

Attachment 1
SRF Required Front-End Specifications
(This form must be completed and signed by Prime Contractor and submitted with the bid.)

U.S. Environmental Protection Agency
Certification of Non-Segregated Facilities

(Applicable to contracts, subcontracts, and agreements with applicants who are themselves performing Federally assisted construction contracts, exceeding \$10,000 which are not exempt from the provisions of the Equal Opportunity clause.)

By the submission of this bid, the bidder, offeror, applicant, or subcontractor certifies that he does not maintain or provide for his employees any segregated facilities at any of his establishments, and that he does not permit his employees to perform their services at any location, under his control, where segregated facilities are maintained. He certifies further that he will not maintain or provide for his employees any segregated facilities at any of his establishments, and that he will not permit his employees to perform their services at any location, under his control, where segregated facilities are maintained. The bidder, offeror, applicant, or subcontractor agrees that a breach of this certification is a violation of the Equal Opportunity clause in this contract. As used in this certification, the term "segregated facilities" means any waiting rooms, work areas, restrooms and washrooms, restaurants and other eating areas, time clocks, locker rooms and other storage or dressing areas, parking lots, drinking fountains, recreation or entertainment areas, transportation, and housing facilities provided for employees which are segregated by explicit directive or are in fact segregated on the basis of race, creed, color, or national origin, because of habit, local custom, or otherwise. He further agrees that (except where he has obtained identical certifications from proposed subcontractors for specific time periods) he will obtain identical certifications from proposed subcontractors prior to the award of subcontracts exceeding \$10,000 which are not exempt from the provisions of the Equal Opportunity clause; that he will retain such certifications in his files; and that he will forward the following notice to such proposed subcontractors (except where the proposed subcontractors have submitted identical certifications for specific time periods):

NOTICE TO PROSPECTIVE SUBCONTRACTORS OF REQUIREMENT FOR CERTIFICATIONS OF NON-SEGREGATED FACILITIES

A Certification of Non-segregated Facilities, as required by the May 9, 1967, order (33 F.R. 7808, May 28, 1968) on Elimination of Segregated Facilities, by the Secretary of Labor, must be submitted prior to the award of a subcontract exceeding \$10,000 which is not exempt from the provisions of the Equal Opportunity clause. The certification may be submitted either for each subcontract or for all subcontracts during a period (i.e., quarterly, semiannually, or annually).

Signature

Date

Name and Title of Signer (Please Type)

NOTE: The penalty for making false statements in offers is prescribed in 18 U.S.C. 1001.

EPA-7 5720-4.2

Attachment 2
SRF Required Front-End Specifications

(This form must be completed and signed by the Prime Contractor and submitted with the bid.)

Debarments and Suspensions

Any bidder or equipment supplier whose firm or affiliate is listed in on the U.S. General Services Administration Excluded Parties List System web site at <http://www.epls.gov/> will be prohibited from the bidding process. Anyone submitting a bid who is listed on this web site will be determined to be a non-responsive bidder in accordance with 40 CFR Part 31.

United States Environmental Protection Agency Washington, DC 20460

Certification Regarding Debarment, Suspension, and Other Responsibility Matters

The prospective participant certifies to the best of its knowledge and belief that it and the principals:

- (a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;
- (b) Have not within a three 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 for otherwise criminally or civilly charged by a government entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (1) (b) of this certification; and
- (d) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State, or local) terminated or cause or default.

I understand that a false statement on this certification may be ground for rejection of this proposal or termination of the award. In addition, under 18 U SC Sec. 10 01, a false statement may result in a fine of up to \$10,000 or imprisonment for up to 5 years, or both.

Typed Name & Title of Authorized Representative

Signature of Authorized Representative

Date

I am unable to certify to the above statements. My explanation is attached.

EPA Form 5700-49 (11-88)

Attachment 3
SRF Required Front-End Specifications
(This form must be completed and signed by Prime Contractor and submitted with the bid.)

Disadvantaged Business Enterprise (DBE) Solicitation

It is EPA's policy that recipients of EPA financial assistance through the State Revolving Fund programs award a "fair share" of subagreements to small, minority and women-owned businesses, collectively know as Disadvantaged Business Enterprises (DBEs). Iowa's Fair Share goals are:

| | Minority-Owned Business Enterprise (MBE) Goal | Women-Owned Business Enterprise (WBE) Goal |
|-----------------|---|--|
| Construction | 1.7% | 2.2% |
| Supplies | 0.6% | 5.6% |
| Services | 2.5% | 11.3% |
| Goods/Equipment | 2.5% | 10.4% |
| Average | 1.8% | 7.4% |

Only work performed by certified DBEs can be counted toward the goals. In Iowa, DBEs must be certified through the Iowa Department of Transportation (IDOT). Information on certification requirements and a list of certified DBEs is on the IDOT website at http://www.iowadot.gov/contracts/contracts_eoaa.htm.

Prime contractors' DBE requirements for SRF projects include:

- Taking affirmative steps for DBE participation
- Documenting the efforts and the proposed utilization of certified DBEs

PROJECT INFORMATION

| | |
|--------------------------------------|--|
| SRF Applicant: | |
| Bidder: | |
| Address: | |
| Contact Person: | |
| Signature: | |
| Phone Number: | |
| E-Mail Address: | |
| Check if Prime Contractor is: | <input type="checkbox"/> Minority-Owned <input type="checkbox"/> Women-Owned |

GOOD FAITH EFFORTS CHECKLIST

Please complete the checklist to determine if you have complied with the requirement to make good faith efforts to ensure that certified DBEs have the opportunity to compete for procurements funded by EPA financial assistance funds. Bidders/offerers must make good faith efforts prior to submission of bids/proposals.

1. Did you ensure that DBEs are made aware of contracting opportunities to the fullest extent practicable through outreach and recruitment activities? Yes No

2. Did you make information on forthcoming opportunities available to DBEs and arrange time frames for contracts and establish delivery schedules, where the requirements permit, in a way that encourages and facilitates participation by DBEs in the competitive process? This includes, whenever possible, posting solicitation for bids or proposals for a minimum of 30 calendar days before the bid or proposal closing date. Yes No

3. Did you consider in the contracting process whether firms competing for large contracts could subcontract with DBEs? This will include dividing total requirements, when economically feasible, into smaller tasks or quantities to permit maximum participation by DBEs in the competitive process. Yes No

4. Did you encourage contracting with a consortium of DBEs when a contract is too large for one of these firms to handle individually? Yes No

5. Did you use the services of the Small Business Administration and the Minority Business Development Agency of the Department of Commerce to identify potential subcontractors? Yes No

6. List the potential DBE subcontractors that were contacted. Only list those that are certified through the Iowa Department of Transportation.

| Name | How Contacted (e.g. letter, phone call, fax, e-mail) | Response (e.g. did not respond, not interested, not competitive) |
|------|--|--|
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PROPOSED UTILIZATION OF DBE SUBCONTRACTORS

Please include Attachments 4 and 5 to document the proposed utilization of certified DBE subcontractors.

CONTRACT ADMINISTRATION PROVISIONS

Several contract provisions are required to prevent unfair practices that adversely affect DBEs. These include:

1. Prime Contractor must pay its Subcontractor for satisfactory performance no more than 30 days from the Prime Contractor's receipt of payment from the SRF loan recipient.
2. Prime Contractor must notify the SRF loan recipient in writing prior to termination of a DBE subcontractor for convenience.
3. Prime Contractor must employ the six Good Faith Efforts to solicit a replacement subcontractor if a DBE subcontractor fails to complete work under a subcontract for any reason.

Attachment 4
SRF Required Front-End Specifications
(This form must be completed and signed by DBE Subcontractor and submitted with the bid.)

United States Environmental Protection Agency
Disadvantaged Business Enterprise Program
DBE Subcontractor Performance Form

| | | | |
|---|---|--|--|
| NAME OF SUBCONTRACTOR¹ | | PROJECT NAME | |
| ADDRESS | | BID/PROPOSAL NO. | |
| TELEPHONE NO. | | E-MAIL ADDRESS | |
| PRIME CONTRACTOR NAME | | | |
| CONTRACT ITEM NO. | ITEM OF WORK OR DESCRIPTION OF SERVICES BID TO PRIME | PRICE OF WORK SUBMITTED TO PRIME CONTRACTOR | |
| | | | |
| Currently certified as an MBE or WBE under EPA's DBE Program? <input type="checkbox"/> YES <input type="checkbox"/> NO | | | |
| _____ Signature of Prime Contractor | | _____ Date | |
| _____ Print Name | | _____ Title | |
| _____ Signature of Subcontractor | | _____ Date | |
| _____ Print Name | | _____ Title | |

¹Subcontractor is defined as a company, firm, joint venture, or individual who enters into an agreement with a contractor to provide services pursuant to an EPA award of financial assistance.

Attachment 5
SRF Required Front-End Specifications
(This form must be completed and signed by Prime Contractor and submitted with the bid.)

United States Environmental Protection Agency
Disadvantaged Business Enterprise Program
DBE Subcontractor Utilization Form

| | |
|--------------------------------------|-----------------------|
| BID/PROPOSAL NO. | PROJECT NAME |
| NAME OF PRIME BIDDER/PROPOSER | E-MAIL ADDRESS |
| ADDRESS | |
| TELEPHONE NO. | FAX NO. |

The following subcontractors¹ will be used on this project:

| COMPANY NAME, ADDRESS, PHONE NO. AND E-MAIL ADDRESS | TYPE OF WORK TO BE PERFORMED | ESTIMATED DOLLAR AMT. | CURRENTLY CERTIFIED AS AN MBE OR WBE? |
|--|---|----------------------------------|--|
| | | | |

I certify under penalty of perjury that the forgoing statements are true and correct. In the event of a replacement of a subcontractor, I will adhere to the replacement requirements set forth in 40 CFR Part 33 Section 33.302(c).

| | |
|---|---|
| <hr style="border: none; border-top: 1px solid black; margin-bottom: 5px;"/> Signature of Prime Contractor | <hr style="border: none; border-top: 1px solid black; margin-bottom: 5px;"/> Date |
| <hr style="border: none; border-top: 1px solid black; margin-bottom: 5px;"/> Print Name | <hr style="border: none; border-top: 1px solid black; margin-bottom: 5px;"/> Title |

¹Subcontractor is defined as a company, firm, joint venture, or individual who enters into an agreement with a contractor to provide services pursuant to an EPA award of financial assistance.