



REQUEST FOR PROPOSAL

For: Grant Servicing for Small Business Assistance Program(s)

The Rhode Island Commerce Corporation (“Corporation”) seeks proposals from qualified firms to provide origination servicing in connection with a grant program or programs to assist small businesses impacted by the COVID health pandemic. This initiative is on an aggressive timeline and will include technology development and the operation and management of a web-based system for originating and managing grants to small businesses impacted by the COVID health pandemic. The system will include call center customer support services, language assistance, application assistance, application processing and review, grant distribution, and other services needed to assist small businesses that seek assistance through the program or programs.

This document constitutes a Request for Proposal (“RFP”), in a competitive format, from qualified firms. This request is an offer by the Corporation to underwrite, in accordance with the terms and conditions of this RFP, the services proposed by the successful firm(s), by contract.

The respondents (“Proposers”) to this RFP shall provide a proposal, in accordance with the terms and conditions set forth herein, to provide all or part of services to the Corporation on an “on-call” basis as described in the Scope of Work.

Project Overview

The Corporation seeks a service provider or providers to undertake all aspects pertaining to the origination and management of a small business grant program or programs on an “on-call” basis, which will include, but not be limited to, the development of a web-based system that can be used for a grant program(s) to assist small businesses impacted by the COVID health pandemic.

Scope of Work

Task 1.

Technology Platform Development, Operation, and Management.

The Corporation seeks proposals for developing a platform for a web-based grant servicing system for small businesses impacted by the COVID health pandemic. Such system would provide a public facing, application portal and a back-end management system with functionality that allows for, but is not limited to, the following:

- Significant automation of processes;

- Customization, including ability to produce documents with the Corporation's branding and wordmarks, programming to reflect regulatory changes, and custom report design;
- Ease of use/accessibility for applicants, including multiple language translations, including but not limited to Spanish and Portuguese;
- Management of the application and intake process, including review of applications for completeness and communicating with applicants in relation to missing or deficient information;
- Secure uploading of documents, specifically those which include personal information, income certification, employment data and other commercial or financial information that is **confidential, proprietary, or sensitive**;
- Management of application review and approval processes, based on criteria established by the Corporation;
- Notifying applicants of the acceptance or denial of an award;
- Fund disbursement to grant recipients;
- Access to the system by external partners with tiered levels of authority for viewing and editing;
- Automated generation of documentation for applicants;
- Electronic transmittal of correspondence and requests for documentation to applicants;
- Electronic signature and return of documents;
- Capability to cross-reference eligibility documentation with other state systems/programs, including prior grant programs;
- Preparation, distribution and filing of all applicable tax documents, including 1099s;
- Robust reporting and audit functionality, consistent with standard guidelines for applicable Federal and State programs, including daily updates on number of applications, status of applications, and issues requiring resolution; and
- Fraud prevention and detection services.

As this web-based system is in response to the immediate need for assistance to small businesses impacted by the COVID health pandemic, timing is a critical factor in evaluating responses to this RFP. To that end, detailed information about the timeframe to develop, integrate and implement a fully operational system should be included in the proposal. A process measured in weeks, rather than months, is required.

Product(s) or services proposed should meet or exceed industry standards for the safeguarding of consumer personal and financial information.

Proposals should also contain detail about technical support associated with the product and processes that will be available to both the Corporation and the customers using the application portal. Respondents should also outline the process and approximate timeline for modifications to the system should regulatory changes be necessary.

Task 2.

Application Processing, Review, and Approval

The Corporation seeks proposals from vendors to provide grant servicing in connection with a small business grant program or programs. Such grant servicing would include, but not be limited to the following:

- Providing for the acceptance of applications through an on-line portal, inclusive of sensitive business information;
- Managing the application and intake process, including review of applications for completeness and eligibility and communicating with applicants in relation to missing or deficient information;
- Review of documents, specifically those which include personal information, income certification, employment data and other commercial or financial information that is confidential, proprietary, or sensitive;
- Managing the application review and approval processes, based on criteria established by the Corporation;
- Notifying applicants of the acceptance or denial of an award;
- Communicating with applicants through multiple channels, including text message, is preferred
- Robust reporting and audit functionality, consistent with standard guidelines for applicable Federal and State programs, including daily updates on number of applications, status of applications, and issues requiring resolution; and
- Fraud prevention and detection services.

Task 3

The Corporation seeks proposals for providing the following customer support services:

Applicant Support Services:

In addition to the tasks described above, the scope of work shall include applicant support services for applicants to the grant program(s). The selected vendor for this Task will provide staff to respond to phone, email, or other inquiries. It is assumed that customer service representatives would be able to work at remote locations. The Vendor will hire representatives that, at minimum, speak English, Spanish, and shall have a plan for providing translation services for inquiries in other languages where staff are not available. The Vendor shall maintain a subcontract with language translation services to ensure adequate coverage and to provide for other languages not listed here.

The Vendor will hire and train staff to serve as Customer Service Representatives to: receive calls to the toll-free number; answer basic questions from callers; follow up on inquiries using outbound calls, texts, or email using Frequently Asked Questions, call scripts, and procedures to be developed by the vendor in consultation with the Corporation; assist applicants in completing the application and uploading documents; and refer applicants to partners. The vendor will be required to utilize the platform chosen by the Corporation for processing applications. The Corporation has a strong preference that the vendor hire Rhode Island residents to the extent possible.

The call center will operate and receive calls both during the application period as well as throughout the application review and appeals process. The call center may be required to be open 7 days per week depending on call volume with hours to be determined. The call center's primary objective will be to ensure a fully accessible opportunity for all potentially eligible applicants to seek assistance, including those with limited technology access, non-English speaking applicants, those with hearing, speech, and vision disabilities, and other vulnerable populations. The vendor shall provide for TTY or other technology to assist people who are hearing impaired.

The Corporation is not prescribing minimum staffing levels and it is not possible to estimate call volume at this time. Respondents will propose various staffing levels for the call center in their cost proposals and make recommendations as to appropriate levels of staffing based on the vendor's previous experience. After the initial staff up, the volume of calls and inquiries, as well as the flow of applications, is expected to vary greatly and is hard to predict. The vendor will assess staffing levels daily and will make recommendations to add or subtract staff as necessary based on the desired KPIs.

The Vendor will produce daily metrics reports that will, at minimum, include updates on all KPIs and other required fields including, but not limited to, the following:

- number of calls received in the call center;
- number of average hold/wait times broken down for English, Spanish, and other languages/ASAs/CAR;
- number of categories of calls received/disposition;
- breakdown of calls requiring translation;
- number of calls awaiting call-backs;
- other categories as requested by the Corporation;
- number of calls requiring referral to other agencies and/or resources.

The vendor shall develop a Customer Service Plan that includes, but is not limited to, the call center model, channels of support, service level agreements (SLA) and KPIs, roles and responsibilities, monitoring and reporting, and continuous improvement. The vendor shall define KPI targets as discussed with and approved by the Corporation, including but not limited to Average Speed of Answer (ASA) and Call Abandonment Rate (CAR).

Task 4

The Corporation also seeks proposals for disbursing funds to grant recipients and preparing, distributing and filing all applicable tax documents, including 1099.

Vendors may submit proposals for one or more tasks. Further, the Corporation may establish different or additional programs and anticipates retaining the selected vendor or vendors on an "on-call basis to provide grant servicing and customer support for such different or additional programs. Vendors who submit proposals for only a subset of tasks should additionally explain how their system and process integrates and is interoperable with other technology, finance, and data platforms and how Proposer's solution will seamlessly operate with any/all other Vendors ultimately selected by the Corporation.

Qualifications

Proposers should have demonstrated experience in providing similar grant and/or loan servicing and administration with a high volume of applications, inclusive of the technological capabilities to manage an online process. In addition, Proposers must have adequate experience and implemented policies relative to data security involving the collection and retention of sensitive business and/or personal information.

Project Timeline

Proposers for Task 1 shall set forth in detail the expected time-frame to develop and implement the online application platform and estimate the daily number of applications that could be processed. Proposers should demonstrate, as applicable, the experience they have managing grant programs and providing customer support for small businesses, any specific experience they have in connection with COVID related programs, and how quickly they can provide the applicable services.

Budget

Proposers to this RFP shall provide a proposed fee structure for providing services, which may include a flat fee, fee per transaction model, hourly fees and/or other fee structures deemed appropriate by a Proposer. If the Proposer contemplates any purchases or pass-through charges during the engagement, any mark-up rate above actual cost shall be identified as a separate line item in the budget. The Corporation reserves the right to adjust both the budget and related services.

Criteria for Selection

Responsive proposals for this RFP will be evaluated according to the Evaluation Criteria outlined below.

EVALUATION CRITERIA

	Points
OVERALL EXPERIENCE OF COMPANY & DEMONSTRATED RESULTS Our evaluation will include an assessment of the history of your company, your experience as it relates to the requirements within this RFP, evidence of past performance, quality and relevance of past work, references, and related items.	30
QUALIFICATIONS OF PERSONNEL Our evaluation will include an assessment of the qualifications and experience of your managerial team, staff, subcontractors, and related items.	20
STRATEGIC THINKING/PLANNING APPROACH Overall approach and strategy described/outlined in the proposal and firm capacity to perform the engagement within the specified timeframe (prior experience of the firm in meeting timelines will be factored in here)	30

BUDGET APPROACH/COST EFFECTIVENESS	20
Effective and efficient delivery of quality services is demonstrated in relation to the budget allocation. The allocation is reasonable and appropriate.	
Total	100
MBE/WBE/DisBE Participation (additional potential points)	6 pts

***NOTE:** Designated Corporation staff or selected advisors will evaluate the written proposals. The Corporation may at any time during the evaluation process seek clarification from Proposers regarding any information contained within their proposal. Final scores for each respondent will reflect a consensus of the evaluations. Any attempt by a Proposer to contact a member of Corporation staff or selected advisors outside the RFP process, in an attempt to gain knowledge or an advantage, may result in disqualification of Proposer.*

1. ISBE Participation Evaluation (see below for scoring)

- a. The Rhode Island Commerce Corporation encourages MBE/WBE/DisBE participation in this Request. In accordance with Title 37, Chapter 14.1, and Title 37, Chapter 2.2 of the Rhode Island General laws, the Corporation reserves the right to apply additional consideration to MBE/WBE/DisBE up to six (6) additional points in the scoring evaluation as provided below:
- b. Calculation of ISBE Participation Rate
 - i. ISBE Participation Rate for Non-ISBE Vendors. The ISBE participation rate for nonISBE vendors shall be expressed as a percentage and shall be calculated by dividing the amount of non-ISBE vendor's total contract price that will be subcontracted to ISBEs by the non-ISBE vendor's total contract price. For example, if the non-ISBE's total contract price is \$100,000.00 and it subcontracts a total of \$12,000.00 to ISBEs, the non-ISBE's ISBE participation rate would be 12%.
 - ii. ISBE Participation Rate for ISBE Vendors. The ISBE participation rate for ISBE vendors shall be expressed as a percentage and shall be calculated by dividing the amount of the ISBE vendor's total contract price that will be subcontracted to ISBEs and the amount that will be self-performed by the ISBE vendor by the ISBE vendor's total contract price. For example, if the ISBE vendor's total contract price is \$100,000.00 and it subcontracts a total of \$12,000.00 to ISBEs and will perform a total of \$8,000.00 of the work itself, the ISBE vendor's ISBE participation rate would be 20%.
- c. Points for ISBE Participation Rate:
 - i. The vendor with the highest ISBE participation rate shall receive the maximum ISBE participation points. All other vendors shall receive ISBE participation points by applying the following formula:

(Vendor's ISBE participation rate ÷ Highest ISBE participation rate X Maximum ISBE participation points)

For example, assuming the weight given by the RFP to ISBE participation is 6 points, if Vendor A has the highest ISBE participation rate at 20% and Vendor B's ISBE participation rate is 12%, Vendor A will receive the maximum 6 points and Vendor B will receive (12% ÷ 20%) x 6 which equals 3.6 points.

See Appendix A for information and the MBE, WBE, and/or Disability Business Enterprise Participation Plan form(s). Bidders are required to complete, sign and submit these forms with their overall proposal in a sealed envelope. Please complete separate forms for each MBE, WBE and/or Disability Business Enterprise subcontractor/supplier to be utilized on the solicitation

Instructions and Notifications to Proposers

1. Potential Proposers are advised to review all sections of this RFP carefully and to follow instructions completely, as failure to make a complete submission as described elsewhere herein may result in rejection of the proposal.
2. Alternative approaches and/or methodologies to accomplish the desired or intended results of this procurement are solicited. However, proposals that depart from or materially alter the terms, requirements, or scope of work defined by this RFP will be rejected as being non-responsive.
3. All costs associated with developing or submitting a proposal in response to this RFP, or to provide oral or written clarification of its content, shall be borne by the proposer. The Corporation assumes no responsibility for such costs.
4. Proposals are considered to be irrevocable for a period of not less than 120 days following the date set for submission of proposals.
5. All pricing submitted will be considered to be firm and fixed unless otherwise indicated herein.
6. Proposals misdirected to other locations, or that are otherwise not present at the Rhode Island Commerce Corporation by the submission deadline for any cause will be determined to be late and will not be considered. For the purposes of this requirement, the official time and date shall be that of the time clock in the reception area of the Rhode Island Commerce Corporation.
7. All proposals should identify the proposed team of professionals, including those employed by subcontractors, if any, along with respective areas of expertise and relevant credentials. Proposer should also provide a delineation of the portion of the scope of work for which each of these professionals will be responsible.
8. All proposals should include the proposer's FEIN or Social Security number as evidenced by a W9, downloadable from <https://www.irs.gov/pub/irs-pdf/fw9.pdf>
9. All proposals should include a completed RFP Response Certification Cover Form, included in this document.
10. The purchase of services under an award made pursuant to this RFP will be contingent on the availability of funds and made at the discretion of the Corporation.
11. Awarding this RFP is based on the Evaluation Criteria set forth in this RFP. Vendors are advised, however, that all materials and ideas submitted as part of this proposal and during the

performance of any award shall be the property of and owned by the Corporation, which may use any such materials and ideas.

12. Interested parties are instructed to peruse the Corporation's website (www.commerceri.com) on a regular basis, as additional information relating to this solicitation may be released in the form of an addendum to this RFP. Addenda will also be posted to the Rhode Island State Division of Purchases' website at www.purchasing.ri.gov.

13. Equal Employment Opportunity (R.I. Gen. Laws § 28-5.1-1, et seq.) – § 28- 5.1-1 Declaration of policy – (a) Equal opportunity and affirmative action toward its achievement is the policy of all units of Rhode Island state government, including all public and quasi-public agencies, commissions, boards and authorities, and in the classified, unclassified, and non-classified services of state employment. This policy applies to all areas where State dollars are spent, in employment, public services, grants and financial assistance, and in state licensing and regulation.

14. In accordance with Title 7, Chapter 1.2 of the General Laws of Rhode Island, no corporation organized under the laws of another state or country shall have the right to transact business in Rhode Island until it shall have procured a Certificate of Authority to do so from the Rhode Island Secretary of State (401-222-3040). This is a requirement only of the successful bidder.

15. The proposer should be aware of the State's Minority Business Enterprise (MBE) requirements, which address the State's goal of ten percent (10%) participation by MBE's in all procurements. For further information, visit the website www.mbe.ri.gov.

16. The Corporation reserves the right to award to one or more Proposers.

Proposal Requirements

In order to be considered responsive, proposals must at a minimum contain the following:

Technical Proposal Elements

1. Description of the proposed approach and work plan. Activities and timelines should be specific, measurable, achievable, realistic, and time-oriented. Include a timeline of major tasks and milestones.
2. Person who will be the primary point of contact with the Rhode Island Commerce Corporation.
3. Qualifications of the Proposer to provide the requested services including capability, capacity, similarly complex projects and related experience and client references. Certification of availability of individuals in proposal.
4. A listing of the staff to be assigned to this engagement and their respective qualifications, past experience on engagements of this scope including resumes, and their role in those past engagements.

5. A description of the outcome monitoring and evaluation plan including a list of tools to track process, output and outcome measures for each component of the application, as applicable.

Proposal Submission

Responses to this RFP are due no later than March 24 at **4:00pm**. One (1) electronic (PDF) version must be emailed by that time to Daniela.Fairchild@commerceri.com and three printed copies of the complete proposal must be received at the address below by the same time:

Rhode Island Commerce Corporation
Attention: Grant Servicing RFP for Small Business Grant Program
315 Iron Horse Way, Suite 101
Providence, RI 02908

Questions, interpretations, or clarifications concerning this RFP should be directed by e-mail to Daniela.Fairchild@commerceri.com no later than 2:00 pm on March 22, 2021. Responses to questions, interpretations, or clarifications concerning this RFP will be posted online via addendum at www.commerceri.com and www.ridop.ri.gov on March 23, 2021 to ensure equal awareness of important facts and details.

The Rhode Island Commerce Corporation reserves the right to terminate this solicitation prior to entering into any agreement with any qualified firm pursuant to this Request for Proposal, and by responding hereto, no firms are vested with any rights in any way whatsoever.

Rhode Island Commerce Corporation reserves the right to reject any or all proposals for not complying with the terms of this RFP.

APPENDIX A

PROPOSER ISBE RESPONSIBILITIES AND MBE, WBE, AND/OR DISABILITY BUSINESS ENTERPRISE PARTICIPATION FORM

A. Proposer's ISBE Responsibilities (from 150-RICR-90-10-1.7.E)

1. Proposal of ISBE Participation Rate. Unless otherwise indicated in the RFP, a Proposer must submit its proposed ISBE Participation Rate in a sealed envelope or via sealed electronic submission at the time it submits its proposed total contract price. The Proposer shall be responsible for completing and submitting all standard forms adopted pursuant to 105-RICR-90-10-1.9 and submitting all substantiating documentation as reasonably requested by either the Using Agency's MBE/WBE Coordinator, Division, ODEO, or Governor's Commission on Disabilities including but not limited to the names and contact information of all proposed subcontractors and the dollar amounts that correspond with each proposed subcontract.
2. Failure to Submit ISBE Participation Rate. Any Proposer that fails to submit a proposed ISBE Participation Rate or any requested substantiating documentation in a timely manner shall receive zero (0) ISBE participation points.
3. Execution of Proposed ISBE Participation Rate. Proposers shall be evaluated and scored based on the amounts and rates submitted in their proposals. If awarded the contract, Proposers shall be required to achieve their proposed ISBE Participation Rates. During the life of the contract, the Proposer shall be responsible for submitting all substantiating documentation as reasonably requested by the Using Agency's MBE/WBE Coordinator, Division, ODEO, or Governor's Commission on Disabilities including but not limited to copies of purchase orders, subcontracts, and cancelled checks.
4. Change Orders. If during the life of the contract, a change order is issued by the Division, the Proposer shall notify the ODEO of the change as soon as reasonably possible. Proposers are required to achieve their proposed ISBE Participation Rates on any change order amounts.
5. Notice of Change to Proposed ISBE Participation Rate. If during the life of the contract, the Proposer becomes aware that it will be unable to achieve its proposed ISBE Participation Rate, it must notify the Division and ODEO as soon as reasonably possible. The Division, in consultation with ODEO and Governor's Commission on Disabilities, and the Proposer may agree to a modified ISBE Participation Rate provided that the change in circumstances was beyond the control of the Proposer or the direct result of an unanticipated reduction in the overall total project cost.

B. MBE, WBE, AND/OR Disability Business Enterprise Participation Plan Form:

Attached is the MBE, WBE, and/or Disability Business Enterprise Participation Plan form. Bidders are required to complete, sign and submit with their overall proposal in a sealed envelope. Please complete separate forms for each MBE, WBE and/or Disability Business Enterprise subcontractor/supplier to be utilized on the solicitation.

MBE, WBE, and/or DISABILITY BUSINESS ENTERPRISE PARTICIPATION PLAN

Bidder's Name:

Bidder's Address:

Point of Contact:

Telephone:

Email:

Solicitation No.:

Project Name:

This form is intended to capture commitments between the prime contractor/vendor and MBE/WBE and/or Disability Business Enterprise subcontractors and suppliers, including a description of the work to be performed and the percentage of the work as submitted to the prime contractor/vendor. Please note that all MBE/WBE subcontractors/suppliers must be certified by the Office of Diversity, Equity and Opportunity MBE Compliance Office and all Disability Business Enterprises must be certified by the Governor's Commission on Disabilities at time of bid, and that MBE/WBE and Disability Business Enterprise subcontractors must self-perform 100% of the work or subcontract to another RI certified MBE in order to receive participation credit. Vendors may count 60% of expenditures for materials and supplies obtained from an MBE certified as a regular dealer/supplier, and 100% of such expenditures obtained from an MBE certified as a manufacturer. This form must be completed in its entirety and submitted at time of bid. **Please complete separate forms for each MBE/WBE or Disability Business Enterprise subcontractor/supplier to be utilized on the solicitation.**

Name of Subcontractor/Supplier:					
Type of RI Certification:	<input type="checkbox"/> MBE <input type="checkbox"/> WBE <input type="checkbox"/> Disability Business Enterprise				
Address:					
Point of Contact:					
Telephone:					
Email:					
Detailed Description of Work To Be Performed by Subcontractor or Materials to be Supplied by Supplier:					
Total Contract Value (\$):		Subcontract Value (\$):		ISBE Participation Rate (%):	
Anticipated Date of Performance:					

I certify under penalty of perjury that the forgoing statements are true and correct.

Prime Contractor/Vendor Signature		Title	Date
Subcontractor/Supplier Signature		Title	Date

RFP/RFQ RESPONSE CERTIFICATION COVER FORM

Instruction: To fulfill your RFP/RFQ response, this form must be completed, printed, signed and included with your submission.

SECTION 1 - RESPONDENT INFORMATION

RFP/RFQ Number:

RFP/RFQ Title:

RFP/RFQ Respondent Name:

Address:

Telephone:

Fax:

Contact Name: Contact Title:

Contact Email:

SECTION 2 —DISCLOSURES

RFP/RFQ Respondents must respond to every statement. RFP/RFQ Responses submitted without a complete response may be deemed nonresponsive.

Indicate "Y" (Yes) or "N" (No) for Disclosures 1-4, and if "Yes," provide details below

____ 1. State whether the Respondent, or any officer, director, manager, stockholder, member, partner, or other owner or principal of the Respondent or any parent, subsidiary, or affiliate has been subject to suspension or debarment by any federal, state, or municipal governmental authority, or the subject of criminal prosecution, or convicted of a criminal offense within the previous 5 years. If "Yes," provide details below.

____ 2. State whether the Respondent, or any officer, director, manager, stockholder, member, partner, or other owner or principal of the Respondent or any parent, subsidiary, or affiliate has had any contracts with a federal, state, or municipal governmental authority terminated for any reason within the previous 5 years. If "Yes," provide details below.

____ 3. State whether the Respondent, or any officer, director, manager, stockholder, member, partner, or other owner or principal of the Respondent or any parent, subsidiary, or affiliate has been fined more than \$5000 for violation(s) of any Rhode Island environmental law(s) by the Rhode Island Department of Environmental Management within the previous 5 years. If "Yes," provide details below.

____ 4. State whether any officer, director, manager, stockholder, member, partner, or other owner or principal of the Respondent is serving or has served within the past two calendar years as either an appointed or elected official of any state governmental authority or quasi-public corporation, including without limitation, any entity created as a legislative body or public or state agency by the general assembly or constitution of this state.

Disclosure details (continue on additional sheets if necessary):

SECTION 3 —OWNERSHIP DISCLOSURE

Respondents must provide all relevant information. Respondent proposals submitted without a complete response may be deemed nonresponsive.

If the Respondent is publicly held, the Respondent may provide owner information about only those stockholders, members, partners, or other owners that hold at least 10% of the record or beneficial equity interests of the Respondent; otherwise, complete ownership disclosure is required.

List each officer, director, manager, stockholder, member, partner, or other owner or principle of the Respondent, and each intermediate parent company and the ultimate parent company of the Respondent. For each individual, provide his or her name, business address, principal occupation, position with the Respondent, and the percentage of ownership, if any, he or she holds in the Respondent, and each intermediate parent company and the ultimate parent company of the Respondent.

SECTION 4 —CERTIFICATIONS

Respondents must respond to every statement. Responses submitted without a complete response may be deemed nonresponsive.

Indicate "Y" (Yes) or "N" (No), and if "No," provide details below.

THE RESPONDENT CERTIFIES THAT:

___ 1. The Respondent will immediately disclose, in writing, to the Rhode Island Commerce Corporation any potential conflict of interest which may occur during the term of any contract awarded pursuant to this solicitation.

___ 2. The Respondent possesses all licenses and anyone who will perform any work will possess all licenses required by applicable federal, state, and local law necessary to perform the requirements of any contract awarded pursuant to this solicitation and will maintain all required licenses during the term of any contract awarded pursuant to this solicitation. In the event that any required license shall lapse or be restricted or suspended, the Respondent shall immediately notify the Rhode Island Commerce Corporation in writing.

___ 3. The Respondent will maintain all required insurance during the term of any contract pursuant to this solicitation. In the event that any required insurance shall lapse or be canceled, the Respondent will immediately notify the Rhode Island Commerce Corporation in writing.

___ 4. The Respondent understands that falsification of any information in its RFP/RFQ response or failure to notify the Rhode Island Commerce Corporation of any changes in any disclosures or certifications in this Respondent Certification may be grounds for suspension, debarment, and/or prosecution for fraud.

___ 5. The Respondent has not paid and will not pay any bonus, commission, fee, gratuity, or other remuneration to any employee or official of the Rhode Island Commerce Corporation or the State of Rhode Island or any subdivision of the State of Rhode Island or other governmental authority for the purpose of obtaining an award of a contract pursuant to this solicitation. The Respondent further certifies that no bonus, commission, fee, gratuity, or other remuneration has been or will be received from any third party or paid to any third party contingent on the award of a contract pursuant to this solicitation.

___ 6. This RFP/RFQ response is not a collusive RFP/RFQ response. Neither the Respondent, nor any of its owners, stockholders, members, partners, principals, directors, managers, officers, employees, or agents has in any way colluded, conspired, or agreed, directly or indirectly, with any other Respondent or person to submit a collusive response to the solicitation or to refrain from submitting response to the solicitation, or has in any manner, directly or indirectly, sought by agreement or collusion or other communication with any other Respondent or person to fix the price or prices in the response or the response of any other Respondent, or to fix any overhead, profit, or cost component of the price in the response or the response of any other Respondent, or to secure through any collusion, conspiracy, or unlawful agreement any advantage against the Rhode Island Commerce Corporation or the State of Rhode Island or any person with an interest in the contract awarded pursuant to this solicitation. The price in the response is fair and proper and is not tainted by any collusion, conspiracy, or unlawful agreement on the part of the Respondent, its owners, stockholders, members, partners, principals, directors, managers, officers, employees, or agents.

___ 7. The Respondent: (i) is not identified on the General Treasurer's list created pursuant to R.I. Gen. Laws § 37-2.5-3 as a person or entity engaging in investment activities in Iran described in § 37-2.5-2(b); and (ii) is not engaging in any such investment activities in Iran.

___ 8. The Respondent will comply with all of the laws that are incorporated into and/or applicable to any contract with the Rhode Island Commerce Corporation.

Certification details (continue on additional sheet if necessary):

Submission by the Respondent of a response pursuant to this solicitation constitutes an offer to contract with the Rhode Island Commerce Corporation on the terms and conditions contained in this solicitation and the response. The Respondent certifies that: (1) the Respondent has reviewed this solicitation and agrees to comply with its terms and conditions; (2) the response is based on this solicitation; and (3) the information submitted in the response (including this Respondent Certification Cover Form) is accurate and complete. The Respondent acknowledges that the terms and conditions of this solicitation and the response will be incorporated into any contract awarded to the Respondent pursuant to this solicitation and the response. The person signing below represents, under penalty of perjury, that he or she is fully informed regarding the preparation and contents of this response and has been duly authorized to execute and submit this response on behalf of the Respondent.

RESPONDENT

Date: _____

Name of Respondent

Signature in ink

Printed name and title of person signing on behalf of Respondent