

## Lower Tier Participant Debarment Certification (Negotiated Contracts)

\_\_\_\_\_, being duly  
(insert name of certifying official)  
sworn or penalty of perjury under the laws of the United States, certifies  
that neither \_\_\_\_\_, nor  
(insert name of lower tier participant)

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.

Where the above identified lower tier participant is unable to certify to any of the above statements in this certification, such prospective participant shall indicate below to whom the exception applies, the initiating agency, and dates of action.

Exceptions will not necessarily result in denial of award, but will be considered in determining contractor responsibility. Providing false information may result in criminal prosecution or administrative sanctions.

### EXCEPTIONS:

\_\_\_\_\_  
Signature of Certifying Official

\_\_\_\_\_  
Title

\_\_\_\_\_  
Date of Certification

See Reverse for Information

## **Certification Information**

**This certification is to be used by contractors pursuant to 49 CFR 29 when any of the following occur:**

- **any transaction between the contractor and a person (other than a procurement contract for goods and services), regardless of type, under a primary covered transaction**
- **any procurement contract for goods or services when the estimated cost is \$25,000 or more**
- **any procurement contract for goods or services between the contractor and a person, regardless of the amount, under which the person will have a critical influence on or substantive control over that covered transaction. Such persons include principal investigators and providers of federally-required audit services.**

**A *procurement* transaction is the process of acquiring goods and services.**

**A *nonprocurement* transaction is the granting of financial assistance to entities to assist the grantor in meeting objectives that are mutually beneficial to the grantee and grantor.**

**A COPY OF THIS CERTIFICATION IS TO BE FURNISHED TO AUTHORIZED REPRESENTATIVES OF THE STATE OR THE U.S. DEPARTMENT OF TRANSPORTATION UPON REQUEST.**