



## REQUEST FOR INFORMAL PROPOSAL (RFIP)

**Solicitation Number: 0615-133**

### **RFIP TITLE:**

Alaska Careline Mobile Application Development

Issued By  
STATE OF ALASKA  
Department of Health & Social Services  
350 Main Street, Room 6  
Juneau, Alaska 99801-1149  
or  
PO Box 110650  
Juneau, Alaska 99811-0650

Issue Date:  
**May 18, 2015**

Closing Date:  
May 29, 2015  

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4:00 PM Alaska Prevailing Time

Janice Neal  
Procurement Officer  
Phone: 907-465-5842  
Fax: 907-465-6421  
Email: [janice.neal@alaska.gov](mailto:janice.neal@alaska.gov)

## **Introduction**

The Alaska Department of Health & Social Services, Division of Behavioral Health (DBH) seeks to establish a contract for a mobile application to use on all Alaska smart phones for access to the Alaska Careline Crisis Intervention services.

## **Term of Contract**

The term of the contract will be from date of award through June 30, 2016.

Phase I – Application Development and Production (FY15 – Award – June 30, 2015)

Phase II – Mobile Application Launch, Distribution, and Content Management (FY16 - July 1, 2015 – June 30, 2016)

The anticipated completion and launch of the mobile application is August 1, 2015.

## **Contract Budget:**

The total budget for the completion of this project is \$25,000 (\$18,000 / Phase I - \$7,000 / Phase II). Proposals priced at more than **\$25,000** will be considered non-responsive and be rejected.

Phase I – Application Development and Production

Phase II – Mobile Application Launch, Distribution, and Content Management

## **Deadline for Receipt of Proposals and Addresses:**

Offerors must submit one proposal either via email or by mail. Proposals must reference in the address or email subject line the RFIP number and project name. Proposals must be received no later than 4:00 PM; Alaska Time on May 29, 2015 or the proposal will be considered non-responsive and be rejected.

***Cost proposals must be submitted in a separate sealed envelope or be a separate attachment when submitting by email. No portion of the cost proposal shall be included within the body of the proposal.***

If submitting a proposal via email, the technical proposal and cost proposal must be saved as separate PDF documents and emailed to **[hss.procurement.proposal@alaska.gov](mailto:hss.procurement.proposal@alaska.gov)** as separate, clearly labeled attachments, such as “Vendor A – Technical Proposal.pdf” and “Vendor A – Cost Proposal.pdf” (Vendor A is the name of the offeror). The email must contain the RFIP number in the subject line.

If submitting the proposal by mail the sealed package must be addressed as follows:

Alaska Department of Health & Social Services  
Contract Support Team  
Attention: Janice Neal  
Request for Informal Proposal (RFIP) Number: **0615-133**  
Project name: **Alaska Careline Application Development**  
350 Main Street, Room 6  
Juneau, Alaska 99801-1149

### **Contact Person**

Any technical or procedural questions regarding this RFIP should be addressed to the Procurement Officer using the contact information listed on the cover page of this document. All questions must be received in writing no later than 1:30 P.M., Alaska Time on May 21, 2015. No further questions will be allowed after this date.

### **STANDARD PROPOSAL INFORMATION**

#### **Required Review**

Offerors shall carefully review this solicitation without delay, for defects and questionable or objectionable matter. Questions, objections, or comments must be brought to the attention of the Procurement Officer. A protest filed based upon any omission, error, or the context of the solicitation will be disallowed if not brought to the attention of the Procurement Officer prior to the scheduled RFIP closing date. Verbal contact must be followed up with written notification.

#### **Conflict of Interest**

Each proposal shall include a statement indicating whether or not the firm or any individuals working on the contract has a possible conflict of interest (e.g., employed by the State of Alaska) and, if so, the nature of that conflict. The Commissioner, Department of Health and Social Services, reserves the right to cancel the award if any interest disclosed from any source could either give the appearance of a conflict or cause speculation as to the objectivity of the program to be developed by the offeror. The Commissioner's determination regarding any questions of conflict of interest shall be final.

Current grantees that propose to provide technical assistance to a group of grantees will be precluded from submitting a proposal unless a written statement of refusal of grant funds is attached. All proposals submitted by current grantees must indicate that grant awards will not be accepted for the duration of the contract and/or any quarterly advance that has already been received will be returned upon award of contract. Proposals submitted by current grantees without this statement shall be deemed non-responsive.

#### **Authorized Signature**

An individual authorized to bind the offeror to the provisions of the RFIP must sign the proposal. By signing their proposal, the offeror certifies that the proposal remains valid for at least ninety (90) days from the proposal receipt deadline.

By signing the proposal, the offeror certifies that all services provided under this contract by the contractor and all subcontractors shall be performed in the United States. Failure to comply with this requirement may cause the state to reject the bid or proposal as non-responsive, or cancel the contract.

#### **Aggrieved Respondents**

An interested party shall attempt to informally resolve a dispute with the Procurement Officer. If the attempt is unsuccessful, the interested party may protest

the solicitation or the award of a small procurement in accordance with Title 2 of the Alaska Administrative Code (AAC) 12.695.

### **ADA Certification**

The State of Alaska complies with Title II of the Americans with Disabilities Act (ADA) of 1990. Individuals with disabilities who may need auxiliary aids, services, and/or special modifications to submit a proposal should call the Procurement Officer named above to make necessary arrangements.

By signing their proposal, the offeror certifies compliance with the ADA of 1990 and that program; services and activities provided to the general public on behalf of the state under a contract resulting from this solicitation comply with the ADA of 1990, CFR, Part 35, Subpart B 35.130 of the federal government.

### **Business License**

Offerors must have a valid Alaska Business License (ABL) or application on file for one, by the date of award in order to provide services in the State of Alaska. Offerors should contact the Department of Commerce, Community, and Economic Development, Division of Occupational Licensing, P.O. Box 110806, Juneau, Alaska 99811-0806, for information on these licenses.

Note: The Alaska Business License is not required if the vendor is located out of state and performs a service outside the State of Alaska.

### **Insurance Requirements**

The successful offeror must provide proof of workers' compensation insurance prior to contract approval.

The successful offeror must secure the insurance coverage required by the state. The coverage must be satisfactory to the Department of Administration Division of Risk Management. An offeror's failure to provide evidence of such insurance coverage is a material breach and grounds for withdrawal of the award or termination of the contract.

Offerors must review form APPENDIX B1 in the attached EXAMPLE –Standard Agreement, for details on required coverage. No alteration of these requirements will be permitted without prior written approval from the Department of Administration, Division of Risk Management.

### **Federal Debarment, Suspension, Ineligibility and Voluntary Exclusion Lower Tier Covered Transactions**

Expenditures from this contract may involve federal funds. The U.S. Department of Labor requires all state agencies that are expending federal funds to have a certification filed in the proposal (by the offeror) that they have not been debarred or suspended from doing business with the federal government. Certification regarding Debarment, Suspension, Ineligibility

and Voluntary Exclusion Lower Tier Covered Transactions **(included in this document) must be completed and submitted with your proposal.**

<https://www.epls.gov/>

## **STANDARD CONTRACT INFORMATION**

### **Contract Approval**

This RFIP does not obligate the state until a contract is signed and approved by both parties. If approved, it is effective from the date of approval by the DHSS. The state shall not be responsible for work done, even in good faith, prior to DHSS approval of the contract.

### **Nondisclosure and Confidentiality**

Contractor agrees that all confidential information shall be used only for purposes of providing the deliverables and performing the services specified herein and shall not disseminate or allow dissemination of confidential information except as provided for in this section. The contractor shall hold as confidential and will use reasonable care (including administrative, physical and technological security ) to prevent unauthorized access by, storage, disclosure, publication, dissemination to and/or use by third parties of, the confidential information. "Reasonable care" means compliance by the contractor with all applicable federal and state law, including the Social Security Act, the Health Insurance Portability and Accountability Act ("HIPAA"), the Health Information Technology for Economical and Clinical Health Act ("HITECH Act"), and 45 C.F.R. Parts 160 and 164 ("Privacy and Security Rule"). The contractor must promptly notify the state in writing if it becomes aware of any storage, disclosure, loss, unauthorized access to or use of the confidential information.

The contractor shall comply with the business associate requirements set forth in HIPAA, the HITECH Act, and the Privacy and Security Rule if the contractor will be using or will have access to the protected health information (as defined in 45 C.F.R. 160.103) of DHSS, as part of the services performed by the contractor. The contractor shall be required to agree to the terms of, and sign, the HIPAA Business Associate Agreement as a condition of this contract if the contractor will be using or will have access to the protected health information of DHSS, as part of the services performed by the contractor.

Confidential information, as used herein, means any data, files, software, information or materials (whether prepared by the state or its agents or advisors) in oral, electronic, tangible or intangible form and however stored, compiled or memorialized that is protected health information (as defined in 45 C.F.R. 160.103); or classified confidential as defined by State of Alaska classification and categorization guidelines (i) provided by the state to the contractor or a contractor agent or otherwise made available to the contractor or a contractor agent in connection with this contract, or (ii) acquired, obtained or learned by the contractor or a contractor agent in the performance of this contract. Examples of confidential information include, but are not limited to: technology infrastructure, architecture, financial data, individually

identifiable health information, trade secrets, equipment specifications, user lists, passwords, research data, and technology data (infrastructure, architecture, operating systems, security tools, IP addresses, etc).

If confidential information is requested to be disclosed by the contractor pursuant to a request received by a third party and such disclosure of the confidential information is required under applicable state or federal law, regulation, governmental or regulatory authority, the contractor may disclose the confidential information after providing the state with written notice of the requested disclosure (to the extent such notice to the state is permitted by applicable law) and giving the state opportunity to review the request. If the contractor receives no objection from the state, it may release the confidential information within 30 days. Notice of the requested disclosure of confidential information by the contractor must be provided to the state within a reasonable time after the contractor's receipt of notice of the requested disclosure and, upon request of the state, shall seek to obtain legal protection from the release of the confidential information.

The following information shall not be considered confidential information: information previously known to be public information when received from the other party; information freely available to the general public; information which now is or hereafter becomes publicly known by other than a breach of confidentiality hereof; or information which is disclosed by a party pursuant to subpoena or other legal process and which as a result becomes lawfully obtainable by the general public.

### **Payment of Invoices**

Invoices are to be mailed directly to the Contract Administrator at the address on the Standard Agreement Form (contract document). The state will pay all invoices within thirty (30) days of payment approval by the Project Director.

## **BACKGROUND, SCOPE AND LOCATION OF WORK**

The Alaska Department of Health and Social Services, Division of Behavioral Health (DBH) is currently managing a contract with the Interior Center for Non-Violent Living for managing a statewide 24/7, crisis call center called the Alaska Careline. The service is free, anonymous and confidential and offers support to those who may be experiencing a substance abuse or mental health problem, or a behavioral health emergency such as acute depression, anxiety, thoughts of suicide and just need someone to talk to. Call center staff are well trained and can offer support and resources including community referrals to local behavioral health providers and treatment centers. Over the last several years, the Careline call volume has been growing steadily each year with over 10,000 contacts in 2014 which is approximately 25% from the previous year. The Careline also added a text service to be more responsive to Alaskans including youth and adults many of whom according to national data are now texting far more than talking on their phones as the primary form of electronic communication.

In order to continue to support enhanced services offered by Careline, The Division of Behavioral Health is looking to create a mobile application for Carline that could offer a variety of services and information that would not otherwise be accessible by calling or texting. The Careline has recently revamped their website ([www.alaskacareline.com](http://www.alaskacareline.com)) that allows Careline to keep up with relevant information related to behavioral health matters with a focus on help, hope, strength and resiliency. The Division anticipates that the new mobile application platform will work relatively seamlessly with the website, information contained, maintain the look and feel as well as action required to call or text Careline due to an individual including a i.e. friend, family member, neighbor, coworker or any Alaskan experiencing a behavioral health crisis.

### **Scope of Work**

The vendor will work with the Alaska Division of Behavioral Health (DBH) prevention team to deliver a mobile application service with the following capabilities:

**Consultant will prepare the following deliverables:**

#### **PHASE I**

- 1) Provide a level of branding and graphics customization respecting the brand and colors of the Alaska Careline, [www.carelinealaska.com](http://www.carelinealaska.com).
- 2) Support a variety of mobile devices to include Apple, Android and BlackBerry OS devices.
- 3) Support for multiple languages
  - o English will be required for the first release
  - o Content will be provided by DBH
- 4) Develop and deploy a mobile app in less than 30 days and create multiple versions of the application, and the ability to test the application prior to release, or prior to an update.
- 5) Have the ability to integrate with Facebook, Twitter, and YouTube as necessary to display social media information as designated on these services by DBH and the Alaska Careline.
- 6) Support push notification services
- 7) Ability to access analytics on downloads and usage statistics
- 8) Support pop-up messages or rotating banners in the application
- 9) Support location enabled directories of location information (i.e., Google maps) including: community mental health centers, hospital and emergency responders, counselors, other health services, events associated with training, awareness activities, walks, etc.)
- 10) Self-Assessments for Suicide and Depression Screening
  - o Support weighted self-assessments for individuals evaluating their potential need to access a medical service
  - o Self-assessment questionnaires and scoring will be provided by DBH and or the Alaska Careline.
- 11) RSS Feeds

- Display specified RSS feeds (ie: news, event alerts). Entries should be able to be shared using email, Facebook and Twitter
- 12) Text, Alert and Infographics/Maps
- Display one or more informational pages of HTML or text based content, highly customized data feed configured through the Content Management System, visual messaging around patient information organized in hi-res JPEG format and PDF viewing.

## **PHASE II**

- 13) Support a content management system to update content and features as needed.
- 14) Have the ability to integrate and display data as designated by DBH and the Alaska Careline.
- 15) Consumer Feedback
- Support 3<sup>rd</sup> Party survey tools for feedback from consumers.
  - Survey information system links will be provided by DBH.
- 16) Support YouTube video playlists highlighting services provided by Careline.
- 17) Postcard Feature (Advocacy)
- Support the generation of “inspirational” or “hope” messaging postcards using combination of text and images the users device that can be shared with friends using email, Facebook and Twitter.
  - Provides sharing of Careline campaigns using postcard feature to support advocacy of Careline and its partners.

Contractor will provide the management and operational services support to include:

## **PHASE I**

1. Provide graphics specification for the Alaska Careline logos and artwork.

## **PHASE II**

2. Application updates through content management services as needed or required.
3. Expand services to support additional modules inside the application or support additional standalone applications in the future.
4. Training on the system to designated employees as part of its content managed services and on best practices to advertise/promote the application.

## **Location of Work**

The location(s) the work is to be performed, completed and managed is at the contractor's work site.



By signature on their proposal, the offeror certifies that all services provided under this contract by the contractor and all subcontractors shall be performed in the United States.

If the offeror cannot certify that all work will be performed in the United States, the offeror must contact the procurement officer in writing to request a waiver at least 10 days prior to the deadline for receipt of proposals.

The request must include a detailed description of the portion of work that will be performed outside the United States, where, by whom, and the reason the waiver is necessary.

Failure to comply with this requirement or to obtain a waiver may cause the state to reject the proposal as non-responsive, or cancel the contract.

### **MINIMUM QUALIFICATIONS**

***In order to be deemed responsive, offerors must:***

The bidder should have professional experience in mobile application development, and must be able to demonstrate the following minimum qualifications.

- 1) A minimum of five (5) years' experience in mobile application development and providing content management services to health care organizations or government agencies.
- 2) Previous work with at least 5 other healthcare organizations or government clients with a minimum of one client that is in similar scope as outlined in this RFIP.

**Note: Please provide the start and end dates, including month and year, in which the minimum requirements were satisfied.**

Vendor must list the **page number(s)** showing that minimum responsiveness has been met. Evidence of meeting minimum prior experience must be shown in the Experience & Qualifications section of the offeror's proposal.

**An offeror's failure to meet these minimum prior experience requirements will cause their proposal to be considered non-responsive and their proposal will be rejected.**

### **EVALUATION CRITERIA**

**The total number of points used to score proposals is 100.** All proposals will be reviewed to determine if they are responsive. They will then be evaluated using the criteria set out below.

**Understanding of the Project (8 POINTS)**

Understanding will be an eight percent (8%) evaluation factor. Offerors should provide a concise narrative statement that illustrates their understanding of the requirements of the project and the project schedule.

**Methodology (15 POINTS)**

Methodology will be a fifteen percent (15%) evaluation factor. Offerors should provide a concise narrative statement that sets out the methodology they intend to employ if awarded the contract, illustrating how this methodology will serve to accomplish the work and meet the state's project schedule.

**Management Plan (12 POINTS)**

Management Plan will be a twelve percent (12%) evaluation factor. Offerors should provide a concise narrative statement that sets out the management plan they intend to follow, illustrating how this plan will serve to accomplish the work and meet the state's project schedule.

**Experience & Qualifications (15 POINTS)**

Experience and qualifications will be a fifteen percent (15%) evaluation factor. Proposals should demonstrate the applicable education and experience of the personnel designated to work on the project.

**Offeror shall demonstrate additional experience outlined below:**

- List any awards won for work performed for clients in the past
- Support a web-based, content management driven hosted mobile application service, including support options for changes in mobile OS systems, and 3<sup>rd</sup> Party APIs (ie: YouTube, Facebook, Twitter)
- Proven in-house social media marketing and mobility expertise that can be called on to support the deployment of mobile apps by the Alaska Division of Behavioral Health.
- Multi-version application support, including the support to test applications before they are released to the public on an ongoing basis.

**Cost (40 POINTS)**

Cost will be a forty percent (40%) evaluation factor. The lowest priced proposal will receive the maximum number of points allocated to cost. Other proposals for cost point allocation will be determined by the following formula:

$$\frac{\text{Lowest Cost Proposal} \times \text{Maximum Points for Cost}}{\text{Cost of Each Higher Priced Proposal}} = \text{TOTAL POINTS for cost}$$

### **Alaska Offeror's Preference (10 POINTS)**

If an offeror qualifies for the Alaska Bidder Preference, the offeror will also receive the Alaska Offeror's Preference. The preference will be ten percent (10%) of the total available points. This amount will be added to the overall score of each Alaska offeror after evaluation of proposals.

#### **5% Alaskan Bidder Preference**

An Alaska Bidder Preference of five percent will be applied prior to evaluation. The preference will be given to a person who:

- (a) holds a current Alaska business license and;
- (b) submits a proposal for goods or services under the name on the Alaska business license and;
- (c) has maintained a place of business within the state staffed by the offeror, or an employee of the offeror, for a period of six months immediately preceding the date of the proposal and;
- (d) is incorporated or qualified to do business under the laws of the state, is a sole proprietorship, and the proprietor is a resident of the state or is a partnership, and all partners are residents of the state and;
- (e) if a joint venture, is composed entirely of entities that qualify under (a)-(d) of this subsection.

#### **5% Alaska Veteran Preference**

An Alaska Veteran Preference of five percent will be applied prior to evaluation. The preference will be given to an offeror who qualifies under AS 36.30.170 (b) as an Alaska bidder and is a:

- (a) sole proprietorship owned by an Alaska veteran;
- (b) partnership under AS 32.06 or AS 32.11 if a majority of the partners are Alaska veterans;
- (c) limited liability company organized under AS 10.50 if a majority of the members are Alaska veterans; or
- (d) corporation that is wholly owned by individuals and a majority of the individuals are Alaska veterans.

In order to receive the Alaska Veteran Preference, proposals must include a statement certifying that the offeror is eligible to receive the Alaska Veteran Preference.

### **PROPOSAL FORMAT AND CONTENT**

The Department wishes to discourage unnecessarily lengthy and costly proposal preparation; however, all proposals must contain the following information in the following format. Proposals should be limited to the requested information and shall consist of six parts – Cover Letter, Understanding, Methodology, Management, Experience & Qualifications and Cost.

All pages must be consecutively numbered.

### **Cover Letter**

An individual authorized to bind the offeror to the provisions of the RFIP **must** sign the proposal. The cover letter should contain the offeror's complete name, mailing address, email address, telephone number; a statement confirming that the proposal is valid for ninety (90) days from the closing date for receipt of proposals; a statement confirming that the offeror will comply with all provisions of the RFIP; if applicable, provide notice that the offeror qualifies as an Alaska Bidder; provide an Alaska Business License number or certificate (if applicable); and a statement relating to any perceived or potential conflict of interest.

### **Cost Proposal**

The Cost Proposal must be submitted on the form provided in this document. **Only one copy of the Cost Proposal need be submitted and must be submitted in a separate, sealed envelope or as a separate e-mail attachment. No portion of the Cost Proposal shall be included within the body of the proposal. Failure to comply with this requirement may cause the state to reject the bid or proposal as non-responsive, or cancel the contract.**

Note: The purpose of the cost formula is to provide a mechanism for offerors to submit costs per hour in a manner that DHSS can evaluate and score and then use to establish billing rates for the resultant contract. The hours indicated below do not necessarily represent the actual hours the successful contractor will perform.

### **COST PROPOSAL**

Hourly Consultant Rate (\$\_\_\_\_\_) x 100 hours = \$\_\_\_\_\_

Phase I – Application Development and Production (FY15 – Award – June 30, 2015)

Total                \$ \_\_\_\_\_

Phase II – Mobile Application Launch, Distribution, and Content Management (FY16  
- July 1, 2015 – June 30, 2016)

Total                \$ \_\_\_\_\_

**TOTAL PROPOSED COST \$ \_\_\_\_\_**

**This page must be completed and submitted with all offers and received by the State at the time and date set for receipt of proposals.**

CHECKLIST

**IMPORTANT NOTE TO OFFERORS:** This checklist is provided to assist offerors and the Procurement Officer in addressing and/or locating specific requirements identified in the RFIP for the offeror's proposal. **Offerors must complete and return this form.** Completion of this form does not guarantee a declaration of responsiveness.

Offeror:

1. Evidence that the offeror holds a valid Alaska business license. (**Note:** Proof of business license is not required at time of proposal submission but is required prior to contract award if any of the services will take place in Alaska).

**Evidence is provided on page #\_\_\_\_\_.**

2. Evidence that the **budget does not exceed \$25,000.00** (\$18,000 / Phase I - \$7,000 / Phase II). (cost plan submitted separately)

**Evidence is provided on page #\_\_\_\_\_.**

3. Evidence that the offeror meets the minimum prior experience requirements.
  - a) A minimum of 5 years' experience in mobile application development and providing content management services to health care organizations or government agencies.

**Evidence is provided on page #\_\_\_\_\_.**

- b) Previous work with at least 5 other healthcare organizations or government clients with a minimum of one client that is in similar scope as outlined in this RFIP.

**Evidence is provided on page #\_\_\_\_\_.**

4. Evidence that the proposal has been signed by an individual authorized to bind the offeror to the provisions of the RFIP.

**Evidence is provided on page #\_\_\_\_\_.**

5. Evidence that the offeror has included a conflict of interest statement in the proposal.

**Evidence is provided on page #\_\_\_\_\_.**

6. Evidence that offeror has signed and returned the *Certification Regarding Debarment Suspension, Ineligibility and Voluntary Exclusion Lower Tier Covered Transactions* form.

**Evidence is provided on page #\_\_\_\_\_.**

**Request for Informal Proposal Evaluation Sheet**

**RFIP #0615-133**

**Total Number of Points = 100**

Evaluator Initials\_\_\_\_\_ Date\_\_\_\_\_

Proposal Company Name: \_\_\_\_\_

**Understanding of the Project – 8 Points**

- Did offeror provide a concise narrative statement that illustrates their understanding of the requirements of the project and the project schedule?

Comments:

**Total Points for Understanding: \_\_\_\_\_**

**Methodology – 15 Points**

- Did offeror provide a concise narrative statement that sets out the methodology they intend to employ if awarded the contract, illustrating how this methodology will serve to accomplish the work and meet the State's project schedule?

Comments:

**Total Points for Methodology: \_\_\_\_\_**

**Management Plan – 12 Points**

- Did offeror provide a concise narrative statement that sets out the management plan they intend to follow, illustrating how this plan will serve to accomplish the work and meet the State's project schedule.

Comments:

**Total Points for Management Plan: \_\_\_\_\_**



**Experience and Qualifications – 15 Points**

- Did offeror demonstrate the applicable education and experience of the personnel designated to work on the project?

Comments:

**Total Points Experience:** \_\_\_\_\_

**Grand Total:** \_\_\_\_\_

**Certification Regarding Debarment,  
Suspension, Ineligibility and Voluntary Exclusion  
Lower Tier Covered Transactions**

This certification is required by the regulations implementing Executive Order 12549, Debarment and Suspension, 29 CFR Part 98, Section 98.510, Participant's responsibilities.

The regulations were published as Part VII of the May 26, 1988 Federal Register (pages 19160-19211).

**(BEFORE COMPLETING CERTIFICATION, READ THE INSTRUCTIONS ON THE FOLLOWING PAGE WHICH ARE AN INTEGRAL PART OF THE CERTIFICATION)**

(1) The prospective recipient of Federal assistance funds certifies, by submission of this bid, that neither it nor its principals are 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 recipient of Federal assistance funds is unable to certify to any of the Statements in this certification, such prospective participant shall attach an explanation to this Proposal.

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Name and Title of Authorized Representative

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Signature

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Date

### **Instructions for Certification**

1. By signing and submitting this Proposal, the prospective recipient of Federal assistance funds is providing the certification as set out below.
2. The certification in this class 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 recipient of Federal assistance funds knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the Department of Labor (DOL) may pursue available remedies, including suspension and/or debarment.
3. The prospective recipient of Federal assistance funds shall provide immediate written notice to the person to whom this Proposal is submitted if at any time the prospective recipient of Federal assistance funds 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 recipient of Federal assistance funds 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 DOL.
6. The prospective recipient of Federal assistance funds further agrees by submitting this Proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transactions," 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 List of Parties Excluded from Procurement or Non-procurement Programs.

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 DOL may pursue available remedies, including suspension and/or debarment