REQUEST FOR PROPOSAL

RFP#: RFP-2615

For: Household Income Verification Services and Platform

The Rhode Island Commerce Corporation ("Corporation") seeks proposals from qualified firms to provide household income verification services via a secure platform or customer portal for Rhode Island residents seeking participation in the Affordable Solar Access Pathways 2.0 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 firm(s), by contract.

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

The selected Firm will be responsible for receiving applicant information, reviewing income documentation, determining program eligibility in accordance with program requirements, communicating eligibility determinations, and providing reporting to the Rhode Island Office of Energy Resources ("OER") and the Corporation's Renewable Energy Fund ("REF").

The selected Firm shall also provide a secure, accessible, multilingual, and consumer-friendly verification process that minimizes administrative burden on applicants while ensuring compliance with all applicable state and federal requirements. Services shall be provided at no cost to participating households via a secure platform or customer portal.

The selected Firm should demonstrate experience providing income verification services at scale, serving low-income, disadvantaged, and multilingual populations, and developing secure and accessible customer-facing verification platforms.

Project Overview

The Corporation's REF, in partnership with OER, is issuing this RFP to eligible firms capable of providing household income verification services for Rhode Island residents seeking participation in the Affordable Solar Access Pathways 2.0 ("ASAP 2.0") Program (the "Program").

ASAP 2.0 is a statewide initiative designed to expand access to residential solar energy benefits for income-qualified households throughout Rhode Island. The program seeks to reduce energy burdens, expand participation among underserved communities, and ensure equitable access to clean energy opportunities.

Background

REF provides grants for renewable energy projects that have the potential to produce electricity in a cleaner, more sustainable manner, while stimulating job growth in the green technology and energy sectors. Using funds from the "system benefit change" on electric bills and alternative compliance payments received from retail electricity providers, the Corporation funds renewable energy projects in Small-Scale solar, Commercial-Scale renewables, Brownfield solar and Energy storage systems.

OER is the state energy office responsible for developing and implementing energy policies and programs that advance Rhode Island's clean energy, energy affordability, and energy security goals. OER works collaboratively with state agencies, utilities, municipalities, community organizations, and private-sector stakeholders to expand access to clean energy technologies and reduce energy burdens for Rhode Island residents.

REF and OER jointly administer the ASAP 2.0 Program, which is designed to increase access to residential solar energy benefits for income-qualified households throughout Rhode Island while reducing barriers to participation for low-income households, disadvantaged communities, and environmental justice populations.

The Program seeks to deliver meaningful energy cost savings through residential solar projects while ensuring that benefits are accessible to households that have historically faced barriers to participation in clean energy programs. ASAP 2.0 supports multiple ownership structures, including third-party ownership models, to maximize participation opportunities for eligible households.

Because Program eligibility is based primarily on household income and approved categorical eligibility pathways, OER, and REF require a qualified Firm to provide consistent, secure, accurate, and efficient eligibility, maintaining secure applicant records, communicating eligibility determinations, and providing reporting necessary for program administration, evaluation, compliance, and performance tracking.

The selected firm shall work collaboratively with OER, REF, participating developers, installers and other Program partners as applicable, to support successful Program implementation while maintaining the confidentiality and security of applicant information.

Scope of Work

Through this RFP, the Corporation seeks proposals from qualified firms to provide household income verification services via a secure platform or customer portal and related support for the ASAP 2.0 Program.

The selected Firm shall perform the tasks outlined below and be prepared to support Program implementation upon contract execution.

TASK 1: Data Security and Data Protection Requirements

The selected Firm must implement and maintain a comprehensive data protection program that insures a secure verification process. The verification process, including any portal, platform or user interface, shall include the following:

- Data Collection should be minimized and selected Firm should collect only the minimum necessary personally identifiable information ("PII") needed to verify eligibility for household income requirements determined by program administrators.
- All PII must be encrypted in transit and at rest using industry-standard algorithms (e.g., AES-256, TLS 1.2+). Public-facing forms must utilize HTTPS.
- The selected Firm shall limit access to PII to only those personnel directly involved in verification processing. The selected Firm shall enforce role-based access control ("RBAC"), with logging and audit trails of all data access. The selected Firm shall implement multi-factor authentication for administrative access.
- The selected firm should ensure that all systems handling PII must be hosted in U.S.-based data centers. Hosting provider(s) must be compliant with relevant standards such as SOC 2 Type II or ISO 27001.
- The selected firm must retain data for the duration necessary to fulfill the verification purpose and in accordance with all applicable Corporation, state, and federal retention policies, requirements, regulations, and laws. Upon expiration of the retention period, all PII must be securely disposed of.
- The selected Firm must maintain an incident response plan. Any actual or suspected data breach involving PII must be reported to the Corporation within 24 hours of discovery.
- All employees of the selected Firm with access to PII must receive annual data privacy and security training.
- The selected Firm shall require all its employees with access to PII to execute confidentiality and acceptable use agreements in a form and substance acceptable to the Corporation.
- The selected Firm's collection, use, storage, transmission, retention, and disposal of PII shall comply with all applicable federal, state, and local laws and regulations, including, at a minimum: 1) The Rhode Island Data Transparency and Privacy Protection Act and
  2) NIST Special publication 800-53 Revision 5, ISO/IEC 27001:2022 certification, or a SOC 2 Type II attestation covering the Security and Confidentiality Trust Services Criteria.

Other frameworks may be accepted at the Corporation's sole discretion when supported by an independent third-party assessment.

TASK 2: Develop and Launch a Secure Platform for Verifying Household Income

The selected Firm will be responsible for providing a robust, accessible, swift, efficient and secure process for receiving, processing, and verifying household income from applicants for participation in the ASAP 2.0 Program, while minimizing the burden on participating applicants. Deliverables for this process shall include:

- The selected Firm must establish and host a platform to receive and triage incoming requests for verification from members of the public, free of charge to the consumer. Security and privacy should be core considerations. System functionality and features shall include, but are not limited to: 1) Optionality and accessibility for submitting documents, such as use of mobile device or via physical mailing; 2) Optionality and Accessibility for submitting documents, such as use of a mobile device or via physical mailing; 3) Ability to track the status of individual requests and generate/export data for reporting purposes; and 4) Data validation within form fields to ensure ease of use.
- Hosting services shall include but are not limited to: 1) Providing ongoing maintenance, and any associated databases and servers. This includes regular full backups, anti-virus software, and timely application of service patches in alignment with hosting services to be agreed upon during contracting; 2) Providing support to troubleshoot and resolve operational errors in the platform; and 3) Providing free automatic basic updates to the platform.
- The selected Firm shall support categorical eligibility verifications based on participation in qualifying public assistance programs approved by OER and REF. Acceptable forms of documentation may include: 1) documentation of participation in SNAP, LIHEAT, Medicaid, Supplemental Security Income ("SSI)", Housing Choice Voucher (Section 8) and 2) documentation of participation in other qualifying programs designated by OER and REF.
- The selected Firm shall collect sufficient information to identify whether applicants reside within Environmental Justice communities or other priority populations designated by OER and REF. The selected Firm shall support reporting that enables OER and REF to track participation among Environmental Justice communities and other designated priority populations.
- The selected Firm shall establish procedures for validating categorical eligibility documentation and maintaining record of eligibility determinations. The selected Firm shall support the self-attestation process, as directed by REF and OER, with the applicable process and eligibility criteria to be determined prior to implementation. REF reserves the right to modify or remove the self-attestation option at any time.
- The selected Firm shall provide a range of accessibility options that may be of assistance to low-income and disadvantaged communities, including, but not limited to: 1) multiple

languages and translation options; 2) clear guidance on what is required for verification, how to access or acquire necessary documents, and alternatives where documentation is unavailable; and 3) processes for helping households rectify errors or mistakes, including via email, online support, and a telephone helpline.
- The selected Firm shall develop processes to ensure the accuracy of submitted data and eligibility verifications, including incorporating appropriate checks into data review and potential auditing of any applicant attested field (such as household size).

The selected Firm shall provide assurance of ASAP 2.0 eligibility by cross-referencing evident sources with eligibility thresholds provided by the program administrators. The Corporation anticipates multiple methods of verification; however, the Corporation expects to work with the selected Firm to enable options for nuances in income reporting and timing. Eligibility thresholds vary by number of household members; therefore, all approaches must be responsive to the size of the household and be capable of verifying against a collective total, including incomes for all applicable household members. Applicants should explain their methodologies for determining eligibility, based on submitted documentation.

Given the likelihood of complex or unique household situations to arise, alternative methodologies shall be developed in coordination with program administrators. Such methodologies may include, for example, cross-referencing combinations of pay stubs, signed earnings statements from an employer, and agricultural income certificate, and verified self-attestation.

A successful verification and intake process will be measured by the following metrics:

- Successful processing of all eligibility verification requests received during the contract period, with anticipated application volumes estimated at approximately 100 applications during the initial year of Program implementation. Actual application volume may be higher or lower than projected.
- Ability to process requests within ten (10) business days (further described in Task 3).
- System uptime and availability to applicants.

TASK 3: Build a Secure Process for Communicating Results to Applicants

The selected Firm will communicate the outcome of each verification request to enable household participation in ASAP 2.0 programming.

Within ten (10) business days of receipt of a verification request, the selected Firm shall notify the applicant, REF, and other program administrators of successful verification. Notification to the applicant shall be in a form the household has requested or specified digitally, physically, or both. The selected firm shall notify the applicant in a manner that integrates with other ASAP 2.0 Program platforms and processes.

Where a household does not pass verification, the Selected Firm shall notify the applicant of the determination and provide the applicant with the rationale for failing the verification check. The

applicant shall also be provided with information regarding the steps that the household may take to remediate any deficiencies and reapply using alternative documentation.

Participant satisfaction will be assessed through post-verification surveys for residents who were required to navigate remediation of errors or alternative verification approaches.

TASK 4: Report Verification Metrics to Program Administrators

The selected Firm shall ensure program administrators have sufficient data on verification requests for their internal and external reporting needs.

The selected Firm shall provide data to program administrators at least monthly and, where feasible, make such data available on an ongoing basis through the platform. Data provided shall include, at a minimum:

- Number of verification requests received.
- Number of verification requests received by city/town.
- Number of verification requests resolved, including the number of successfully remediated requests.
- Number of verification requests rejected.
- Number of days taken to process applications/verification requests.
- Anonymized data regarding the income levels of successfully verified applicants.

TASK 5: Auditing

The selected Firm will make available reporting and a selection of data as needed. The selected Firm shall maintain records, documentation, and reporting necessary to support OER, REF, and any applicable federal or state oversight, monitoring, auditing, and compliance requirements associated with the ASAP 2.0 Program.

The selected Firm shall maintain all records, eligibility determinations, supporting documentation, communications, and reporting associated with ASAP 2.0 Program verification activities in accordance with applicable Corporation, state, and federal record retention requirements and make such records available to OER, RE and authorized auditors upon request.

The selected Firm shall cooperate with OER, REF and authorized federal, state, or third-party auditors by providing timely access to records, reports, data extracts and supporting documentation and by assisting with any monitoring activities, compliance reviews, corrective actions, or reporting requirements associated with the ASAP 2.0 Program.

TASK 6: Additional Services

The Corporation reserves the right to utilize the resulting contract for substantially similar income verification, eligibility determination, reporting, and related support services for other OER and REF-administered programs during the term of the agreement. The selected Firm shall demonstrate its capacity and ability to support additional programs as requested by OER or REF. Any additional

work shall be subject to mutual agreement, available funding, and applicable contract amendments and task orders, if required. Compensation for any additional service shall be based on the rates proposed by the Firm in its Cost Proposal, unless otherwise mutually agreed upon in writing.

Qualifications:

Proposers responding to this RFP must meet the following requirements and should demonstrate experience in the following areas:

Technical Expertise:

- Demonstrated experience providing income verification services, including familiarity with income verification methods and tools, such as Internal Revenue Services ("IRS") forms and processes. Demonstrated experience implementing robust security and privacy policies and procedures for protecting the privacy of sensitive personal information. All policies and procedures must comply with all applicable legal requirements, including Chapter 48.1 of Title 6 of the Rhode Island Data Transparency and Privacy Protection Act.
- Demonstrated ability to integrate verification process efficiently with ASAP 2.0 application and award processing systems and workflows.

Customer-centered approach:

- Demonstrated experience and proven background in developing and maintaining seamless and efficient customer journeys and fostering customer trust. Proposers should demonstrate experience interacting with public agencies.
- Demonstrated capability to provide access to all services and materials in the most commonly spoken languages in Rhode Island.

Insurance:

- Proposers must maintain active Cyber Risk or Cyber Liability Insurance policies with minimum coverage limits of $1,000,000 per occurrence and $2,000,000 aggregate, covering data breach response, network security liability, privacy liability, and regulatory defense and penalties.
- Insurance coverage including cyber liability and professional liability shall be maintained throughout the term of the contract and for a minimum of three (3) years following contract termination. This requirement is intended to ensure continued coverage for potential claims or liabilities arising from data-handling and compliance obligations during the term of performance, including any applicable state or federal record retention requirements.
- The Corporation reserves the right to request a Certificate of Insurance (COI) naming the Corporation as an additional insured and to review the full policy to ensure coverage is adequate for the nature and volume of PII being handled.

Project Timeline

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 Proposer is expected to begin upon the date of contract execution for a duration of one (1) year, with the option, exercisable at the Corporation's discretion, to extend the contract for up to two (2) additional one (1) year terms, for a maximum contract term of three (3) years.

Budget

Proposers to this RFP shall provide a proposed fee structure for providing services necessary to complete the proposed Tasks in the Scope of Work. Proposers shall include a total, maximum price to accomplish the scope items incorporated in the 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 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 included 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.

For reference, the total amount budgeted for income verification services is $150,000. The ASAP 2.0 program may conclude earlier than anticipated due to external factors, such as availability of funding.

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

<u>Research & Analytics:</u>

- 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 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 bidder with the highest score will be selected per the Corporation's purchasing guidelines. Final approval is contingent upon approval by the RI Commerce Board of Directors at a regularly scheduled meeting.

EVALUATION CRITERIA

	Points
OVERALL EXPERIENCE OF COMPANY & DEMONSTRATED RESULTS Our evaluation will include an assessment of the history of your company, your experience as it relates to the requirements within this RFP, evidence of past performance, quality and relevance of past work, experience with similar organizations, references, and related items.	**20**
QUALIFICATIONS OF PERSONNEL Our evaluation will include an assessment of the qualifications and experience of your managerial team, staff, subcontractors, and related items.	**20**
STRATEGIC THINKING/PLANNING APPROACH Overall approach and strategy described/outlined in the proposal and capacity to perform work within the specified timeframe.	**20**
PII HANDLING AND DATA SECURITY Our evaluation will assess Personally Identifiable Information (PII) collection methods, security controls, access management, data retention, employee training, incident response, and compliance with applicable security frameworks.	**20**
BUDGET APPROACH/COST EFFECTIVENESS Effective and efficient delivery of quality services is demonstrated in relation to the budget allocation.	**20**
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 of selected advisors outside of 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% ÷ 20%) x 6 which equals 3.6 points.

      See Appendix A for information and the MBE, WBE, and/or Disability Business Enterprise Participation Plan form(s). Bidders are required to complete, sign and submit these forms with their overall proposal. 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://assets.simpleviewinc.com/simpleview/image/upload/v1/clients/rhodeisland/RFP_RESPONSE_CERTIFICATION_COVER_FORM_88d2b6a2-2798-4d0f-81b8-cedbe5692088.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 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 § 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.

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 by 11:59 pm on October 6, 2026. 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 September 22, 2026. 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 September 29, 2026 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 <u>separate forms</u> 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**	

Rhode Island Commerce Corporation

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