, suspension, debarment, or another status of non-compliance by a contracting entity in the past three (3) years?	☐	☐	☐
5. Has there been any negative finding or determination by an auditor or contracting party regarding fiscal management or controls or contract compliance?	☐	☐	☐
6. Has the agency failed or refused to complete a contract or ever had its non-profit status suspended or revoked?	☐	☐	☐
7. Do you have any financial or potential financial commitments that may impact assets, lines of credit, or otherwise affect your agency's ability to act as a fiscal sponsor for the Commission-funded program? If yes, please explain.	☐	☐	☐
8. Has there been any litigation in connection with contracts for services involving your agency or any principal officer of the agency? If yes, briefly explain and elaborate on any outcomes where a claim or settlement was paid by your organization.	☐	☐	☐
9. Has your agency been under investigation or been cited for being out of compliance with any federal and state regulations? If yes, please explain.	☐	☐	☐

Explanation: For any questions marked YES, please fully explain the circumstances and include whether it will have a potential impact on the First 5 project. Use additional pages if necessary.

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

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

Signature		Date	
<i>must be signed by an Authorized Signatory</i>			
Printed Name:		Title	