



REQUEST FOR PROPOSAL (RFP) – BID# 7494365

2014 CONTINUING PRIMARY SEATBELT EDUCATION AND STATEWIDE PUBLIC OUTREACH INITIATIVE (ROUND 4)

**SUBMISSION DEADLINE: Wednesday, September 04, 2013 at 11:30 AM (ET)**

PRE-BID CONFERENCE:  NO  
 YES \_\_\_\_\_

Mandatory:  NO  
 YES: Any vendor who intends to submit a bid proposal in response to this solicitation must have its designated representative attend the mandatory pre-bid conference. The representative must register at the pre-bid conference and disclose the identity of the vendor whom he/she represents. Because attendance at the pre-bid conference is mandatory, a vendor's failure to attend and register at the pre-bid conference shall result in disqualification of the vendor's bid proposal as non-responsive to the solicitation.

Location: THERE ARE 3 PRE-PROPOSAL WORKSHOPS. ATTENDING AT LEAST ONE OF THESE MEETINGS IS MANDATORY. LOCATIONS, DATES AND TIMES ARE ON THE NEXT PAGE.

Buyer Name: *Lisa Hill*  
LISA HILL  
Title: CHIEF BUYER

QUESTIONS Prospective bidders are hereby notified that all questions pertaining to this contract must be submitted to the Department of Transportation in writing through its website at <http://www.dot.ri.gov/contracting/bids> by accessing the questions & answers menu located within the 'contracting', then 'bidding opportunities' link. Response to the submitted questions will also be posted under this link as an addendum as appropriate. Phone calls will not be accepted.

SURETY REQUIRED: NO

BOND REQUIRED: NO

PUBLIC COPY (R.I. Gen. Law 37-2-18(j)): This requirement applies to all public works projects (vertical and horizontal) exceeding Five Hundred Thousand (\$500,000) dollars and any combination of base bid plus all alternates.

DISK BASED BID:  NO  
 YES: See attached Disk Based Bidding Information

**NOTE TO VENDORS:**  
Vendors must register on-line at the Rhode Island Division of Purchases website at [www.purchasing.ri.gov](http://www.purchasing.ri.gov). Offers received without the completed four-page Rhode Island Vendor Information Program (RIVIP) Generated Bidder Certification Cover Form attached may result in disqualification.

**THIS IS NOT A BIDDER CERTIFICATION FORM**

**STATE OF RHODE ISLAND  
DIVISION OF PURCHASES**

**RFP 7494365**

**2014 CONTINUING PRIMARY SEATBELT EDUCATION AND STATEWIDE PUBLIC OUTREACH  
INITIATIVE (ROUND 4)**

**PRE-PROPOSAL WORKSHOP LOCATIONS**

PRE-PROPOSAL COMMUNITY WORKSHOPS	DATE/TIME:	LOCATION
	MONDAY, AUGUST 19, 2013 TIME: 2:00 P.M. – 4:00 P.M.	PROGRESS LATINO 626 BROAD STREET & FALES CENTRAL FALLS, RI 0863 (BEHIND CHURCH JESUS E O SENHOR)
	WEDNESDAY, AUGUST 21, 2013 TIME: 10:00 A.M. – 12:00 P.M.	JOHN HOPE SETTLEMENT HOUSE 7 THOMAS P. WHITTEN WAY PROVIDENCE, RI 02903
	THURSDAY, AUGUST 22, 2013 TIME: 2:00 P.M. - 4:00 P.M.	MOUNT HOPE NEIGHBORHOOD ASSOCIATION 199 CAMP STREET PROVIDENCE, RI 02906

**APPLICANTS MUST ATTEND AT LEAST **ONE** OF THE THREE AFOREMENTIONED PUBLIC COMMUNITY WORKSHOPS TO BE ELIGIBLE UNDER THIS GRANT APPLICATION. FORMAL ATTENDANCE AT EACH PUBLIC MEETING WILL BE RECORDED**

**THIS PAGE IS NOT A BIDDER CERTIFICATION FORM**

**STATE OF RHODE ISLAND  
DEPARTMENT OF TRANSPORTATION  
Office on Highway Safety  
RFP NO. 7494365**

**FFY 2014 CONTINUING PRIMARY SEATBELT EDUCATION PROGRAM AND STATEWIDE  
PUBLIC OUTREACH INITIATIVE – ROUND 4**

The Rhode Island Department of Administration/ Office of Purchases, on behalf of the Rhode Island Department of Transportation/ Office on Highway Safety (RIDOT/OHS) is seeking to obtain the fourth round of qualifying Highway Safety applications (HS-1) from non-profit community and faith based organizations that serve and assist underrepresented communities, including the *Lesbian, Gay, Bisexual and Transgender* community, to develop interventions designed to promote seat belt usage. The focus of this current initiative will be to provide educational programs that will increase seatbelt usage within the community. ***All activities shall be planned, executed, evaluated and invoiced by September 30, 2014***, the close of the Federal Fiscal Year (FFY), and must include performance measures that generate measurable results.

All fourth round FFY 2014 applications received will be initially technically reviewed and evaluated by RIDOT/OHS to ensure that proposals submitted qualify under the imposed National Highway Traffic Safety Association (NHTSA) SECTION 406 federal grant guidelines and to ensure the Applicant has both the organizational capability and financial capacity to provide the services proposed.

**Background/ Introduction:**

On June 30, 2011, the RI General Assembly passed and Governor Lincoln Chaffee signed legislation that made the failure to wear seatbelts by adults a primary offense in Rhode Island. The **Primary Seat Belt Law (RIGL 31-22-22)** allows law enforcement officers to issue a ticket to a driver or a passenger for not wearing a seat belt without any other traffic offense taking place. Under the new primary seatbelt law violators would face an \$85 fine.

Enactment of this primary seatbelt law made Rhode Island eligible for an additional \$3.7 Million in federal funding to be issued under SAFETEA-LU Program Grant SECTION 406 entitled "Incentive Grants to Support Increased Safety Belt Use Rates." The purpose of this program is to encourage the enactment and enforcement of primary seatbelt use laws and encourage increased seat belt safety use. A State may use these grant funds for any behavioral highway safety purpose or for any project that corrects or improves a hazardous roadway location or proactively addresses highway safety problems. However at least \$1 Million of the amount received by each State must be obligated for behavioral highway safety activities.

In line with the above State legislation and the subsequent federal funding directives, in 2012 RIDOT successfully advertised three solicitations for educational and creative ideas promoting seatbelt usage and safety in the targeted urban communities. The innovative responses received resulted in successful contract awards to several non-profit Rhode Island organizations currently providing seatbelt safety initiatives within their respective communities.

These initial grants executed through the three previous solicitations were not only reviewed and accepted at the State level but final acceptance was also received by the federal funding agency NHTSA ensuring strict adherence and compliance with the NHTSA Section 406 Grant guidelines.

**Program Concept/ Goal:**

The RIDOT/OHS current Highway Safety Plan identifies that about 90 percent of the population resides in urban areas, the largest of which is Providence, the State capital. Rhode Island has one of the fastest growing Hispanic and Southeast Asian communities in the nation. Since 1980, the Hispanic population of Rhode Island has more than doubled and this ethnicity makes up 12 percent of Rhode Island's population. African Americans, Asian Americans, and Native Americans now comprise nearly 9 percent of the State's population.

RIDOT's goal is to collaborate with multicultural organizations to develop and institute community based seatbelt interventions/initiatives to reach multicultural populations across Rhode Island with special concentration on the following eight urban communities: Providence, Pawtucket, Central Falls, Cranston, East Providence, Newport, Westerly, West Warwick, Charlestown, and Woonsocket.

**Program Objective:**

The program objective for services obtained under this initiative defines culture in terms of language, thoughts, communications, actions, customs, beliefs, and values of racial, ethnic, religious or social groups. Applicants are encouraged to think in terms of providing a multicultural approach having the ability to function effectively within the context of diverse community cultures.

Applications are requested from non-profit organizations with a strong knowledge and understanding of Rhode Island's minority communities promoting civic, educational, faith-based, health, law enforcement, media or youth inspired activities utilized to develop and provide feasible and sound approaches to enhance outreach and education with regard to minority seatbelt usage.

***Applications may include, but are not limited to the development of:***

- Culturally appropriate and translated educational and outreach tools, including posters, brochures, pamphlets, etc.
- Partner with faith based community organizations to conduct seat belt awareness among congregants through the utilization of "Buckle Up" messages with indoor/outdoor signs, electronic message boards, newsletter, inserts, informational materials, etc. This is an easy way to show your congregants and community that you care about them and that you endorse the life-saving value of seat belts.
- Creation and media placement of a Public Service Announcement on Radio/TV networks with highest ratings of Hispanic viewers, as well as the use of other ethnic media outlets.
- Creation of an educational video for immigrants communities served that may be unaware of the importance of seat belts and the implications of not buckling up.

***Outreach activities taking place throughout the year, including but not limited to:***

- Propose “seatbelt safety” theme to multicultural event organizers and work with them to provide a series of activities that will increase awareness of the importance of seatbelt use among attendees: Signs, posters, observation of drivers at the entrances and exits of churches and community centers.
- Work with community organizations that provide Adult Education Programs to incorporate the seatbelt into the student’s curriculum.
- Promote seat belt usage through use of an informational booth and/or materials set up at local ethnic celebrations; work with youth to promote seatbelt awareness through the use of arts expressions: rap, short theatrical sketch, spoken words, etc to be performed at these events.
- Partner with the Injury Prevention Center of RI and local law enforcement officers to offer safety belt checks.
- Art Contest with images depicting seatbelt usage/safety to be held in neighborhood youth groups.
- Create a toolkit on Multicultural approach to seatbelt safety. The purpose of this program might be to inform the public about how differently ethnic groups value seatbelt usage and myths/misconceptions that can prevent them from wearing a seatbelt. The toolkit may incorporate relevant resources about the demographic of these isolated cultures.
- Partner with local merchants to distribute coupons for a free gift to those observed wearing seatbelts. (for example merchants that have “drive through” windows).
- Provide informational “stuffers” to local grocery stores to include in customer grocery bags.
- Create a seatbelt safety campaign slogan or poster incorporating images of the community and the diversity of multi-lingual cultures.
- Integrate community presentations on seat belt usage. The following groups can benefit from these educational activities: immigrant groups, parent associations, faith based or artistic-cultural organizations; and local cable access television.
- Partner with local ethnic merchants and enforcement officers to organize seat belt check up events. Stop all cars entering the parking lot of the supermarkets to check for seat belt use. The market owners can provide rewards for those wearing seatbelt and encourage those who did not “to buckle up”. The same activity can be conducted at the same place the following months to measure if seatbelt usage has been increased. This activity will attract attention to the safety belt issue through positive interaction with motorists.
- Theatrical organizations can team up with hospitals and churches to create and present a faith-based play on the importance of buckling up. The play can be staged in area houses of worships.
- Work with schools and law enforcement agencies to coordinate seatbelt education sessions that will teach students about the dangers of not using seat belts and overall driving safety.

***Applicants who have previously submitted HS-1 Applications under the previous RIDOT seatbelt solicitations and were not selected may now update their initiatives accordingly and resubmit for re-consideration.***

***Additionally, any awarded initiative may also be re-considered for selection only if the original initiative presented and accepted has now been expanded in scope or area which must be clearly identified in the project description provided.***

Collaborations and/or partnerships with other multicultural organizations in development and submission of seatbelt outreach initiatives are encouraged. **Creative partnerships** may help to facilitate design and implementation of proposed services as well as provide outreach access to a larger part of the minority population.

Applicants shall have adequate financial resources to effectively perform the services proposed. **Financial partnerships** are encouraged to enable smaller CBO groups to support project cost. Applications must be well documented and explain any collaborative arrangements proposed.

#### **Contract Term and Annual Total Cost**

Approved services and defined costs awarded under this program will apply within the Federal Fiscal Year 2014 timeline ending on **September 30, 2014**; all expenditures must be received by RIDOT no later than September 30, 2014 in order to comply with FFY 2014 timeline. Under this fourth round, applicant organizations will have ONE year to develop and implement achievable programs that will affect a behavioral change and increase seat belt usage in the community that is identified and serviced by the organization.

**RIDOT/OHS requires that the proposed dollar value of each HS-1 Application submitted range in total dollar value between \$5,000.00 to \$100,000.00.** The sum of all individual grant awards issued as a result of this solicitation shall not exceed a total aggregate amount of **\$700,000.00** for FFY 2014 selected initiatives.

RIDOT/OHS anticipates multiple awards under this project 1) contingent upon individual technical adherence to federal guidelines and 2) subject to annual financial limitation for total awards generated.

**RIDOT/OHS reserves the right to revise/negotiate any selected CBO proposed initiative/cost in line with the limited funding available under this procurement.**

#### **NHTSA Project Requirements:**

**Allowable** project expenses under this Contract will include the following:

- Documented payroll, overhead and fringe benefits costs (i.e. utilities, internet, health insurance, dental, rent and any indirect expenditures);
- Documented Travel Costs (i.e. mileage, public transportation fares)
- Costs associated with seatbelt training (but not salaries to attend class/seminar)
- "New" seatbelt training materials
- *Expansion* of existing Seatbelt Programs already in place and activated (such as expanded outreach and usage)
- Promotional activities/collateral inclusive of pre-approved seatbelt messaging
- Purchasing advertising space/media spots (i.e. Billboard, TV /Radio commercial space)
- Audit Fees – only applicable if CBO annual aggregate costs exceed \$500K
- Indirect Cost Rates (ICR) shall not exceed 10% of the total cost of the project and should be proportional to the CBO's overall budget vs. the grant award. For example if the CBO's total budget is \$500,000 and they are awarded a grant for \$5,000 from RIDOT/OHS, the ICR for this project shall not exceed 1%.

**Unallowable** project expenses under this Contract will include the following:

- Gift Cards/Certificates/Card Awards
- Equipment including but not limited to sporting equipment and office equipment
- Food and travel costs shall be kept to a minimum and should be directly related to a seatbelt awareness activity. Food for planning meetings will not be paid for under this grant.
- Building construction, rehabilitation or remodeling.
- Office furniture and fixtures such as: chair, clock, desk, filing cabinet, etc.
- Alcoholic beverages.
- Lobbying.
- Stipends; all labor reimbursements shall be done on a contract basis.
- Sponsorship activities will not be considered for funding under this Grant, such as festivals, parades, sports tournaments, fairs, concerts, etc.
- Pageant events/supplies.
- Artistic performances (dances, singing), that are not directly related to a seatbelt educational activity.

The above referenced items are provided as potential expenditures under this initiative; final costs will be subject to RIDOT/OHS review and NHTSA oversight prior to final selection approval and award.

### **Project Disclosures**

All activities under this grant are considered public record and are subject to full disclosure. All meetings conducted as part of these grant activities shall be reported to RIDOT OHS. An attendance list, agenda and summary of discussions shall be submitted with monthly reimbursement requests.

### **Contract Terms/Conditions**

The RIDOT/OHS anticipates the award of multiple agreements to qualifying non-profit groups. **All services and activities associated with accepted initiatives must be planned, executed, evaluated by SEPTEMBER 30, 2014. Evaluation and final invoices are due no later than October 7<sup>th</sup>, 2014.**

Anticipated funding for this project will be 100% federal monies under the aforementioned NHTSA Federal Grant Program SECTION 406 specific to "Seatbelt Safety and Usage". Should federal funding for this project be ever reduced or ended, no other funding for this project will be made available. Notice of Contract Award/Purchase Order will be issued in accordance with the State's Purchasing Regulations and General Conditions of Purchase copies of which are available at [www.purchasing.ri.gov](http://www.purchasing.ri.gov). Delivery of goods and services as described herein shall be deemed acceptance of these requirements.

During the life of the contract, the successful CBO will be required to obtain prior approval, from RIDOT/OHS, for all proposed community based outreach program interventions.

For the purpose of open communication and project interaction, RIDOT reserves the right to perform CBO site visits at any time during the contract period.

## Compensation/ Invoice and Payment Terms

This request will result in a performance-based contract. Compensation will be based on the accepted Firm Fixed Pricing of the successful CBO. Monthly payments will be triggered by the successful completion and formal acceptance by the RIDOT/OHS of the defined critical deliverables and activity milestones in the accepted HS-1 Application as they are completed throughout the contract period.

Monthly invoices indicating the submission of deliverables and completion of activity milestones are to be accompanied by a listing of administrative and operating costs incurred to-date.

RIDOT/OHS will review and accept invoices for payment processing in a timely manner conditional upon satisfactory completion and acceptance of (1) all programmatic requirements and (2) complete, accurate submission of scheduled deliverables.

At the point of award, a Letter of Agreement along with the accepted HS-1 Application and executed Purchase Order will be issued by the RIDOT/OHS to the successful CBO along with a "Grants and Assurances" Agreement (G&A) confirming the contractual arrangements and mandated federal requirements. The authorized agent of the CBO will be directed to sign the G&A and remit original document back to the RIDOT/OHS. Upon receipt of the authorized G&A, the RIDOT/OHS will then issue a formal Notice to Proceed to the CBO to begin the work proposed.

## General Notifications

- All Respondents **MUST** register online at the RIVIP'S Internet website @ [www.purchasing.ri.gov](http://www.purchasing.ri.gov)
- A fully completed signed **RIVIP Bidder Certification Cover Sheet** – All four pages **MUST** accompany response submitted. Failure to make a complete submission inclusive of this three page document may **result in disqualification**. A copy of this 4-PAGE certification form should be in all proposals (originals and copies) submitted to the state for consideration.
- Should there be a need for assistance in registering and/or downloading any document, call (401) 574-8100 for RIVIP HELP DESK technical assistance. Hours: M–F 8:30 AM – 4:00 PM.
- The State does not require E-VERIFY compliance in any of its purchasing and/or hiring of services; however, Respondents are hereby advised that in line with the Federal Acquisition Regulations any federal contract based on the services requested may require that the State obtain evidence of EVERIFY compliance from the successful Respondent.
- The Rhode Island Department of Transportation, in accordance with Title VI of the Civil Rights Act of 1964, 42 U.S.C. §§ 2000d - 2000d-4 and 49 C.F.R. Part 21, Nondiscrimination in Federally-Assisted Programs of the Department of Transportation – Effectuation of Title VI of the Civil Rights Act of 1964, issued pursuant to such Act, hereby notifies all bidders that it will affirmatively insure that in any contract entered into pursuant to this advertisement, Disadvantaged Business Enterprises will be afforded full opportunity to submit bids in response to this invitation and will not be discriminated against on the grounds of race, color, sex, national origin, age, or disability in consideration for an award.

- All costs associated with developing or submitting documents in response to this Request and/or in providing oral or written clarification of its content shall be borne by the Respondent. The State assumes no responsibility for these costs.
- It is intended that an award pursuant to this Request will be made to a Prime Respondent, who will assume responsibility for all aspects of the work. Collaborative partnership(s) is permitted provided arrangement(s) is clearly identified along with the type of work to be performed in response to this solicitation.
- All pricing submitted will be considered to be ***firm and fixed*** unless otherwise indicated herein.
- Submissions in response to this solicitation are considered to be irrevocable for a period of not less than one hundred and twenty (120) days following the established due date and may not be withdrawn without the express written permission of the State Purchasing Agent.
- Responses misdirected to other State locations or which otherwise are not received by the State Division of Purchases by the established due date for any cause will be determined to be late and will not be considered. The office clock, for the purpose of registering the arrival of a document, is in the reception area of the Department of Administration (DOA), Division of Purchases, One Capitol Hill, Providence, Rhode Island.
- Respondents are advised that all materials submitted to the State for consideration will be considered to be public records as defined in RI Gen Laws 38-2, without exception, and will be released for inspection immediately upon request once an award is made.
- In accordance with RI Gen. Laws 7-1.1-99, no foreign corporation (a corporation established other than in Rhode Island) has the right to transact business in this State until it has procured a Certificate of Authority to do so from the Office of the Secretary of State (401) 222-2357. IF APPLICABLE, A COPY OF RESPONDENT'S CERTIFICATE OF AUTHORITY MUST BE INCLUDED AS PART OF THE SUBMITTED RFP LOCATED BEHIND THE FRONT PAGE OF EACH COPY OF THE PROPOSAL. FAILURE TO DO SO MAY RESULT IN AUTOMATIC DISQUALIFICATION.
- Although there is **NO DBE GOAL** assigned to this project, RIDOT encourages the utilization of DBE Firms on all projects. At the point of project completion RIDOT will determine and assess the overall DBE participation, if any, which will be attributed to the fulfillment of the Department's annual DBE Goal requirement.

#### **Required Forms:**

Besides the ***RIVIP Bidder Certification Cover Sheet*** -as required at the State level and obtained through the RIVIP website, RIDOT also requires that the following **FOUR (4) FORMS** be completed and included in your submission package in line with federal regulations and departmental policy. These FORMS will be reviewed for completeness and at the point of award will be made part of contract document.

- **DEBARMENT FORM:** Must be completed and signed by CBO authorized agent.

- **LOBBYING FORM:** Enter known project information on PAGE 1 (DESCRIPTION etc.); CBO must complete FORM and submit signed by an authorized agent of your Agency.
- **CONFLICTS DISCLOSURE STATEMENT:** In line with directions stated, completed FORM shall be signed and submitted accordingly.
- **W-9 FORM:** Must be completed and signed by CBO authorized agent. Form may be downloaded @ [www.purchasing.ri.gov](http://www.purchasing.ri.gov) .

**ALL FORMS (Except W-9) ARE ATTACHED TO SOLICITATION AND MUST BE COMPLETED AND COPIES SUBMITTED ALONG WITH EACH HS-1 APPLICATION SUBMISSION. ("ORIGINAL" & COPIES). PLEASE NOTE, FOR W-9 FORM ONLY, ONE (1) UNBOUND "ORIGINAL" COPY IS REQUIRED AT TIME OF SUBMISSION. COPIES OF W-9 NEED NOT BE INCLUDED IN INDIVIDUAL APPLICATION SUBMISSION.**

### HS-1 Application Process and Instruction

Interested CBO applicants must fully-complete the attached **HS-1 APPLICATION** along with the **required FORMS** for technical review and final selection recommendation. Applicants may either manually complete the "blank" HS-1 Application attached to this RFP or can access a "user friendly" electronic version available on the RIDOT website @ [www.dot.ri.gov](http://www.dot.ri.gov). Handwritten applications will **NOT** be accepted.

Applicants may attach additional sheets -as needed- to HS-1 application to document any or all of the responses requested. Please ensure that any additional sheets properly reference the matching response field. RIDOT will not be responsible for any mislabeled information cited.

An **"ORIGINAL" HS-1 plus SIX (6) COPIES** is required from each CBO applicant.

Applications will be evaluated and scored based on the following project specifics:

### **PROJECT INFORMATION** - Applicants must provide:

- A detailed description of their proposed initiative
- A defined objective
- A minimum impact/reach of **500 people**
- "Pre" & "Post" Surveys of intended audience
- Itemized tasks that will achieve the overall objective
- Activities and deliverables that will be utilized to meet the objective
- Activities proposed shall be age appropriate (**18-34 year old males**) and take place within targeted community demographics (specifically, Providence, Pawtucket, Central Falls, Charlestown, Cranston, East Providence, Newport, Westerly, West Warwick and Woonsocket.)
- Imagery and/or materials proposed shall be culturally appropriate and reflective of the ethnic diversity of the representative urban communities.
- Project timeframe (**October 1, 2013 – September 30, 2014**)
- Frequency of activity (i.e. number of community meetings) shall be disclosed along with
- The address and contact information of proposed location/venue for scheduled activity.
- If considering media placement as part of the project, a formal **MEDIA PLAN** is required with your submission.

Please keep in mind the following: Paid advertising can be a very powerful tool when used in conjunction with other known effective countermeasures. Alone, there is no known persistent effect on traffic safety related behavior – at least nothing powerful enough to result in crash or injury reductions. However, there are some countermeasures that have been proven to have a bottom line effect on traffic safety related behaviors in a variety of situations. *Examples of these include new laws, improved/more enforceable laws, and enforcement itself.* However, these countermeasures can work only when the public is aware of them. ***In order to maximize the effectiveness of paid media, it should be used only in conjunction with proven, effective programs, and when the message of the media is designed to call attention to these countermeasures.***

**PLEASE BE ADVISED THAT SPONSORSHIP ACTIVITIES WILL NOT BE CONSIDERED FOR FUNDING UNDER THIS PROJECT.**

Specific consideration will be given to Applicants who demonstrate a close relationship/ connection to the representative minority communities and organizations. Proven experience and outreach capabilities will be strongly evaluated. Include in your application the resume(s), job descriptions and job duties of the individuals that will be working under this seat belt grant.

**PROJECT IMPACT** - Proposed initiatives must:

- Be designed to promote seatbelt usage in the **male 18-34** year old target demographic
- Reach a minimum of **500 people**
- Have a measurable result as indicated by the completion of tasks submitted by the CBO

The impact of activities and materials proposed should encourage and persuade behavioral change with regard to **seatbelt use**, among this target demographic, as well as promote safe driving habits and personal safety. To achieve this goal, each Applicant's proposed initiative(s) will be evaluated based on cultural suitability and personal connection to the minority community or organization targeted. This project shall be tailored to minority outreach and participation in an effort to maximize educational impact.

Evaluation will focus on Applicant's relationship with the community or organization especially in terms of how this initiative will be integrated and utilized with regard to promoting seatbelt usage and safety.

**MEASURABLE PROGRESS** – Since this is a performance driven project, success shall be measured in terms of completed deliverables and/or milestones achieved. Measurable progress shall be determined based on behavioral patterns in place "before" proposed activities begin as compared to behavioral patterns "after" activities accomplished. "Pre" & "Post" Surveys are required to measure progress among the targeted population. The RIDOT/OHS will provide sample of "Pre" & "Post" surveys to the selected Grant recipients.

Evaluation will concentrate on measurable progress in terms of attainable goal(s) and project objective(s). Sustainability and feasibility of projected achievement(s) will be taken into consideration.

**COST** - Applicants shall provide an itemized breakdown (i.e. tasks, hours and expenses) with regard to firm and fixed TOTAL COST proposed. Evaluation will compare the level of project complexity against project cost. Applicant's organizational capability and financial capacity to

provide the services proposed will also be taken into consideration. **Attach a copy (1) of your annual Financial Operating Budget with your Application.**

When developing the TOTAL COST, a **cost per person analysis** should be performed. For example if a project costs \$5,000 and will only reach 200 people, the cost per person is \$25.00 and is VERY high and may not be considered for funding. **Total cost per person reached should not exceed \$10.00.**

### **UNDER \$5K – HS-1 Application Process**

Community organizations who wish to apply for a grant **less than \$5,000.00** (i.e. \$4,999.00 or less) are not required to submit their HS-1 initiative(s) through a formal RFP process but can submit their application(s) inclusive of the same federal and state requirements directly to the RIDOT/OHS for immediate review. UNDER \$5K applications will be reviewed for compliance to NHTSA requirements and upon acceptance will be awarded a federal grant for the services proposed.

Detailed **UNDER \$5K** Applications can be submitted at any time throughout the calendar year by contacting RIDOT's Highway Safety Coordinator Mr. Elvys Ruiz, B.S., M.S., at (401) 222-3024 Ext. 4441 or via email at [elvys.ruiz@dot.ri.gov](mailto:elvys.ruiz@dot.ri.gov).

### **“SAMPLE” APPLICATION FOR HIGHWAY SAFETY PROGRAM GRANT- FORM HS-1**

Generic project information is provided for Applicant in “shaded” HS-1 fields: each Applicant is required to complete all information requested in “non-shaded” fields. Application must be fully completed and inclusive of the requested information as detailed in this request.

Applicants may attach additional sheets -as needed- to HS-1 application to document any or all of the responses requested. Please ensure that any additional sheets properly reference the matching response field. RIDOT will not be responsible for any mislabeled information cited.

**PART I (To be completed by Project Director)**

<b>1. PROJECT TITLE BID NO. XXXXXXX - Primary Seatbelt Usage: Education and Statewide Public Outreach Program</b>		<b>2. TYPE OF APPLICATION</b> A. Initial <input type="checkbox"/> B. Revision <input type="checkbox"/> C. Continuation <input checked="" type="checkbox"/> NOTE: If you click on the wrong box—click again to undo and make correction	
<b>3. APPLICANT (NAME OF CONTACT)</b> Provide the name and contact information of the person responsible for submission.			
<b>A. NAME OF AGENCY</b> Provide formal name of individual/ group/ organization submitting the application. If submission is from partnership- both entities shall be defined.		<b>B. ADDRESS OF AGENCY</b> Provide formal address of individual/group/ organization submitting the application. This will be address through which all correspondence will be transmitted as well as any documentation issued.	
<b>C. GOVERNMENTAL UNIT: NOT APPLICABLE</b> <input type="checkbox"/> STATE <input type="checkbox"/> COUNTY <input type="checkbox"/> CITY <input type="checkbox"/> OTHER		<b>D. NAME/ ADDRESS OF GOVERNMENTAL UNIT: NOT APPLICABLE</b>	
<b>E. LOCATION OF PROJECT</b> Applicant shall define projected targeted audience – if statewide initiative or specify focus on certain area(s)			
<b>4. DURATION OF GRANT A. Period (Mo. Yr.)</b> From: October 1, 2013 To: September 30, 2014		<b>5. FUNCTIONAL AREA: SEATBELT USAGE</b>	
<b>6. DESCRIPTION OF PROJECT – What strategies, training and partnership(s) will be utilized. (Describe in detail on SCHEDULE A)</b>  This section must fully describe your proposed outreach initiative in detail. Specific information must be provided relative to the tasks and deliverables anticipated as well as identification of the staff assigned and roles defined. Applicants must be definitive in describing their relationship with the proposed minority community especially in terms of how this initiative will be integrated and utilized with regard to promoting seatbelt usage and safety. Description shall include a project schedule or timeline inclusive of proposed milestones and/or task deliverables.			
<b>7. BUDGET-Provide itemization as called for on SCHEDULE B</b>  This section must define all costs associated with the specific outreach initiative defined in FIELD 6. Itemized costs must include at a minimum hours / salaries associated with defined tasks and costs associated with direct expenses (i.e. printing, brochures etc.) Pricing must be tallied to define fixed and firm TOTAL PROJECT COST.			
<b>A. SOURCE OF FUNDS – NHTSA GRANT SECTION 406</b>			
(1) Federal		100%	<b>B. Specify how Non-Federal Share will be Provided (If applicable)</b> <b>NOT APPLICABLE</b>
(2) State		N/A	
(3) Political Subdivision		N/A	
(4) Other (Explain in SCHEDULE C)		N/A	
<b>TOTAL</b>		<b>100% FEDERAL</b>	

**A. PROJECT DIRECTOR** – Cite name of person responsible for overseeing management of project including all technical and financial responsibilities associated with proposed project.

(1) NAME ( FIRST, MIDDLE INITIAL, LAST)	(2) TITLE	(3) ADDRESS
(4) SIGNATURE		(5) TELEPHONE

**B. AUTHORIZING OFFICIAL OF GOVERNMENT UNIT**

(1) NAME ( FIRST, MIDDLE INITIAL, LAST) N/A	(2) TITLE N/A	(3) ADDRESS N/A
(4) SIGNATURE N/A		(5) TELEPHONE N/A

**PART II**

**Problem ID/ Project Description-** Detail the problem and how it is identified, how outcomes & goals will be measured. (Describe in Detail in SCHEDULE D)

*Proposed initiatives must promote seatbelt usage in the urban communities as defined in the RFP. Description shall focus how CBO applicant plans to access and engage these communities through defined tasks. Each task shall have a desired outcome and the success of project proposed must be measured by goals achieved. This section shall address and define these focal points.*

**A. Authorization to proceed with this highway safety project is requested. It is expressly agreed that this project constitutes an official part of the State's highway safety program for Fiscal Year 2013 and that said state highway safety program will meet the requirements of Public Law 89-564 and all administrative regulations established by the Federal Highway Administration. .**

**B. SUBMITTED BY:**

(1) NAME ( FIRST, MIDDLE INITIAL, LAST)
(2) TITLE
(3) SIGNATURE

(1) NAME (FIRST, MIDDLE INITIAL, LAST) Francisco Lovera, P.E.	(2) TITLE Chief Civil Engineer	(3) ADDRESS RIDOT Office on Highway Safety Suite 126, Two Capitol Hill Providence, RI 02903-1111
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(4) Signature	(5) Telephone:	(401) 222-3024 EXT. 4205
	E-Mail	<a href="mailto:flovera@dot.ri.gov">flovera@dot.ri.gov</a>

**SCHEDULE A GENERAL PROJECT INFORMATION**

**Include what strategies, training, and partnership(s) will be utilized**

**SEE HS-1 FIELD 6 --**

*Applicants may attach additional sheets as needed to document project narrative and pertinent information. Please ensure that any additional sheets properly reference the matching response field. RIDOT will not be responsible for any mislabeled information cited.*

**SCHEDULE A (Continued)**

**SCHEDULE B BUDGET AND PERSONNEL DATA SEE HS-1 FIELD 7 –**

*Applicants may attach additional sheets as needed to document project cost and expense breakdown. Please ensure that any additional sheets properly reference the matching response field. RIDOT will not be responsible for any mislabeled information cited.*

**PART I**

**ITEM 7A BUDGET FOR GRANT PERIOD**

**(A) Personnel Services**

**(B) Contractual Services**

**(C) Commodities**

**(D) Other Direct Costs**

**(E) Indirect Costs**

**TOTAL**

**\$**

**SCHEDULE C**

**EXPLANATION OF OTHER SOURCES AND FUNDS**

**NOT APPLICABLE**

**SCHEDULE D**

**Problem I.D. / Project Description – Detail the problem and how it is identified, how outcomes & goals will be measured.**

**SEE PART II – Problem I.D/ Project Description-**

*Applicants may attach additional sheets as needed to document project objectives/goals relative to seatbelt usage and safety. Please ensure that any additional sheets properly reference the matching response field. RIDOT will not be responsible for any mislabeled information cited.*

**SCHEDULE D**

**Problem I.D. / Project Description – Detail the problem and how it is identified, how outcomes & goals will be measured.**

**SEE PART II – Problem I.D/ Project Description-**

*Applicants may attach additional sheets as needed to document project objectives/goals relative to seatbelt usage and safety. Please ensure that any additional sheets properly reference the matching response field. RIDOT will not be responsible for any mislabeled information cited.*

**Scheduled Pre-Proposal Meeting and Community Workshop**

The following public events will be open to all interested Applicants for the purpose of clarifying the intent of this Request as well as the evaluative criteria to be used in the application review process.

<b>PRE-PROPOSAL COMMUNITY WORKSHOPS</b>	<b>DATE: TIME:</b>	<b>LOCATION:</b>
	<b>Monday, August 19, 2013</b> <b>TIME: 2:00 PM - 4:00 PM</b>	<b>Progreso Latino</b> <b>626 Broad St &amp; Fales</b> <b>Central Falls, RI 02888</b> <b>(Behind Church Jesus e o Senhor)</b>
	<b>Thursday, August 22, 2013</b> <b>TIME: 2:00 PM - 4:00 PM</b>	<b>Mount Hope Neighborhood Association</b> <b>199 Camp St.</b> <b>Providence, RI 02906</b>
	<b>Friday, August 23, 2013</b> <b>TIME: 10:00 AM - 12:00 PM</b>	<b>Saint Paul's Lutheran Church</b> <b>445 Elmwood Ave. Side Entrance</b> <b>Providence, RI 02907</b>

*Formal Attendance at each public meeting will be recorded. **Be advised potential Applicants MUST attend at least ONE (1) of the three aforementioned public meetings to be eligible under this Grant application. HS-1** Submissions received from Applicants who did not attend the required ONE (1) MEETING quota will **NOT** be considered for funding.*

Any questions regarding this requirement or for individuals requiring interpreting or hearing impaired services, may contact Mr. Elvys Ruiz, B.S., M.S, RIDOT Highway Safety Coordinator, (401) 222 3024 Ext. 4441 or via e-mail at [elvysruiz@dot.ri.gov](mailto:elvysruiz@dot.ri.gov) at least 72 HOURS prior to selected scheduled event.

**On-Line Questions**

Any pertinent questions subsequent to this solicitation may be posted at RIDOT'S "Bidding Opportunities" web page accessible at: <http://www.dot.state.ri.us/contracting/bids> and follow the link to "?" to submit questions for this solicitation. Responses to questions submitted for the subject project will also be posted under the same questions menu. A determination will be made by RIDOT, in coordination with the Division of Purchases, whether an addendum will be required. The Q & A Forum will disable 7 FULL CALENDAR DAYS prior to the due date for this project. Therefore, questions will not be accepted **after Midnight on August 27, 2013.**

**HS-1 Submission Requirements and Due Date**

HS-1 Application ("Original" plus SIX (6) copies) is to be either mailed or hand-delivered in a sealed envelope marked: "***RFP 7494365 - FFY 2014 CONTINUING PRIMARY SEATBELT EDUCATION PROGRAM AND STATEWIDE PUBLIC OUTREACH INITIATIVE – ROUND 4***" by

**September 4, 2013 no later than 11:30 A.M.** to:

**BY COURIER OR MAIL:  
RI Department of Administration  
Division of Purchases (2nd fl)  
One Capitol Hill  
Providence, RI 02908-5855**

**NOTE: Proposals received after the above-referenced due date and time will not be considered. SEE GENERAL INSTRUCTIONS AND NOTIFICATIONS.**

**Evaluation and Selection:**

A Technical Evaluation Committee (TEC) will be convened to review the HS-1 Applications received based on the following evaluation criteria:

**SELECTION CRITERIA:**

1. PROJECT INFORMATION	0-5 POINTS
2. PROJECT IMPACT/REACH	0-5 POINTS
3. MEASURABLE PROGRESS	0-5 POINTS
4. PROJECT COST & COST/PERSON REACHED	<u>0-5 POINTS</u>
MAXIMUM SCORE	20 POINTS

The Applicant submissions will be concurrently reviewed for acceptance by the federal funding agency for formal concurrence. Applications will be reviewed by the RIDOT/OHS for final selection recommendation. Once approval is finalized, the RIDOT/OHS will prepare contract award documents for each approved Applicant RIDOT/OHS will coordinate with the State's Division of Purchases to execute an authorized Purchase Order. Upon completion of formal award process, the RIDOT/OHS will issue a formal Notice to Proceed to each of the successful Applicants.

At any point during the review process, any application found to be substantially non-responsive will be removed from further consideration. Should the Applicant be unable to fulfill the terms and requirements of the Agreement or produce the deliverables as defined in the accepted HS-1 application, RIDOT may terminate this Agreement. Should such circumstances emerge RIDOT will issue 30 days written notice prior to terminating services and the applicant will deliver any finished or unfinished work products prepared, developed, furnished or obtained under the terms of this Agreement to RIDOT within 30 days from the date of written notice. RIDOT agrees to compensate the applicant for work performed up to the termination date based upon a percentage of work completed as applied to the Firm Fixed Price contract value.

***Notwithstanding the above, the State reserves the right to accept or reject any or all options, bids, proposals, and to act in its best interest.***

**Certification for Federal-Aid Construction/Consultant Contracts**

IN ACCORDANCE WITH PUBLIC LAW 101-1210 SECTION 319 (DEPARTMENT OF THE INTERIOR AND RELATED AGENCIES) THE PROSPECTIVE PARTICIPANT CERTIFIES, BY SIGNING AND SUBMITTING THIS BID OR PROPOSAL, TO THE BEST OF HIS/HER KNOWLEDGE AND BELIEF, THAT:

1. No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any Federal agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
2. If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any Federal agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352, Title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

**The prospective participant also agrees by submitting his or her bid or proposal that he or she shall require that the language of this certification be included in all lower tier subcontracts, which exceed \$100,000 and that all such subrecipients shall certify and disclose accordingly.**

**(R.I.D.O.T. APPENDIX C)**

## INSTRUCTIONS FOR COMPLETION OF SF-LLL, DISCLOSURE OF LOBBYING ACTIVITIES

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to Title 31, U.S.C. Section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with a covered Federal action. Use the SF-LLL-A Continuation Sheet for additional information if the space on the form is inadequate. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
2. Identify the status of the covered Federal action.
3. Identify the appropriate classification of this report. If this is a followup report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, state and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
5. If the organization filing the report in item 4 checks "Subawardee," then enter the full name, address, city, state and zip code of the prime Federal recipient. Include Congressional District, if known.
6. Enter the name of the Federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number, Invitation for Bid (IFB) number, grant announcement number, the contract, grant, or loan award number, the application/proposal control number assigned by the Federal agency). Include prefixes, e.g., "RFP-DE-90-001."
9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.
10. (a) Enter the full name, address, city, state and zip code of the lobbying entity engaged by the reporting entity identified in item 4 to influence the covered Federal action.  
(b) Enter the full names of the individual(s) performing services, and include full address if different from 10(a). Enter Last Name, First Name, and Middle Initial (MI).
11. Enter the amount of compensation paid or reasonably expected to be paid by the reporting entity (item 4) to the lobbying entity (item 10). Indicate whether the payment has been made (actual) or will be made (planned). Check all boxes that apply. If this is a material change report, enter the cumulative amount of payment made or planned to be made.
12. Check the appropriate box(es). Check all boxes that apply. If payment is made through an in-kind contribution, specify the nature and value of the in-kind payment.
13. Check the appropriate box(es). Check all boxes that apply. If other, specify nature.
14. Provide a specific and detailed description of the services that the lobbyist has performed, or will be expected to perform, and the date(s) of any services rendered. Include all preparatory and related activity, not just time spent in actual contact with Federal officials. Identify the Federal official(s) or employee(s) contacted or the officer(s), employee(s), or Member(s) of Congress that were contacted.
15. Check whether or not a SF-LLL-A Continuation Sheet(s) is attached.
16. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

Public reporting burden for this collection of information is estimated to average 30 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (03-48-00-46), Washington, D.C. 20503.

# DISCLOSURE OF LOBBYING ACTIVITIES

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352 - 0348-0046  
(see reverse for public burden disclosure)

<p>1. Type of Federal Action:</p> <p><input type="checkbox"/> a. contract  <input type="checkbox"/> b. grant  <input type="checkbox"/> c. cooperative agreement  <input type="checkbox"/> d. loan  <input type="checkbox"/> e. loan guarantee  <input type="checkbox"/> f. loan insurance</p>	<p>2. Status of Federal Action:</p> <p><input type="checkbox"/> a. bid/offer/application  <input type="checkbox"/> b. initial award  <input type="checkbox"/> c. post-award</p>	<p>3. Report Type:</p> <p><input type="checkbox"/> a. initial filing  <input type="checkbox"/> b. material change</p> <p>For Material Change Only:  year _____ quarter _____  date of last report _____</p>
<p>4. Name and Address of Report Entity:</p> <p><input checked="" type="checkbox"/> Prime                      <input type="checkbox"/> Subawardee  Tier ____, if known:</p> <p>Congressional District, if known: _____</p>		<p>5. If Reporting Entity in No. 4 is Subawardee, Enter Name and Address of Prime:</p> <p>Congressional District, if known: _____</p>
<p>6. Federal Department Agency:</p>	<p>7. Federal Program Name/Description:</p> <p>CFDA Number, if applicable: _____</p>	
<p>8. Federal Action Number, if known:</p>	<p>9. Award Amount, if known:</p> <p>\$ _____</p>	
<p>10. a. Name and Address of Lobbying Entity:</p> <p>(if individual, last name, first name, mi): _____</p>	<p>10. b. Individuals Performing Services (including address if different from No. 10a)  (last name, first name, mi): _____</p>	
<p>11. Amount of Payment (check all that apply)</p> <p>\$ _____                      <input type="checkbox"/> actual    <input type="checkbox"/> planned</p>	<p>13. Type of Payment (check all that apply):</p> <p><input type="checkbox"/> a. retainer  <input type="checkbox"/> b. one-time fee  <input type="checkbox"/> c. commission  <input type="checkbox"/> d. contingent fee  <input type="checkbox"/> e. deferred  <input type="checkbox"/> f. other; specify: _____</p>	
<p>12. Form of Payment (check all that apply):</p> <p><input type="checkbox"/> a. cash  <input type="checkbox"/> b. in-kind; specify: nature _____  value _____</p>		
<p>14. Brief Description of Services Performed or to be Performed and Date(s) of Service, including officer(s), employee(s), or Member(s) contracted, for Payment indicated in Item 11 (Attach Continuation Sheet(s) SF-LLL-A, if necessary):</p>		
<p>15. Continuation Sheet(s) SF-LLL-A attached:    <input type="checkbox"/> yes    <input checked="" type="checkbox"/> no</p>		
<p>16. Information requested through this form is authorized by title 31 U.S.C. section 1352. this disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.</p>		<p>Signature: _____</p> <p>Print Name: _____</p> <p>Title: _____</p> <p>Telephone No: _____ Date: _____</p>
<p><b>For Federal use Only:</b></p>		<p>Authorized for Local Reproduction Standard Form - LLL-A</p>

# DISCLOSURE OF LOBBYING ACTIVITIES

## CONTINUATION SHEET

Reporting Entity: \_\_\_\_\_ Page \_\_\_\_\_ of \_\_\_\_\_

## **CONFLICTS DISCLOSURE POLICY**

To ensure that the Rhode Island Department of Transportation (RIDOT) maintains the continued confidence and trust of the people of Rhode Island in carrying out its mission, prospective vendors must disclose any family (or other personal) relationships, associations or connections that the vendor, its affiliates, or employees, may currently have with any RIDOT employee. A Conflicts Disclosure Statement shall be submitted to RIDOT from the following:

- ❖ Owners;
- ❖ Directors;
- ❖ Principals;
- ❖ Officers, board members, or individuals with corporate authority;
- ❖ If the vendor is a partnership, the applicant's partners;
- ❖ If the vendor is a limited liability company, its members and managers;
- ❖ Employees with decision-making authority, including executive directors, managers or individuals in a similar position with corporate authority; and
- ❖ Shareholders with a controlling interest.



**CONSULTANTS**

**CERTIFICATION REGARDING DEBARMENT, SUSPENSION  
AND OTHER RESPONSIBILITY MATTERS  
PRIMARY COVERED TRANSACTIONS FOR PRIME CONSULTANTS  
AND LOWER TIER PARTICIPANTS (SUBCONSULTANTS ETC.)**

Appendix B - - certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion – Lower Tier Covered Transactions

**INSTRUCTIONS FOR CERTIFICATION:**

1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.

2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

4. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, have the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.

5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.

6. The prospective lower tier participant further agrees by submitting this proposal that it will include this clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--Lower Tier Covered Transaction," without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Nonprocurement List.

8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

**Certification Regarding Debarment, Suspension, Ineligibility And Voluntary Exclusion - - Lower Tier Covered Participants**

1. The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.

2. Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

**CERTIFICATION REGARDING DEBARMENT, SUSPENSION  
AND OTHER RESPONSIBILITY MATTERS  
PRIMARY COVERED TRANSACTIONS**

In accordance with the code of Federal Regulations, Part 49 CFR Section 29.510, the prospective primary participant \_\_\_\_\_ (name of Authorized Agent), \_\_\_\_\_ (Title), being duly sworn (or under penalty of perjury under the laws of the United States), certifies to the best of his/her knowledge and belief, that its principals:

- a. Are not presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from covered transactions by any Federal department or agency;
- b. Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
- c. Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification;
- d. Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.

Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall list exceptions below.

Exceptions will not necessarily result in denial of award, but, will be considered in determining contractor responsibility. For any exception noted, indicate below to whom it applies, the initiating agency, and the dates of the action. Providing false information may result in criminal prosecution or administrative sanctions. If an exception is noted the contractor must contact the Department to discuss the exception prior to award of the contract.

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\_\_\_\_\_  
Signature of Authorized Agent

\_\_\_\_\_  
Date