



REQUEST FOR PROPOSAL

For: RI Rebounds-Ventilation Support Program

The Rhode Island Commerce Corporation (“Corporation”) seeks proposals from eligible proposers, as identified herein (“Proposers”), to receive funding under the Ventilation Support Program (“Ventilation Initiative”), a statewide effort designed to assist small businesses who have been impacted by the COVID-19 pandemic to enhance their ventilation systems, thereby reducing the risk of transmitting COVID-19.

Studies have proven that indoor gatherings cause a higher risk of the COVID-19 virus spreading than outdoor gatherings. Good air circulation inside buildings (ventilation) will reduce the spread of COVID-19 in aerosols. The introduction of outdoor air indoors, ensuring current ventilation systems are working properly, and increasing indoor air quality with the addition of HEPA/MERV filters and portable HEPA air cleaners can help with good air circulation. More information may be found at <https://covid.ri.gov/protect-your-household/indoor-air-circulation>.

This document constitutes a Request for Proposals (“RFP”), in a competitive format, to Proposers. Proposers to this RFP shall provide a proposal, in accordance with the terms and conditions set forth herein, to provide all or part of recovery support activities described herein. The Corporation seeks vendors who will be able to perform all or part of the support activities described in the Scope of Work section of this RFP.

Proposers are encouraged to provide a response to this RFP, providing the Corporation with proposals on how they will directly fund Eligible Expenses (defined below) associated with improving indoor air quality for small businesses in response to COVID-19.

Eligible Proposers:

Eligible Proposers include (1) nonprofit organizations, chambers of commerce, municipalities, merchant associations, arts/cultural organizations, tourism regions (“Entities”); and (2) businesses that are registered with the Rhode Island Secretary of State that conduct operations within the State of Rhode Island and are proposing to serve as intermediaries to businesses or other entities.

Project Background and Overview:

The COVID-19 pandemic has had an adverse impact on the State’s economy and the State’s small businesses. The Ventilation Initiative is being funded, in whole or in part, by federal award number SLFRP0136 in connection with the American Rescue Plan Act State Fiscal Recovery Funds awarded to the State of Rhode Island by the U.S Department of the Treasury.

The Ventilation Initiative will provide approximately \$2.5 million in total grants designed to enable selected Proposers to reimburse eligible small businesses for Eligible Expenses they have incurred to improve indoor air quality.

Eligible Expenses:

Below is a list of eligible expenses (“Eligible Expenses”) that can be approved for reimbursement under the Ventilation Initiative.

- Installing a higher-grade filter within an existing air handling unit
- Central HVAC installation, repair, or balancing
- HVAC UVGI system installation ([details from EPA](#))
- Adding a portable fan filter unit (PFFU) ([example](#))
- Adding an indoor air purifier ([example](#))
- Adding a window or windows to a small business
- Adding a ceiling fan, exhaust fan, or box fan to help distribute air
- Receipt of an indoor airflow and quality assessment

Eligible Small Businesses and Assistance Amounts:

For a small business to be eligible to receive support or funding through a selected Proposer under this Ventilation Initiative, it must (i) have less than \$1 million in annual gross revenues, (ii) not be disbarred in the federal System of Account Management (SAM) (iii) demonstrate a negative impact from the COVID-19 health pandemic by demonstrating at least one of the following: it was forced to close or curtail its operations due to the pandemic or a government order pertaining to the pandemic; it experienced a supply chain delay or disruption that negatively impacted its operations; it experienced increased cost as a result of the pandemic, it was forced to lay off workers as a result of the pandemic, or was impacted by the pandemic in some other way. It will be incumbent upon Proposers to screen small business applicants to ensure eligibility before engaging with such small businesses through this program.

The Corporation shall provide templates and tracking guidelines for selected Proposers to track these small business eligibility requirements. Under state law, a small business applicant may not receive more than \$10,000 in combined support from the current Take It Outside Initiative and this Ventilation Initiative.¹ There is also a \$20,000 cap that applies to the (i) RI Rebounds Small Business Grant Program, (ii) Technical Assistance Program for long term capacity building, and (iii) Take It Outside and Ventilation programs collectively. Twenty percent of all awards through the Ventilation Initiative must be reserved for awards to assist minority- or women-business enterprises (M/WBEs).

Proposers who are selected for funding will be responsible for outreach to and screening of small businesses to ensure eligibility, including compliance with caps on individual and aggregate

¹ Corporation staff will work with selected vendors to ensure accurate reporting for all requirements related to Eligible Small Businesses.

amounts of awards, and to ensure sufficient funds are reserved for minority business enterprises in compliance with federal and state requirements. This will require ongoing reporting to the Corporation on individual businesses served and supports provided.

Scope of Work:

Through the implementation of this program, the Corporation seeks proposals to assist eligible small businesses in the following recovery support areas:

A. Public Health Adaptation:

Ventilation assistance:

1. Provide reimbursement to eligible small businesses for the Eligible Expenses they have incurred to improve indoor air quality.

The Corporation seeks to engage and support Proposers in carrying out program activities. Proposers are encouraged to describe in detail any activity that will accomplish, further, or advance the identified project.

Funding Requirements:

All proposals must be eligible uses under the American Rescue Plan Act, Coronavirus State and Local Fiscal Recovery Funds as well as the Corporation's program parameters for the Ventilation Initiative. More information, including the Interim and Final Rule promulgated by the U.S. Treasury Department and published at:

<https://www.federalregister.gov/documents/2021/05/17/2021-10283/coronavirus-state-and-local-fiscal-recovery-funds> and FAQs from the U.S. Treasury Department published at: <https://home.treasury.gov/system/files/136/SLFRPFAQ.pdf>.

Proposers should also be familiar with the requirements under the Uniform Guidance with respect to federal grants (2 C.F.R. Part 200) inclusive of the procurement requirements applicable to subrecipients of federal grants: <https://www.ecfr.gov/current/title-2/subtitle-A/chapter-II/part200?toc=1>.

Proposers must be able to comply with the Federal Award Terms & Conditions annexed hereto as **Exhibit A**, among other requirements.

Any proposal to promote, accomplish, carry out, or fulfill this Ventilation Initiative is limited by eligible uses under the American Rescue Plan Act. Proposers shall be responsible for any and all federal requirements or obligations in connection with the use of funding for any proposal, including, but not limited to, the dissemination of Form 1099s and reporting of funding usage and/or distribution in accordance with American Rescue Plan Act requirements as well as requirements imposed by the State and/or the Corporation. Under the American Rescue Plan Act, Interim Final Rule, Proposers who are selected for funding are required to have an active registration with the System of Award Management (SAM or SAM.gov) (<https://www.sam.gov>).

Project Timeline:

Proposers should provide a timeline of their proposed activities and demonstrate how their proposal can be accomplished, including the dissemination of any funding received, on or before September 30, 2023. The following draft timeline provides for key milestones:

- December 14, 2022 RFP Released
- December 19, 2022 Informational Session (attendance optional)
- December 23, 2022 Questions Due
- January 6, 2023 RFP Responses Due

Budget:

Proposers to this RFP shall provide a cost structure for the proposal, which may include, as applicable, fee per transactions, hourly fees and/or other fee structures deemed appropriate by a Proposer. The Corporation reserves the right to adjust both the budget and related services.

Any costs in a Proposal must be direct costs as defined in the policy adopted by the Department of Administration Pandemic Recovery Office (“Policy”), annexed as Exhibit B.

The costs must be directly identified to the advancement of any of the recovery supports, separately accounted for, and assigned to such activities relatively easily and with a high degree of accuracy. These costs may not be indirect costs, as defined in the Policy.

Reporting:

Proposers will be asked to report on assistance provided to small businesses throughout this process. The Corporation and the successful Proposers will collaborate on reporting templates that track necessary items which shall minimally include: numbers of businesses served, amount of support provided to each individual business and addresses of businesses supported.

Proposal Requirements:

To be considered responsive, proposals must, at a minimum, contain the following:

1. Description of the proposed approach and work plan as well as a clear indication of which tasks outlined above the Proposer is responding to. Activities and timelines should be specific, measurable, achievable, and realistic. Include (1) a timeline of major tasks and milestones; (2) a description of how services will be provided; and (3) a description of how services will be accounted for including designated rates for services provided.
2. Person who will be the primary point of contact with the Corporation within your organization. This person will be responsible for the ongoing reporting of the project over the project’s projected timeline.

3. Qualifications of the Proposer to accomplish the proposal 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 and/or contractors to be assigned to this engagement and their respective qualifications, experience on past engagements of this scope including resumes and/or HVAC certifications, 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. Provide as much detail and specificity for outcome metrics as possible. (e.g. businesses served, HVAC upgrades completed, etc.)
6. Detailed operational, award tracking, and fraud mitigation plan. Please describe the process the Proposer will use to operationalize the proposed programming, inclusive of efforts to detect and mitigate fraud as well as ensure businesses are eligible to receive services through the Ventilation Initiative.

The Corporation reserves the right to request modifications to and/or engage in underwriting of all proposals prior to review or ultimate scoring in response to funding compliance measures or other operational concerns.

Suggested Proposal Format:

Proposers are encouraged, but not required, to use the following format:

1. Executive Summary
2. Project Approach
3. Prior Experience/References
4. Key Staff and Resumes
5. Budget

Criteria for Selection:

Those responsive proposals for this RFP that are determined to be responsive will be further evaluated according to the criteria outlined below.

	Points
OVERALL EXPERIENCE OF ENTITY & 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.	20
PROJECT APPROACH Our evaluation will include an assessment of the overall approach and strategy described/outlined in the proposal. Our evaluation will include an assessment of how the Proposer intends to provide ventilation support. Specific consideration	30

will be paid to proposals that support minority-business enterprises, women-business enterprises, and veteran-business enterprises, as well as those located in disproportionately impacted census tracts.	
ABILITY TO EXECUTE PROPOSED APPROACH Our evaluation will include an assessment of the Proposer’s capacity to perform the engagement within the specified timeframe (prior experience of the Proposer in meeting timelines will be factored in here) as well as the implementation plan of the Proposer	30
KNOWLEDGE OF RHODE ISLAND SMALL BUSINESS LANDSCAPE Our evaluation will include an assessment of your organization’s history and work within Rhode Island, breadth and depth of knowledge of small businesses and small business needs in Rhode Island	10
BUDGET APPROACH/COST EFFECTIVENESS Our evaluation will include an assessment of the Proposer’s demonstration of effective and efficient delivery of quality services in relation to the budget allocation. The allocation is reasonable and appropriate, and all expenses are eligible under the American Rescue Plan Act, Coronavirus State and Local Fiscal Recovery Funds.	10
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, 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 non-ISBE 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 and it subcontracts a total of \$12,000 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 and it subcontracts a total of \$12,000 to ISBEs and will perform a total of \$8,000 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 $(12\% \div 20\%) \times 6$ 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 irrevocable for a period of not less than 120 days following the date set for submission of proposals.
5. All pricing submitted will be firm and fixed unless otherwise indicated herein.

6. Proposals misdirected to other locations, or that are otherwise not present at the 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 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 MBEs 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 Submission

Responses to this RFP are due in the form of one (1) electronic (PDF) version and one (1) hard copy, both of which must be received no later than January 6, 2023 at 4:00 p.m. Electronic (PDF) versions must be emailed by that time to patrick.duffy@commerce.ri.gov. Paper copies should be sent or hand-delivered to the following address:

Rhode Island Commerce Corporation
Attention: RI Rebounds Ventilation Support Program RFP
315 Iron Horse Way, Suite 101
Providence, RI 02908

Questions, interpretations, or clarifications concerning this RFP should be directed by e-mail to Patrick Duffy (Patrick.duffy@commerce.ri.gov) no later than 5:00 pm on December 23, 2022. All e-mails should include "COVID-19 Business Ventilation Support Program RFP Question" in the subject line. 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 December 28, 2022 to ensure equal awareness of important facts and details.

The Corporation will host a non-mandatory Proposers' Information Session via Zoom at 10 AM on December 19, 2022 to further explain the program and allow potential Proposers to ask questions related to this RFP. The call-in information for the Zoom call is:

<https://us06web.zoom.us/j/86949500853?pwd=WUlvZUISN1RCODdGOTd1U1ZmTXFpUT09>

The Rhode Island Commerce Corporation reserves the right to terminate this solicitation prior to entering into any agreement with any qualified Proposer pursuant to this Request for Proposal, and by responding hereto, no Proposer 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

Exhibit B



PANDEMIC RECOVERY OFFICE

One Capitol Hill, 4th Floor
Providence, RI 02908-5890

Office: (401) 222-2280

Paul L. Dion, Ph.D.

Director

Pandemic Recovery Office: SFRF INDIRECT ADMINISTRATIVE COSTS

Date of Last Revision: February 2022

1. Purpose

The purpose of this State Fiscal Recovery Fund Indirect Administrative Costs Policy ("Policy") is to provide guidance for the application of indirect cost rates and administrative costs to State Fiscal Recovery Fund ("SFRF") Awards. The intent of the Policy is to provide program or fiscal managers guidance on the applicability of indirect administrative cost recovery.

2. Applicability

This policy applies to all SFRF Awards.

3. Definitions

Direct Administrative Cost means any expense or cost that can be specifically attributed to a particular project, program, or activity, or that can be directly and unequivocally assigned to such activities with a high degree of accuracy. SFRF Direct Costs include, but are not limited to travel, equipment, supplies, goods, and services directly benefiting the award-supported project or activity. Staff that can be directly and unequivocally assigned to a particular SFRF project, program, or activity with a high degree of accuracy may be included as a direct cost.

Indirect Administrative Cost means necessary costs incurred by a recipient for administration, facilitation, and/or oversight of a common or joint purpose benefiting more than one cost objective, and not readily assignable to the cost objectives specifically benefited. For example, facilities operation and maintenance costs, depreciation, and administrative overhead expenses are examples of costs that usually are treated as indirect costs.

Indirect Cost Rate means an administrative cost percentage applied to invoices.

SFRF Award means funding from the SFRF established under the American Rescue Plan Act (ARPA) that a State Agency has been authorized to spend.

State Agency means any state agency, office, department, division, commission, board, council, or other entity of the State.

Subaward means an Award of federal funds provided by a State Agency to a Subrecipient for the Subrecipient to carry out in whole or in part a SFRF funded



PANDEMIC RECOVERY OFFICE

One Capitol Hill, 4th Floor
Providence, RI 02908-5890

Office: (401) 222-2280

Paul L. Dion, Ph.D.

Director

program. It does not include payments to a contractor for goods and services or to an individual that is a beneficiary of a program. For further explanation of a Subaward, consult the definition in the Uniform Administration Requirements, Cost Principles, and Audit Requirements for Federal Awards, 2. CF.R. § 200 *et seq.*

Subrecipient means an entity that receives a Subaward from a State Agency to carry out in whole or in part a SFRF funded program but does not include an individual that is a beneficiary of such program.

4. Policy

- A. **State Agencies.** State Agencies may not charge Indirect Administrative Costs to SFRF Awards. State Agencies may charge Direct Administrative Costs that represent an increase over previously budgeted amounts and are limited to what is necessary.
- B. **Subrecipients.** Subrecipients may not charge Indirect Administrative Costs to SFRF Awards or Subawards. However, subrecipients may request that the Pandemic Recovery Office allow Indirect Administrative Costs to be charged to SFRF projects. Such costs can only be charged with prior written approval of the Pandemic Recovery Office.

5. Signature

A handwritten signature in blue ink that reads "Paul L. Dion".

Director, Pandemic Recovery Office

Date: February 7, 2022

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