



**REQUEST FOR PROPOSAL  
RFP #: RFP-2343**

**For: State Small Business Credit Initiative (“SSBCI”) Technical Assistance Program**

The Rhode Island Commerce Corporation (“the Corporation”) seeks proposals from qualified firms to provide one-on-one assistance to eligible Rhode Island entrepreneurs and small businesses who are applying for, preparing to apply for, or have applied for capital funding from Rhode Island’s State Small Business Credit Initiative (“SSBCI”) supported program or other eligible federal program.

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 firms, 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 American Rescue Plan Act (“ARPA”) reauthorized and expanded the SSBCI, a federal program administered by the U.S. Department of Treasury (“Treasury”), to strengthen state programs that support private financing to small businesses where it provides funding to state small business lending and investment programs. To increase access to Rhode Island’s SSBCI programs, Treasury has allocated funding to the Corporation to implement an SSBCI Technical Assistance (“TA”) Program to ensure businesses have access to resources with customized TA to help them apply for and obtain capital.

The Corporation will implement the SSBCI TA Program through TA service providers that can deliver one-on-one, targeted TA to Very Small Businesses (“VSBs”) and Socially or Economically Disadvantaged Individuals (“SEDI”) owned businesses (eligible beneficiaries), depending on the capital access need of the eligible beneficiary.

The Corporation intends to award multiple contract(s) to provide the services described in this RFP.

**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 our citizens by promoting the State’s long-term economic health and prosperity.

The Corporation is seeking qualified TA providers to deliver one-on-one assistance to eligible Rhode Island entrepreneurs and small businesses who are applying for, preparing to apply for or

have applied for capital funding from an SSBCI-supported program or other eligible federal program.

The SSBCI TA Program prioritizes services from TA providers that will meet program objectives and serve businesses owned by SEDI and to VSB's, including services that can:

- Increase awareness and readiness for entrepreneurs and small businesses applying for capital;
- Result in the successful acquisition of capital, and/or support throughout the length of the loan;
- Increase financial and business management skills; and
- Support overall geographic coverage of businesses across the state.

### **Scope of Work**

The SSBCI TA Program objective is to build a pipeline of ready-eligible beneficiaries for RI's SSBCI Capital Programs. Selected TA providers will deliver targeted, customized TA in the areas of legal, accounting, and financial advisory services to eligible beneficiaries to prepare them to apply for loans or investment opportunities available through the state's SSBCI Capital Programs (summarized below).

Eligible SSBCI TA providers are expected to be knowledgeable about the suite of lending and investment programs offered through the state's SSBCI Capital Programs to provide appropriate referrals and recommendations to eligible beneficiaries. The following is a description of the two separate SSBCI Capital Programs currently being deployed by various partners:

### **Loan Participation Program ("LPP")**

The state has allocated \$29,880,000 for its SSBCI LPP. Rhode Island utilizes a companion loan model structured as subordinate financing. Rhode Island has partnered with four experienced lenders, which lend directly to small businesses. Each contracted entity currently has existing private capital they will use to leverage SSBCI funds on a 1:1 basis. In addition, the contracting entities will lend SSBCI funds in concert with banks, non-bank lenders, and other private entities to attain the 1:1 leverage requirement of Treasury. Transaction amounts are targeted between \$50,000 and \$1 million on average, with a minimum and maximum of \$20,000 and \$3 million, respectively.

The features of Rhode Island's LPP are designed to capitalize on emerging opportunities to promote economic dynamism and growth. Notably, the state's SSBCI LPP will:

- Expand capital access for businesses located in underbanked communities and/or led by historically underserved entrepreneurs, including those that do not have existing banking relationships especially those that qualify as SEDI and VSB businesses.
- Support the growth of advanced industry clusters best positioned for growth in Rhode Island.
- Retain "home-grown" start-ups and young firms.

### **Venture Capital Program ("VCP")**

The state has allocated \$31,500,000 for its SSBCI VCP. Rhode Island has partnered with four experienced fund managers. The VCP funding supports small-dollar direct equity investments for early-stage firms (pre-seed and seed) as well as funding to support larger transactions for high-growth firms. Each contracted entity currently has existing private capital they have already raised which they will use to leverage SSBCI funds. Transaction amounts are targeted between \$200,000 and \$1 million on average, with a minimum and maximum of \$20,000 and \$5 million, respectively. The features of Rhode Island's VCP are designed to capitalize on emerging opportunities to promote economic dynamism and growth. Notably, the state's SSBCI VCP will:

- Expand access to venture capital for start-ups and early-stage businesses, especially those that qualify as SEDI and VSB businesses.
- Support the growth of advanced industry clusters best positioned for growth in Rhode Island.
- Retain "home-grown" start-ups and young firms.
- Strengthen the state's venture ecosystem.

### **Eligible Beneficiaries**

TA providers will be providing TA to VSBs and SEDI-owned businesses that are applying for, preparing to apply for, or have previously applied for a SSBCI Capital Program or other federal or other jurisdiction small business programs. Some businesses may qualify as both a VSB and SEDI-owned business. A TA provider can consider these businesses as VSBs, SEDI-owned businesses, or both for all TA Grant Program purposes.

Other Rhode Island-based small businesses that wish to apply for the state's SSBCI capital but do not meet the criteria for eligible beneficiaries are allowed to access the TA program.

### **The Selected TA providers will be Responsible for the Following Activities:**

**Provide Statewide TA Services.** Plan and provide TA services to eligible beneficiaries to build a pipeline of ready-eligible businesses for RI's SSBCI Capital Programs. TA services must be available statewide. Eligible legal, accounting, and financial advisory services provided to an eligible beneficiary under a TA Grant Program award include the following, and other services that are similar to the following:

#### Legal Services

- Assisting with business formation or adopting corporate governance documents.
- Obtaining needed registrations, licenses, filings, and certifications.
- Advising on, or preparing documents for, the business to enter into contracts.
- Legal services related to the business obtaining capital from investors, such as the development of financial instruments, investment term sheets, purchase agreements, and shareholder rights agreements.
- Legal services related to a transfer of ownership interests in a business, in the case of employee stock ownership plans.

#### Accounting Services

- Preparing audits, financial statements, or business records.
- Digitizing financial records.

- Advisory services or training regarding accounting practices, recordkeeping, or accounting software.

#### Financial Advisory Services

- Assisting with the establishment of banking relationships or other financial services.
- Assisting with applications for government small business programs, including preparing financial analyses.
- Identifying sources of credit, capital, grants, and other financing.
- Advising on factors that may impede access to financing for the business.
- Advising on financial management.
- Developing presentations to potential investors, financial models, and business plans

TA beyond legal, accounting, and financial advisory is not part of the SSBCI TA Program scope of work and therefore is not an eligible service.

**Service Plan.** This plan will describe what community engagement and outreach strategies will be used to reach RI's eligible beneficiaries as well as plans for serving rural and/or underserved communities around the state. The plan should clearly describe how the Proposer plans to provide its services to meet the objectives of the SSBCI TA Program during the period of performance. Plans may include, but not limited to the following:

- Conducting initial intake of the small business to determine eligibility and program fit
- Conducting business needs assessments to determine organizational capacities, weaknesses of eligible beneficiaries to create customized TA plans
- Developing outreach and communication plans to identify, connect, and engage VSB and SEDI-owned businesses throughout the period of performance.
- Developing customized TA plans to support the needs of eligible beneficiaries
- Coordinating and collaborating with SSBCI program administrators, contracted lenders, TA providers as well as other state, regional, and local small business partners to accept, support, and refer small businesses and other requirements as set forth by the Corporation.
- Connecting and referring businesses that are not eligible for SSBCI TA services to other small business resources as appropriate within the small business ecosystem.
- Increase opportunities for VSBs and SEDI-owned businesses to successfully obtain capital to increase productivity, profitability, and market presence.
- Supporting SSBCI TA Program marketing and promotional efforts.
- Attending regular in-person and/or virtual meetings with SSBCI program staff and other SSBCI partners to plan, implement, and share best practices and learnings.
- Networking and collaborating with business ecosystem partners, SSBCI Contracted Entities, and lenders to achieve project objectives, increase awareness and understanding of program benefits.
- Identify small business success stories to document program success

**Reporting on Performance Outcomes and Measures.** Selected TA providers will collect and report data, activity, project goals, and benchmarks to demonstrate progress made quarterly during the period of performance in accordance with the [U.S. Treasury's SSBCI TA Program Reporting Guidance](#). TA providers will also be expected to provide monthly

briefs (one-page summary) documenting progress made according to the proposed project schedule, during the first six months of the program.

## **Qualifications**

As specified in U.S. Treasury's TA Program Guidelines, both non-profit and for-profit entities may apply.

Minimum qualifications include:

- Licensed to do business in the state of Rhode Island or submit a statement of commitment that it will become licensed in Rhode Island within thirty (30) calendar days of being selected as a TA provider..
- Have been in operation to provide support to access or secure capital for support minority business enterprises, women-business enterprises, and veteran-business enterprises, as well as those located in disproportionately impacted census tracts for a minimum of three years.
- A for-profit or non-profit entity that specializes in, or through contracting with other entities, provides expertise in legal, accounting, and/or financial advisory services;
  - Under [U.S. Treasury's TA Program Guidelines, section IV](#), the determination of whether an entity is a legal, accounting, or financial advisory firm depends on the extent to which the entity provides legal, accounting, or financial advisory services. Entities must specifically meet at least one of the following criteria:
- A primary purpose of the entity or a central part of the entity's mission is to provide legal, accounting, and/or financial advisory services,
- The entity regularly markets or publicizes itself as providing legal, accounting, and/or financial advisory services, or
- At least 25% of the entity's revenues or staff are dedicated to providing legal, accounting, and/or financial advisory services
- Can certify that it and all of its associated and/or partnership entities are not suspended, debarred, or otherwise excluded from or eligible for participation in federal assistance programs or on the government-wide exclusions list in the federal System for Awards Management (SAM).

Proposers may be individual entities or collaborative groups of two or more entities. Applicants must identify a lead applicant, roles, and responsibilities of each partner in the case of a joint application.

Proposals that do not clearly meet or exceed all minimum qualifications listed above are non-responsive and will not be evaluated.

## **FUNDING**

Awards will range from \$50,000 with a not to exceed amount of \$100,000 per year per contract for this project. This program spans a three-year performance period. The Corporation intends to award two to three contracts as a result of this RFP. Proposals in excess of the budgeted amount will be considered non-responsive and will not be evaluated. In the event additional funding becomes available during the period of performance, any contract awarded may be amended to provide for additional related services. Additional funding is not guaranteed.

Eligible applicants are encouraged, but not required, to demonstrate additional matched funding, either cash, in-kind, or otherwise, for proposed TA services.

Any contract awarded as a result of this RFP is contingent upon the availability of funding. The Corporation reserves the right to negotiate partial awards depending on the applicant pool.

### **Project Timeline**

The period of performance of any contract resulting from this RFP is tentatively scheduled to begin on or about 09/01/2024 to end on 6/30/27. Amendments extending the period of performance, if any, shall be at the sole discretion of the Corporation.

The successful Proposer(s) will enter into a contract for services with the Corporation. The duration of the initial contract between the Corporation and the successful Proposers is expected to align with the project timeline outlined above.

### **Budget**

Proposers to this RFP shall provide a proposed fee structure for providing services necessary to complete the proposed scope items. 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 and number of hours 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 is including 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:

#### **1. Funds Requested**

State the total, maximum amount of funds requested for the provision of TA and administrative costs.

#### **2. Organizational Information**

Describe the organization's status as an eligible entity that can participate and administer the Program, and that is registered to operate in Rhode Island or will register to operate in Rhode Island within thirty (30) calendar days.

Please include the following components in a narrative:

- Describe any conflicts of interest that may be presented by participating in the Program, and how those conflicts would be managed.
- Whether Applicant is a not-for profit or a for-profit entity.
- The year that the organization was established and include the year certified, if a federally certified CDFI.
- State the organizational mission. (narrative)

Additionally, please include the following as attachments to the submitted proposal:

- a) Certificate of incorporation (Attachment A)
- b) Bylaws (Attachment B)
- c) W9 (Attachment C)
- d) Most recent audited financial statements (Attachment D)

### **3. Target Market**

Identify the audiences you intend to target. How does this Program respond to a need in the communities you will serve? Please provide relevant data and cite sources. Will you provide a unique service or product in your target area(s). Summarize projected outcomes, including job creation and business launch or expansion outcomes. Include an explanation of strategies to be implemented to provide TA for very small businesses, those with limited access to credit and/or limited collateral, minority or women-owned businesses, or those businesses serving disadvantaged communities.

### **4. Management and Operations**

Describe the capacity, skills, size and experience of the Proposer's management team, partners, and key staff. Describe the capacity, skills, size and experience of the Proposer's governing board. Include a list of names and affiliations of its Board of Directors or other governing body.

### **5. Technical Assistance**

Describe existing and/or proposed TA services, including information on types of TA and training available, the target population and geography volume of services provided, demonstrated outcomes, and whether services are provided by the Proposer or through partnerships. Allowable services include business modeling or planning, marketing advice, identifying sources of capital other than lender, assistance with licensing, permitting and/or registration, financial education, credit counseling or any other TA allowable services.

### **6. Marketing and Outreach**

Describe how the Proposer organization will utilize community partnerships of joint ventures and coordinate its efforts with other lending organizations or TA providers to increase volume, expand the service delivery area, or enhance services.

## Criteria for Selection

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

### EVALUATION CRITERIA

	Points
<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.	25
<b>POTENTIAL ECONOMIC IMPACT</b> Our evaluation will include an assessment of the short and long-term potential impact of the proposed program.	15
<b>QUALIFICATIONS OF PERSONNEL</b> Our evaluation will include an assessment of the qualifications and experience of your managerial team, staff, subcontractors, and related items.	20
<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 APPROACH</b> Our evaluation will include an assessment of the overall approach and strategy described/outlined in the proposal, including demonstration of business need for the proposed effort, target market(s), level of expected activity. Our evaluation will include an assessment of the businesses to be supported by the Proposal. Specific consideration 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.	25
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 December 20, 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 December 6, 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 December 10, 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.

<b>MBE, WBE, and/or DISABILITY BUSINESS ENTERPRISE PARTICIPATION PLAN</b>
---

Bidder's Name:
----------------

Bidder's Address:				
Point of Contact:				
Telephone:				
Email:				
Solicitation No.:				
Project Name:				
<p>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. <b>Please complete <u>separate forms</u> for each MBE/WBE or Disability Business Enterprise subcontractor/supplier to be utilized on the solicitation.</b></p>				
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.				
<b>Prime Contractor/Vendor Signature</b>		<b>Title</b>		<b>Date</b>
<b>Subcontractor/Supplier Signature</b>		<b>Title</b>		<b>Date</b>

## 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