



**REQUEST FOR PROPOSAL  
RFP #: RFP-2333**

**For: Understanding the Needs of Second Stage Food Businesses in Rhode Island**

The Rhode Island Commerce Corporation (“Corporation”) seeks proposals from qualified firms to provide a State-level feasibility and needs assessment of second stage food businesses. Rhode Island’s Food Strategy, [Relish Rhody](#) and the State’s Comprehensive Economic Development Strategy, [Ocean State Accelerates](#), have identified the growing cluster of scaling food businesses as a strategic investment priority. The selected proposer will assist the Corporation by identifying challenges and opportunities for “second stage” food businesses to grow and thrive in the State.

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, by contract.

The respondents (“Proposers”) to this RFP shall provide a proposal, in accordance with the terms and conditions set forth herein, to provide the services to the Corporation that are described in the Scope of Work.

**Project Overview**

The purpose of this RFP is to enter into an agreement with a qualified firm (“Contractor”) to undertake all aspects pertaining to research, analysis, and recommendations regarding Rhode Island’s second stage food businesses and the supports needed for this cluster to grow in the State.

**Background**

As a quasi-public agency, the Corporation is the official full-service, economic development organization for the state of Rhode Island. The Corporation works with public, private and nonprofit partners to create the conditions for businesses in all sectors to thrive and to improve the quality of life for the State’s citizens by promoting the State’s long-term economic health and prosperity.

Rhode Island is home to many food entrepreneurs. New and beginning farmers are scaling produce and animal farms. In recent years, there has been a growth in new entrepreneurs making value-add and consumer packaged goods (“CPG”) products such as sauces, dips, baked goods, and other Ready to Eat (“RTE”) fresh prepared foods to go. However, as small businesses “graduate” from incubators and shared kitchens, they often lack a next-level production facility in which to operate. Many local food businesses express that there are insufficient supports for “second stage” manufacturing, which is driving companies out of State to find co-packing facilities, which is a common next stage of growth for producers looking to expand to national markets. As a result, many of these successful ventures have relocated to neighboring states or

closed. Supporting the development of food clusters and next-level production spaces is critical to cultivating and retaining food businesses in Rhode Island.

Supporting second-stage food businesses in Rhode Island will increase the growth of small food and beverage manufacturers who often purchase from local producers, thereby supporting fishing and farming businesses, which will have a multiplier effect by circulating economic activity within the State and region.

The economic needs assessment and study that is prepared by the selected Proposer will inform State, non-profit, and business leaders of how to support businesses past the start-up phase in Rhode Island as a means of diversification. Not only will this encourage resiliency in the face of other economic shocks, but it will also secure access to nutrition from local food companies to meet the needs of food insecure individuals in the State. This recovery and resiliency work is fully aligned with the New England Feeding New England initiative, which has set the goal of New England producing 30% of its food by 2030 and 50% of its food by 2060.

The Corporation with the leadership of the Director of Food Strategy will convene an Advisory Council of six to twelve food business experts, including business owners and business support organizations in the food industry, to provide input and guidance to the project and connect the selected Proposer with key stakeholders.

### **Scope of Work**

The Corporation is seeking a consultant to prepare a State-level feasibility and needs assessment of second stage food businesses, which shall be comprised of the following components:

### **Economic Analysis**

1. Define and assess the Rhode Island 2<sup>nd</sup> stage food business cluster by:
  - a. Developing a clear, regional definition of "2nd stage" food businesses through interviews with the Advisory Council and key stakeholders.
  - b. Conducting a comprehensive baseline economic assessment of the cluster, including demographics, size, market potential, job creation, and overall economic impact.
  - c. Analyzing current federal and State funding for cluster support and identifying gaps and opportunities for improvement.
2. Identify growth opportunities and target investments by:
  - a. Forecasting economic trends and growth opportunities for the targeted food cluster, considering market size, labor pool, and potential job creation.
  - b. Estimating the economic impact of potential targeted investments in the cluster, including job creation and economic contribution to Rhode Island and the Northeast region.
  - c. Determining targeted investments prioritize historically marginalized and underserved communities, quantifying the specific benefits for these businesses.
  - d. Identifying high margin, low output food products and potential growth and needs of businesses with these products.
3. Bolster effectiveness of funding support by:

- a. Analyzing current federal and State spending on cluster business support and identifying inefficiencies and opportunities for streamlining.
- b. Developing recommendations for improving the effectiveness of funding, ensuring that it reaches the intended businesses and maximizes economic impact.

### **Landscape Assessment**

1. Identifying barriers and support for minority-owned businesses:
  - a. Analyzing and quantify disparities and inequities faced by minority-owned food businesses in second-stage growth, focusing on access to capital, markets, and resources.
  - b. Including both Rhode Island and relevant comparisons in other states.
  - c. Providing recommendations for addressing identified disparities and inequities.
2. Assessing market access and support needs for scaling businesses:
  - a. Evaluating barriers for second-stage food businesses in accessing markets and securing contracts.
  - b. Analyzing the needs of both buyers and scaling businesses.
  - c. Providing recommendations for strengthening market access and support systems for scaling businesses.
3. Inventory and evaluate existing support resources:
  - a. Compiling and assess available state-level economic development tools, policies, and support programs for scaling food businesses in Rhode Island and Northeast regional states.
  - b. Identifying effective strategies and persistent gaps, particularly for underserved communities.
  - c. Creating a comprehensive inventory and evaluation of support resources with recommendations for optimization and expansion.
4. Map Infrastructure and real estate opportunities:
  - a. Identifying a list of available manufacturing lines in the state for canning, bottling, pasteurizing, baking, and United States Department of Agriculture (“USDA”) inspected facilities.
  - b. Identifying and map affordable infrastructure and real estate options for small and scaling food manufacturing businesses in Rhode Island.
  - c. Including options for purchase, shared-use, and allergen-aware facilities for canning, bottling, pasteurizing, baking, and USDA inspected facilities.
  - d. Developing a list of co-manufacturing entities in Rhode Island and the Northeast region.

### **Needs Assessment & Analysis**

1. Identify and Prioritize Growth Pathway Gaps:
  - a. Analyzing specific gaps hindering the growth of second-stage food businesses in Rhode Island.
  - b. Assessing access to capital (grants, loans, equity investments), food-specific incentives, financing options, market access channels (retail, distribution, online platforms), skilled labor, and infrastructure (affordable real estate, co-packing facilities, shared equipment).

- c. Developing a prioritized list of critical gaps, categorized by impact and feasibility of addressing them.
2. Quantify Needs and Estimate Investment Costs:
  - a. Quantifying the measurable needs of the second-stage food business cluster.
  - b. Estimating the cost (financial, resource, time) of addressing the prioritized gaps identified.
  - c. Outlining the quantified needs and associated costs for each gap, enabling informed decision-making about resource allocation.

### **Logistics & Deliverables**

1. Conducting one-on-one interviews with up to twelve Advisory Council members.
2. Conducting, at a minimum, 20 one-on-one interviews and/or focus groups with key interest-holders, as recommended by the Advisory Council, including target businesses and support organizations, to assess the cluster's needs.
3. Meeting regularly with the Advisory Council to provide research findings and project updates.
4. Developing recommendations for strengthening the capacity of the Corporation, state agencies, and partners to support the continued economic development of the sector, particularly for underserved and under-resourced businesses across the State.
5. Providing a clear, compelling, and comprehensive report that outlines the economic analysis, needs assessment, landscape assessment, and recommendations.

### **Qualifications**

Proposers should have demonstrated experience in feasibility and needs assessments as well as a good understanding of the Rhode Island food business cluster. Proposers must demonstrate experience in State-level economic analysis and a commitment to understanding the needs of businesses from historically marginalized and underserved populations.

### **Project Timeline**

- April – August 2024: Conduct research, needs assessment and feasibility study through stakeholder interviews and through primary and secondary data collection.
- September – November 2024: Develop report and publish findings.

### **Budget**

Total budget not to exceed \$60,000.

Proposers to this RFP shall provide a proposed fee structure for providing the services necessary to complete the proposed scope items. Proposers shall include a total, maximum price to accomplish the scope items incorporated in their proposal. Fee structure proposals shall include but are not limited to costs for specific task items from the Scope of Work along with an estimate regarding the duration, number of hours and cost to complete each task. Additionally, Proposers shall provide a personnel schedule which includes job title and billing rate for any work which may be undertaken under this contract. Proposers shall also provide job titles and rates for any subcontractors that the respondent includes in this response. 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.

In addition to showing how you will meet the requirements outlined above, Proposers should also provide information regarding the following:

- **Research & Analytics:** Provide an overview of how you determine success. What are the analytic tools or services that you use, and what type of information will you be reporting back to the Corporation as it relates to meeting our objectives?
- **Travel and Administration:** The Proposer should estimate any travel costs expected to incur during the contract period. Travel must be in line with budget submitted and approved by the Corporation and follow guidance from all relevant Federal and State statutes.

### **Criteria for Selection**

Responsive proposals for this RFP will be evaluated according to the Evaluation Criteria outlined below. The Proposer with the highest score will be selected as per the Corporation's purchasing guidelines.

### **EVALUATION CRITERIA**

	<b>Points</b>
<b>OVERALL EXPERIENCE OF COMPANY &amp; DEMONSTRATED RESULTS</b> 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
<b>QUALIFICATIONS OF PERSONNEL</b> Our evaluation will include an assessment of the qualifications and experience of your managerial team, staff, and subcontractors.	15
<b>FAMILIARITY WITH RHODE ISLAND'S ECONOMIC DRIVERS</b> Our evaluation will include our assessment of your understanding of our organization and Rhode Island's economic drivers and how you integrated this knowledge into your proposal.	15
<b>STRATEGIC THINKING/PLANNING APPROACH</b> 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 here.)	20
<b>BUDGET APPROACH/COST EFFECTIVENESS</b> Effective and efficient delivery of quality services is demonstrated in relation to the budget allocation. The allocation is reasonable and appropriate.	15
<b>DEMONSTRATED EXPERIENCE WITH FOOD SECTOR</b> Experience with food related economic assessments and Rhode Island's food economy.	15
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 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 \$100,000.00 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  $(12\% \div 20\%) \times 6$  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 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 that are submitted late, misdirected or sent to the wrong email address will not be accepted.
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 and available here: <https://commerceri.com/wp-content/uploads/2022/08/RFP-RESPONSE-CERTIFICATION-COVER-FORM.pdf>
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](http://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.ridop.ri.gov](http://www.ridop.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 fifteen percent (15%) participation by MBE's in all procurements, including a minimum of 7.5% participation by minority business enterprises owned and controlled by a minority owner, as defined in Section 37-14.1-3, and a minimum of 7.5% participation by minority business enterprises owned and controlled by a woman... For further information, visit the website [www.mbe.ri.gov](http://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.

## Proposal Submission

Responses to this RFP must be received as follows:

One (1) electronic (PDF) version must be provided by email to [RFP@commerceri.com](mailto:RFP@commerceri.com) by **11:59 pm on March 29<sup>th</sup>, 2024**. Submissions that are late, misdirected or sent to the wrong email address will not be accepted.

**Note: To ensure transparency, no phone calls pertaining to this RFP will be accepted.**

Questions, interpretations, or clarifications concerning this RFP should be directed by e-mail to [RFP@commerceri.com](mailto:RFP@commerceri.com) no later than 11:59 pm on March 18<sup>th</sup>, 2024. Responses to questions, interpretations, or clarifications concerning this RFP will be posted online via addendum at [www.commerceri.com](http://www.commerceri.com) and [www.ridop.ri.gov](http://www.ridop.ri.gov) on March 25<sup>th</sup>, 2024 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. 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:

☐ MBE    ☐ WBE    ☐ 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