



REQUEST FOR PROPOSAL
For: Rhode Island Tourism Development Plan

The Rhode Island Commerce Corporation (“Corporation”) seeks proposals from qualified proposers to provide a development plan for the Rhode Island tourism industry.

This document constitutes a Request for Proposal (“RFP”), in a competitive format, from qualified proposers. 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 proposers, by contract.

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

Project Overview

The purpose of this Request for Proposal (“RFP”) is to enter an agreement (“Agreement” or “Contract”) with a qualified firm to prepare a Tourism Development Plan (“Plan”) for the State of Rhode Island to build capacity so that the Corporation can better facilitate, guide, and support the economic success of the Rhode Island tourism industry and contribute to the quality of life of Rhode Island residents.

Background and Overview

Tourism is an important driver of the State’s economy. In 2022, Rhode Island attracted 27.7 million visitors, and tourism spending contributed \$5.3 billion to the State’s economy with a total economic impact of \$7.9 billion. Tourism also supported 84,386 jobs, representing one in every eight jobs in the State, and provided more than \$1.9 billion in government revenues and contributed \$903 million in state and local taxes.

The Corporation is committed to growing the State’s tourism industry through:

- increasing traveler trips to Rhode Island;
- increasing traveler length of stay;
- increasing average traveler spend per trip; and
- increasing resident spend on tourism activities.

The Corporation promotes Rhode Island in domestic and international markets, leveraging multiple marketing and communications tactics, including, but not limited to, traditional public relations strategies, advertising, social media, group sales initiatives, events, and industry engagement. All these efforts are directed at the State’s target audience—prospective visitors, previous visitors, Rhode Island residents, transportation partners, tour operators, travel agents, partners and other non-government organizations.

The Corporation is interested in developing the Plan that will (a) guide the development of Rhode Island's tourism industry, and (b) serve as a blueprint for communities to develop products that will produce a competitive edge while also preserving the authenticity of the region and the State.

With such diversity of product throughout Rhode Island, a regional-based plan is needed to identify the lures (or attractors) for each of Rhode Island's six (6) tourism regions, which can further create clusters for development and enhanced experiences for Rhode Island's travelers and residents.

Scope of Work

The Corporation is seeking a Contractor to prepare the Plan for the State of Rhode Island. The goal of the Plan is to build capacity so that the Corporation and its industry partners can better facilitate, guide, and support economic development.

A. The Plan should address two key questions:

1. What are the best lures that the state and each tourism region should be promoting now to successfully compete in obtaining new travelers?
2. What products should the state and each tourism region focus on building to successfully compete in obtaining new travelers?

B. The Contractor shall provide services that meet the following objectives:

1. Create a 5-year Plan that pinpoints the state and each tourism regions strongest current lures to note as well as identify product development that needs to take place in each of the six (6) regions to be more competitive.
2. Determine what theme/focus should be the primary activity-based lures of each of the State's six tourism regions and the development needed to make the lures significantly attractive to all markets (regional, national, and international).
3. Identify viable tourism development potential of each of the six regions of Rhode Island (e.g., as a "stopping point" en-route, a "hub", or a "spoke") and then identify the development required to achieve this potential.

C. Tourism Development Plan Components

The Tourism Plan shall be a five-year plan, should be able to serve as a framework for communities to use as a model for their individual local plans, and should be comprised of the following components:

1. Existing Product Promotions

- a) Review current major tourism marketing initiatives in each of Rhode Island's six regions.
- b) Perform a situation analysis of each region's top lures in attracting visitors.

- c) Identify the most valuable/lucrative target audiences for each region.
- d) Evaluate strength of lures when compared to destinations offering comparable products.
- e) Identify competitors between feeder markets and destinations that offer similar products.
- f) Identify the most attractive hub & spoke strategy to strengthen lures for the best experiences.

2. Future Product Development

- a) Identify direction/vision of each region for the next 5 years.
- b) Analyze 3-5 out-of-state competitors for each region based upon stated direction.
- c) Identify major voids in each region based upon direction and competition.
- d) Develop a 5-year product development strategy to fill voids and further boost the direction of each region. The strategy should include immediate adjustments, 1–2 years' development and a 5–year “game-changer” for the region.

3. Execution Recommendations and Strategy

- a) Provide recommendations for the Corporation to consider with partners, share findings, and facilitate customized workshops to develop community-based development plans specific to that community based upon the regional recommendations.
- b) Review of available funding sources that communities may use for development of new assets.
- c) Review of State and Federal agencies that may assist with development of new assets.
- d) Identify/rank projects that will have the largest impact on the regions as well as the State of Rhode Island.

D. Reporting, Delivery Requirements, and Meetings

1. The Proposer shall report directly to the Chief Marketing Officer of the Corporation.

2. For the Plan, the Contractor shall prepare a written document consisting of the following:

- a) Executive Summary including commonalities and differences
- b) Background documentation and methodology
- c) Results
- d) Major findings and recommendations for each region

3. The Proposer shall provide an overall summary document that can be distributed to the regions, communities, and tourism industry partners.

4. The Proposer shall create and maintain a secure electronic blackboard for all project working papers, documents, and related materials.

5. The Proposer shall provide a draft of the written Plan and all final products and deliverables not later than six (6) months after the contract execution date, unless otherwise approved by the Corporation in writing.
6. Upon completion of the Corporation's review of the draft, the Proposer shall provide final products and deliverables, including all requested revisions.
8. The Proposer shall be provided with up to 600 (up to 100 per region Rhode Island tourism industry partner contacts by the Corporation to use to collect stakeholder input. The Proposer shall determine the best way to conduct these interactions.
9. The Proposer shall be required to make a presentation at the Corporation as well as the Corporation's Board of Directors meeting.
10. The Proposer shall furnish all labor and resources, including all travel and lodging costs to prepare and present the Plan.

E. Background Materials where available

1. After the contract is awarded, the Corporation will provide the Proposer with the following background materials:
 - a) Review of the current literature regarding tourism development plans;
 - b) Review of existing local, state, regional and national development plans;
 - c) Tourism Marketing plans
 - d) Corporation Profile and Personas
 - e) Tourism Impact Study
 - g) Tourism Research/ Performance Dashboard

F. Staff Changes

For the term of the contract, Contractors shall not change primary or secondary staff assigned to the Corporation, except for employee departures, or subcontractors and their staff, without the Corporation's prior written permission. The Corporation shall have the ability to interview and approve such new staff assigned to this project.

Qualifications

Proposers must provide a written explanation of its qualifications, including its experience in providing the services described herein. This should include examples of successfully building tourism plans based upon active stakeholder input and participation. Specifically, Proposers should include the following:

- a) A summary of the Proposer's directly related experience, including the experience qualifications of all personnel and any subcontractors that will be retained by the Proposer.
- b) A summary of related projects demonstrating the Proposer's recommendations were implemented and successful.

- c) An outline of the responsibilities of member assigned to the study team and their time commitments.
- d) An organizational chart of Proposers, showing key personnel assigned to the contract and their role.
- e) A one or two-page vitae of each person assigned to this contract.
- f) A description of any staff capabilities that you consider unique to Proposer, which better prepares the Proposer to handle the project.
- g) An outline of Proposer's experience by providing the name, address, and phone number of clients for whom the proposed team has performed this type of service within the past five (5) years.
- h) Names and addresses of any subcontractors who will be used in the performance of this contract. Include Proposer's direct experience with these subcontractors.
- i) An organization chart(s) of any proposed subcontractors(s) to provide services under this contract.
- j) Provide the number of years of experience that Proposer has with similar projects.

Knowledge of Rhode Island and the Corporation

- a) Provide information that demonstrates Proposer's knowledge of Rhode Island and projects/initiatives in Rhode Island, especially tourism development or marketing.
- b) Provide information on Proposer's experience working in Rhode Island with towns, cities, or regional projects.

Strength and Appropriateness of Methodology; Demonstration of Clear Understanding; Creativity of Approach

Provide information that demonstrates the strength of Proposer's methodology and a clear understanding of the task at hand through creativity of how to approach the project. Include the following:

- a) Proposer's understanding of the Scope of Work to include the objective and the deliverables.
- b) A methodology that will be used to conduct interactions with up to 600 contacts required.
- c) What key draft reports and materials Proposer will submit during the project.
- d) A proposal schedule, identifying meeting dates and dates of material submissions and reports.

Project Timeline

The contract must be completed within six (6) months of the award. The successful Proposer(s) will enter a contract for services with the Corporation. The duration of the initial contract between the Corporation and the successful Proposer is expected to begin upon the date of contract approval.

Budget

- a) Proposers shall include a total, maximum price to accomplish the scope items incorporated in the proposal.

- b) 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.
- c) In Order for the Corporation to evaluate the proposed fixed price appropriately, also provide a breakdown of all expected expenses and deliverables that make up the total fixed price.
- d) All potential costs associated with the contract shall be considered by Proposer when determining the fixed price and itemized and clearly documented in the proposal. Once contract has been awarded and costs exceeding the contracted fixed price, whether expected or unexpected, will be rejected unless previous agreed upon in writing and solely at the Corporation’s discretion.
- e) Proposers to this RFP shall provide a proposed fee structure for providing services necessary to complete the proposed scope items.
- f) Additionally, proposers shall provide a personnel schedule which includes job title and billing rate for any work which may be undertaken under this contract.
- g) Proposers shall also provide job titles and rates for any subcontractors that the respondent includes in this response.
- h) 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?

Criteria for Selection

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

EVALUATION CRITERIA

	Points
<p>OVERALL EXPERIENCE OF COMPANY & DEMONSTRATED RESULTS Our evaluation will include an assessment of the history of your company, your experience as it relates to the requirements within this RFP, evidence of past performance, quality and relevance of past work, references, and related items.</p>	20
<p>CREATIVITY Our evaluation will include an assessment of the quality of proposed strategies, and creativity.</p>	10
<p>QUALIFICATIONS OF PERSONNEL Our evaluation will include an assessment of the qualifications and experience of your managerial team, staff, subcontractors, and related items.</p>	20
<p>FAMILIARITY WITH RHODE ISLAND’S ECONOMIC DRIVERS Our evaluation will include our assessment of your understanding of our organization</p>	10

and Rhode Island's economic drivers and how you integrated this knowledge into your proposal.	
STRATEGIC THINKING/PLANNING APPROACH Overall approach and strategy described/outlined in the proposal and firm capacity to perform the engagement within the specified timeframe (prior experience of the firm in meeting timelines will be factored in here)	10
BUDGET APPROACH/COST EFFECTIVENESS Effective and efficient delivery of quality services is demonstrated in relation to the budget allocation. The allocation is reasonable and appropriate.	30
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 misdirected to other locations, or that are otherwise not present at the Rhode Island Commerce Corporation by the submission deadline for any cause will be determined to be late and will not be considered. For the purposes of this requirement, the official time and date shall be that of the time clock in the reception area of the Rhode Island Commerce Corporation.
7. All proposals should identify the proposed team of professionals, including those employed by subcontractors, if any, along with respective areas of expertise and relevant credentials. Proposer should also provide a delineation of the portion of the scope of work for which each of these professionals will be responsible.
8. All proposals should include the proposer's FEIN or Social Security number as evidenced by a W9, downloadable from <https://www.irs.gov/pub/irs-pdf/fw9.pdf>
9. All proposals should include a completed RFP Response Certification Cover Form, included in this document 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) 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.

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 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 on or before **11:59 pm on Monday, August 21, 2023**. One (1) electronic (PDF) version must be provided by email to RFP@commerceri.com by 11:59 pm on August 21, 2023. 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 no later than 11:59 pm on Thursday, August 10, 2023. 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 Tuesday, August 15, 2023 to ensure equal awareness of important facts and details.

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

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

APPENDIX A

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

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

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

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

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

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

Bidder's Name:

Bidder's Address:

Point of Contact:

Telephone:

Email:

Solicitation No.:

Project Name:

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

Name of Subcontractor/Supplier:

Type of RI Certification: 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