

Request for Proposal (RFP)

RFP #: 1060-02-004

Issued on: May 24, 2011

For: Promote Awareness and use of Zinc & ORS for the Treatment of Children Diarrheal Amongst Rural, Medical, Practitioners, Drug Stores and Mothers/Caregivers

Period of Performance: Jul 2011 to 30th June 2013

Proposal Deadline: Jun 14, 2011, at 5:00 pm in India

BACKGROUND

US Fund for UNICEF has tasked AED-ARTS, LLC, a subsidiary of the Academy for Educational Development (hereinafter referred to as "AED-ARTS"), in partnership with a consortium of organizations to implement 'Diarrhea Alleviation Through Zinc and ORS Therapy (DAZT)' project to reduce and rationally manage childhood diarrhea. DAZT reduce morbidity and mortality related to diarrheal disease among children under 5 years of age, through deployment of new and improved approaches to scale up Zinc and Oral Rehydration salts (ORS) for diarrhea treatment through both public and private sector channels in two states (Gujrat and Uttar Pradesh) in India. Ultimately this project aims to reduce the burden of diarrhea on child health and increase child survival in India, and contribute to improved child health outcomes and provide actionable information for diarrhea treatment and dehydration management efforts around the world.

An important component of the project is to promote the use of Zinc tablets/syrup & ORS solution (Low-osmolarity ORS) as first line of treatment of childhood diarrhea. Extensive research conducted over the last several years in many countries including India has substantially demonstrated the usefulness of giving new Low Osmolarity ORS and Zinc as the first line treatment for childhood diarrhea. This treatment reduces stool output, frequency and duration and helps prevent morbidity and mortality due to diarrhea. The 10 - 14 day course of Zinc also helps in reducing the chances of diarrhea recurrence in the next 3 months. WHO and UNICEF have declared this to be the first line of treatment of childhood diarrhea, which has also been endorsed by IAP (Indian Academy of Pediatrics). Several Indian Pharmaceutical companies have introduced Zinc formulations which are being increasingly prescribed by pediatricians in mainly urban areas.

PURPOSE

The project goal is to ensure long-term sustainability of zinc treatment by expanding commercial production and usages of Zinc & ORS products in Uttar Pradesh and Gujrat.

Diarrhea Alleviation Through Zinc and ORS Therapy (DAZT) was deliberately designed to engage the private sector in the development, marketing, sale, and local acceptance of Zinc & ORS treatment for diarrheal episodes.

This RFP is to be carried out in Gujarat where the DAZT Project is being implemented among rural health care providers & mothers.

Objective:

The main purpose of this RFP is to increase awareness & usages of Zinc & ORS among Rural Health Care Providers & Mothers. The project will involve promoting interactions between multiple partners such as pharmaceutical manufacturers, NGOs, public health agencies and professional bodies like IAP, IMA, NIMA, UPCDA and others. The project will work extensively with rural health care practitioners & drug stores to reinforce the introduction of new diarrhea treatment practices.

The major indicators of success of DAZT project will be

- % Rural Health Care Providers sensitized to use ORS & Zinc Therapy for the treatment of childhood diarrhea through interpersonal communication.
- 75% of the users gave a full course of zinc & ORS to their wards during and after an episode of diarrhea.
- % of the caregivers/mothers aware and use of Zinc & ORS for the home based treatment of childhood diarrhea.
- Develop a cost effective business models between NGOs and private sector leading to
 1. Increase knowledge and practice of rational diarrhea management among Rural Health Care Providers
 2. Creating business for long term partnership between NGO and private sector.

Project Area

DAZT project will be implemented in 6 districts of Gujarat as mentioned below:
Patan, Surendranagar, Panchmahal, Sabarkantha, Banaskantha, and Dahod.

Proposal

ARTS is requesting that interested agencies bid on the following Scope of Work to increase awareness & usages of Zinc & ORS among Rural Health Care Providers & Mothers.

Scope of Work

The bidders will submit proposals for the project implementation. The project funded by the subcontract will reach rural health Care providers, Caregivers, drug stores & households. The proposal should describe in details the intervention Area, Project Model/Approach, Activity, M& E Plan and Manpower, expected outcome.

DAZT will supervise the contractor throughout project to ensure technical adequacy of the work. This will involve the contractor seeking DAZT assistance during the formulation of

project strategies, manpower selection etc. DAZT representative will be present during the project activities. The contractor will not make any changes in the approved the project without the written approval of DAZT India.

The proposal should also include a capability statement that reflects experience carrying out similar project. It should include the curriculum vitae of the principal staff and roles of other staff that will work on the project, and identify the percentage of time each person will dedicate to the project. The selected proposal will be revised and finalized in collaboration with AED-ARTS.

The proposal submitted for the interventions with Rural Health Care providers and Mother/Caregivers, sensitization approach should be described separately and total proposal should not be more than 15 pages excluding budget. For the reference Rural health Care Provider and mother & caregiver proposal outline is given below.

Guidelines for the Proposal to Reach Rural Health Care Providers (Rural Practitioners & Drug Stores) and Mother & Caregivers-

1. **Project Area:** - DAZT will implement the project in 6 districts of Gujarat to sensitize all Rural Health Care Providers and in select Taluka mothers or Caregivers will also be targeted. **Proposal may be submitted for all the 6 districts or a select number of district(s) depending upon the presence and capacity of the agency.**

2. **Project Strategy/Model/Approach:** - The project has two broad approaches – one all the Rural Health Care providers will be targeted under the project in all the taluka of all the 6 districts and second mothers or caregivers of at least one taluka in each districts. Proposal must have clearly well-defined strategies and activities for both the target groups – 1. Rural Care Health Providers and 2. mothers/Caregivers to achieve the project objectives. Proposal may also highlight what is that unique idea organization has to carry out the work and why it will be successful.

3. **Project Activity:** - Please present a list of activities with explanation.

4. **Expected Outcomes/Results Of The Project (Qualitative and Quantitative):** - What this intervention will lead to? Please give numbers.

Example - Number of children who suffered from diarrhea took Zinc for 14 days. Or
 Number of Rural Health Care Providers knows about use of ORS and Zinc
 during diarrhea.
 Number of High Prescribers among rural health care provider.

5. **Monitoring Plan:** Describe how the project progress and/or outcome can be monitored.

6. **Human resource:** Mention number of persons organization will recruit and at what level. Give an organogram for this project. Please note that DAZT is planning to sensitize each & every Rural health care provider based at village/block/tehsil/district level and caregivers of one Taluaka/block in each district.

Intervention Districts	Total No. of Taluka/blocks	No. of Taluka/blocks for sensitization of Health Care providers	No. of Taluka/blocks for sensitization of Health Care providers and caregivers/Mothers
1. Patan	7	6	1
2. Surendranagar	10	9	1
3. Banaskantha	12	11	1
4. Sabarkantha	13	12	1
5. Panchmahal	11	10	1
6. Dahod	7	6	1
Total	60	54	6

CONTRACT MECHANISM

This subcontract will be issued as a firm, Fixed Price subcontract with a fixed payment schedule. If an award is issued it will include a fixed price payment schedule, with payments based upon completion of – and AED-ARTS approval of – deliverables specified in the Sub-Contract Schedule

A line item budget, presented in local currency ONLY, is to be presented (sample format attached) showing anticipated costs of the proposed project. Include as much detail as possible. A brief narrative explanation and justification for each line item must be included in a separate section entitled “budget notes.” Include data to support actual costs and/or methodologies to support cost estimates. All projected costs must be in accordance with the organization’s standard practices and policies as mentioned in **Annex A** below.

SUBMISSION REQUIREMENTS

AED is asking interested offerors to provide:

- I. **Capability and Technical Experience Statement** – not to exceed three pages, indicating the following:
 - I. **Timeline** – The contractor will be responsible for developing a timeline of activities for the project implementation so the timeline is adhered to and the work completed in a timely manner. AED-ARTS anticipate awarding the contract by and the selected organization should be prepared to commence work immediately.

Particulars	MONTHS											
	1	2	3	4	5	6	7	8	_	_	_	24
Activity 1												
Activity 2												
Activity 3												
Activity 4												
Activity 5												

II. **Cost Proposal** – Please include signed and correctly completed bio-data 1420 sheets for key personnel staff that will work on this activity (see Appendix A) as part of your cost proposal. Provide a budget that reflects as accurately as possible the real costs for these activities (See Appendices B and C for definitions and a sample format). The budget should be broken down by labor costs (please include the names of the people who will do the work; and unit costs with an explanation of how each unit cost was reached including travel costs, overhead or agency fees, indirect and direct costs.) All agency fees must be clearly stated including the basis on which they will be applied. Please provide agency price list or “rate card” for these items or activities, if available.

Offerors will submit with their proposals a proposed budget with sufficient detail to allow evaluation of elements of costs proposed. **Budgets should be submitted in the attached budget template.** Please also include a **statement** in the Cost Proposal that the prices/costs contained therein must be valid for at least 180 days from the date of submission. This must be stated in the Cost Proposal.

III. **Staffing** - Please identify no more than three key personnel to include their names, experience and the percentage of time they will spend on this activity. Include a resume (maximum three pages in length) of each key personnel.

IV. **References** - Please include three (3) client references from entities to which similar services were provided during the past three (3) years. These references should include the name of the company, contact person, telephone and fax numbers, and email addresses.

V. **Certifications** – Refer to Appendix D. Please note that certifications must be signed off by written signatures. Typed signatures are not acceptable.

NOTE

In responding to this Request for Proposals (RFP), Proposals should also include:

- The institution's previous experience with similar activities in promoting rural health care activities with mothers & caregivers or with rural health care providers.
- The resume (not more than 2 pages) of all key personnel included in their proposals.
- Complete contact information in order for AED-ARTS to respond to proposals, respond to issues raised by offerors to this RFP, and negotiate the purchase order. Complete contact information includes names, titles, and responsibilities for personnel; organizational street and mailing addresses; and phone/fax numbers and e-mail addresses of key individuals. Any additional relevant administrative/organizational information should also be provided.
- AED-ARTS will not compensate bidders for its preparation of its response to this RFP.
- The offeror should read the instructions carefully before submitting a proposal. Any discrepancy in following these instructions or contract provisions may disqualify a proposal without recourse on an appeal for reconsideration at any stage.
- All written proposals and prices submitted must be valid for a period of not less than ninety (90) calendar days from the closing date indicated above. If an award is executed, AED-ARTS expects the price to be locked in on a fixed price basis for the period of performance specified.
- Although present plans are to enter into discussions with those firms most highly ranked following evaluation of proposals, AED-ARTS reserves the right to award without discussions. Hence, proposals should be submitted initially on the most favorable terms, from a price and technical standpoint, which the offeror can submit to AED-ARTS.
- Proposal should be submitted in Arial Font – 11, and should follow the exact guidelines as mentioned in the guidelines for proposals to, under Scope of work.

CRITERIA FOR EVALUATION

All proposals received by the stated closing date will be evaluated and ranked according to the conditions described in selection criteria below. Each proposal will be evaluated by a review committee based on evidence of the following items:

Our aim is to select the most appropriate, qualified and experienced organization to partner with us on these critically important activities. Therefore, the bidding process and the RFP have been designed to provide an objective framework within which the technical capabilities and cost basis of all competing organizations can be meaningfully evaluated and compared. Through this RFP, all competing agencies are being provided with the same information and parameters for their response.

Designated DAZT staff will review the proposals. It is DAZT's intention to enter into final negotiations with the organization (or organizations) whose proposal reflects the best value in

terms of technical quality and cost effectiveness. If a best and final round of questions is deemed necessary by the selection committee, finalists will be contacted to provide additional information or presentation of their proposal.

1. Technical Scores

Technical Command and Grasp 40 points

- Detailed Strategy/Creativity
- Description of approach and methodology to implement
- Reasonableness of implementation timeline

2. Staff and Quality Control Mechanisms 15 points

- Quality and suitability of the project supervisor to handle the project
- Description of supervisory staff, and their experience implementing project

3. Experience/Past Performance 15 points

- Organization background, capabilities.
- Previous experience in implementing health projects.
- Experience in team building

4. Financial Scores

Finance and Administration 30 points

- Reasonableness of costs to complete the assignment
- Detailed and comprehensive cost presentation
- Concordance of the budget with the proposed activities

The offeror(s) securing the highest score will be invited for negotiations.

According to the review criteria stated, price will be a factor in determining the winning proposal. However, all evaluation factors other than cost or price, when combined, are significantly more important than cost or price.

RFP RESPONSE INFORMATION

Proposals should be submitted by **June 14, 2011, at 5:00 pm in India**. Any explanation desired by a prospective offerors regarding the meaning or interpretation of this solicitation must be requested in writing to Mr. Pravin Kumar Jha, Manager M & E, by June 1, 2011. Any additional information given to a prospective offeror will be considered an amendment of the solicitation and will be provided to all other prospective offerors.

Proposals should be submitted in electronic version to aedartsindia@gmail.com and in hardcopy to:

Mr. Pravin Kumar Jha
M & E Manager
AED-ARTS
2-C/2, Parkwood Apartments
Rao Tula Ram Marg,
New Delhi-110022

LATE SUBMISSIONS, MODIFICATIONS, AND WITHDRAWALS OF PROPOSALS

At the discretion of AED-ARTS, any proposal received at the office designated in the solicitation after the exact date and time specified for the receipt may not be considered unless it is received before award is made and it was determined by AED-ARTS that the late receipt was due solely to mishandling by AED-ARTS after receipt at its offices.

Proposals may be withdrawn by written notice, email or facsimile received at any time before award. Proposals may be withdrawn in person by an offeror or his authorized representative, if the representative's identity is made known and the representative signs a receipt for the proposal before award.

FALSE STATEMENTS IN OFFER

False Statements in Offer - Offerors must provide full, accurate and complete information as required by this solicitation and its attachments.

Discrepancies - Please read the instructions carefully before submitting your proposal. Any discrepancy in following the instructions or contract provisions may disqualify your proposal without recourse or an appeal for reconsideration at any stage.

Ownership - Proposals and any products produced should an award be executed become property of AED-ARTS. If an award is executed, the activities will be considered to be "work-made-for hire."

- END OF RFP -

ANNEX A

BUDGET AND FINANCIAL INFORMATION

This subcontract will be issued as a firm, Fixed Price subcontract with a fixed payment schedule. If an award is issued it will include a fixed price payment schedule, with payments based upon completion of – and AED-ARTS approval of – deliverables specified in the Sub-Contract Schedule

A line item budget, presented in local currency ONLY, is to be presented (sample format attached) showing anticipated costs of the proposed project. Include as much detail as possible. A brief narrative explanation and justification for each line item must be included in a separate section entitled “budget notes.” Include data to support actual costs and/or methodologies to support cost estimates. All projected costs must be in accordance with the organization’s standard practices and policies.

Salaries - For each person (or category of personnel), specify the amount of time projected to be spent working on the project and what total salary this represents for each person. List names of individuals if known.

Fringe Benefits - For each person, indicate the cost of fringe benefits, such as social security, health insurance, yearly bonus, vacation allowance, etc. Identify the items included in the fringe benefit calculation. Where benefits are calculated separately from salary, they should be consistent with local and national laws and policies. The rate must be consistent with fringe benefits rates used in other contracts.

Travel and Transportation - Indicate mode of travel; estimate number of trips, cost per trip (transportation and expenses or per diem), and number of travel days per trip. Include local travel expenses such as gasoline or mileage, taxis, etc. Note: purchase of vehicles is not allowable.

Consultants - Show anticipated fees for consultants hired in-country. Indicate number of days and cost per day (must be in accordance with local rates). Hiring of consultants from a third country is not permitted.

Other direct costs - All other costs, including supplies, printing, postage/shipping, telephone, utilities, equipment maintenance, translations, etc.

Indirect Costs - Indirect costs are overhead expenses incurred as a result of the project but not easily identified with the project’s activities. These are administrative expenses that are related to overall general operations and are shared among projects and/or functions. Examples include executive oversight, accounting, grants management, legal expenses, utilities, and facility maintenance. In so far as possible, identifiable (allocable) costs should be requested and justified in the proposal as direct costs, including those for dedicated ongoing project management, facilities and support. Please provide detailed financial backup documentation to

substantiate the rates you assess. The foundation only allows the indirect cost rates (10% and 15%) to be applied to sub- contracts that are designated for research and development.

To the extent that indirect costs are applicable to a Foundation grant, such costs are subject to the following limitations:

- 0% for governmental agencies, other private foundations and for-profit organizations
- up to 10% for U.S. universities
- up to 15% for all other non-governmental organizations (NGOs), international organizations and non-U.S. universities

These rates are the maximum we allow under the Foundation's policy. If an applicant has an indirect- cost rate lower than the maximum provided above, the applicant should not increase the funding request to the maximum.

1. Applicant/Employee Name <i>(Last, First, Middle)</i>	2. Contractor's Name	
	Academy for Educational Development	
3. Applicant/Employee Address	4. Contract No.	5. Position Under Contract
	6. Expected Salary <i>(in local currency)</i>	7. Proposed Salary <i>(in dollars for budget purposes)</i>

8. Telephone Number	9. Place of Birth	10. Citizenship
11. Country of Assignment/Hiring		12. Duration of Assignment/Employment

13. EDUCATION <i>(include all college or university degrees)</i>				14. LANGUAGE PROFICIENCY <i>(See instructions on reverse)</i>		
NAME AND LOCATION OF INSTITUTION	MAJOR	DEGREE	YEAR	LANGUAGE	Proficiency Speaking	Proficiency Reading

14. EMPLOYMENT HISTORY	15. Salary: Net ___ Gross ___
	16. Employment Period/Salary: <i>(most recent first/in currency paid)</i>

Give last three (3) years. List salaries separate for each year. Continue on separate page if necessary.		From	To	Amount

SPECIFIC CONSULTANT SERVICES (give last three (3) years)

SERVICES PERFORMED	COMPANY'S NAME AND ADDRESS POINT OF CONTACT & TELEPHONE #	Dates of Service (MM/DD/YY)		Daily Rate (in local Currency)	Days at Rate
		From	To		

18. CERTIFICATION: To the best of my knowledge the above facts as stated are true and correct.

19. CONTRACTOR'S CERTIFICATION: (To be signed by responsible representative of Contractor)

Contractor certifies in submitting this form that it has taken reasonable steps (in accordance with sound business practices) to verify the information contained in this form. Contractor understands that US FUND FOR UNICEF may rely on the accuracy of such information in negotiating and reimbursing personnel under this contract. The making of certifications that are false, fictitious, or fraudulent, or that are based on inadequately verified information, may result in appropriate remedial action by US FUND FOR UNICEF, taking into consideration all of the pertinent facts and circumstances, ranging from refund claims to criminal prosecution.

Signature of Contractor's Representative	Date
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AED-ARTS/US FUND FOR UNICEF Local Staff 1420 (2003)

INSTRUCTIONS

Applicant/Employee to complete blocks 1, 3, 8-10, 13-17 and sign block 18.

Indicate your language proficiency in block 14 using the following numeric Interagency Language Roundtable levels (Foreign Service Institute levels). Also, the following provides brief descriptions of proficiency levels 2, 3, 4, and 5. "S" indicates speaking ability and "R" indicates reading ability. For more in depth description of the levels refer to US FUND FOR UNICEF Handbook 28.

2 Limited working proficiency

S Able to satisfy routine social demands and limited work requirements.

R Sufficient comprehension to read simple, authentic written material in a form equivalent to usual printing or typescript on familiar subjects.

3 General professional proficiency

S Able to speak the language with sufficient structural accuracy and vocabulary to participate effectively in most formal and informal conversations.

R Able to read within a normal range of speed and with almost complete comprehension.

4 Advanced professional proficiency

S Able to use the language fluently and accurately on all levels.

R Nearly native ability to read and understand extremely difficult or abstract prose, colloquialisms and slang.

5 Functional native proficiency

S Speaking proficiency is functionally equivalent to that of a highly articulate well-educated native speaker.

R Reading proficiency is functionally equivalent to that of the well-educated native reader.

PAPERWORK REDUCTION ACT INFORMATION

The information requested by this form is necessary for prudent management and administration of public funds under US FUND FOR UNICEF contracts. The information helps US FUND FOR UNICEF estimate overseas logistic support and allowances; the educational information provides an indication of qualifications; the salary information is used as a means of cost monitoring and to help determine reasonableness of proposed salary.

PAPERWORK REDUCTION ACT NOTICE

Public reporting burden for this collection of information is estimated to average thirty minutes per response, including the 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 this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to:

**CERTIFICATIONS – MUST BE COMPLETED AND SIGNED BY EACH BIDDER
AND RETURNED AS PART OF THE PROPOSAL SUBMISSION PACKAGE**

Certifications

CERTIFICATION REGARDING TERRORIST FINANCING

By signing and submitting this application, the prospective recipient provides the certification set out below:

1. The Recipient, to the best of its current knowledge, did not provide, within the previous ten years, and will take all reasonable steps to ensure that it does not and will not knowingly provide, material support or resources to any individual or entity that commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated, or participated in terrorist acts, as that term is defined in paragraph 3.

2. The following steps may enable the Recipient to comply with its obligations under paragraph 1:
 - a. Before providing any material support or resources to an individual or entity, the Recipient will verify that the individual or entity does not (i) appear on the master list of Specially Designated Nationals and Blocked Persons, which list is maintained by the U.S. Treasury's Office of Foreign Assets Control (OFAC) and is available online at OFAC's website: <http://www.treas.gov/offices/eotffc/ofac/sdn/t11sdn.pdf>, or (ii) is not included in any supplementary information concerning prohibited individuals or entities that may be provided by US FUND FOR UNICEF to the Recipient.

 - b. Before providing any material support or resources to an individual or entity, the Recipient also will verify that the individual or entity has not been designated by the United Nations Security (UNSC) sanctions committee established under UNSC Resolution 1267 (1999) (the "1267 Committee") [individuals and entities linked to the Taliban, Usama bin Laden, or the Al Qaida Organization]. To determine whether there has been a published designation of an individual or entity by the 1267 Committee, the Recipient should refer to the consolidated list available online at the Committee's website:

<http://www.un.org/Docs/sc/committees/1267/1267ListEng.htm>.

- c. Before providing any material support or resources to an individual or entity, the Recipient will consider all information about that individual or entity of which it is aware and all public information that is reasonably available to it or of which it should be aware.
- d. The Recipient also will implement reasonable monitoring and oversight procedures to safeguard against assistance being diverted to support terrorist activity.

3. For purposes of this Certification-

- a. “Material support and resources” means currency or monetary instruments or financial securities, financial services, lodging, training, expert advice or assistance, safehouses, false documentation or identification, communications equipment, facilities, weapons, lethal substances, explosives, personnel, transportation, and other physical assets, except medicine or religious materials.”
- b. “Terrorist act” means-
 - (i) an act prohibited pursuant to one of the 12 United Nations Conventions and Protocols related to terrorism (see UN terrorism conventions Internet site: <http://untreaty.un.org/English/Terrorism.asp>); or
 - (ii) an act of premeditated, politically motivated violence perpetrated against noncombatant targets by subnational groups or clandestine agents; or
 - (iii) any other act intended to cause death or serious bodily injury to a civilian, or to any other person not taking an active part in hostilities in a situation of armed conflict, when the purpose of such act, by its nature or context, is to intimidate a population, or to compel a government or an international organization to do or to abstain from doing any act.
- c. “Entity” means a partnership, association, corporation, or other organization, group or subgroup.

- d. References in this Certification to the provision of material support and resources shall not be deemed to include the furnishing of US FUND FOR UNICEF funds or US FUND FOR UNICEF -financed commodities to the ultimate beneficiaries of US FUND FOR UNICEF assistance, such as recipients of food, medical care, micro-enterprise loans, shelter, etc., unless the Recipient has reason to believe that one or more of these beneficiaries commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated or participated in terrorist acts.

- e. The Recipient's obligations under paragraph 1 are not applicable to the procurement of goods and/or services by the Recipient that are acquired in the ordinary course of business through contract or purchase, e.g., utilities, rents, office supplies, gasoline, etc., unless the Recipient has reason to believe that a vendor or supplier of such goods and services commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated or participated in terrorist acts.

This Certification is an express term and condition of any agreement issued as a result of this application, and any violation of it shall be grounds for unilateral termination of the agreement by AED-ARTS prior to the end of its term.

For Subcontractor:

Signature: _____

Typed Name: _____

Title: _____

Name of Organization: _____

Date: _____

1. CERTIFICATION REGARDING DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS -- PRIMARY COVERED TRANSACTIONS

(a) Instructions for Certification

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

2. The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.

3. The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

4. The prospective primary participant shall provide immediate written notice to the department or agency to whom this proposal is submitted if at any time the prospective primary participant learns that this certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

5. 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 meaning set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549. You may contact the department or agency to which this proposal is being submitted for assistance in obtaining a copy of those regulations.

6. The prospective primary 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 entering into this transaction.

7. The prospective primary participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--Lower Tier Covered Transaction," provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

8. 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 methods and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Nonprocurement List.

9. 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 dealing.

10. Except for transactions authorized under paragraph 6 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 may terminate this transaction for cause or default.

(b) Certification Regarding Debarment, Suspension, and Other Responsibility Matters--Primary Covered Transactions

(1) The prospective primary participant certifies to the best of its knowledge and belief, the it and 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 judgement 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 proceeding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.

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

Name:

Title:

Date:

2. CERTIFICATION REGARDING DEBARMENT, SUSPENSION, INELIGIBILITY AND VOLUNTARY EXCLUSION – LOWER TIER COVERED TRANSACTIONS

Instructions for Certification: 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 A covered transaction, A debarred, A suspended, A ineligible, A lower tier covered transaction, A participant, A person, A primary covered transaction, A principal, A proposal, and A voluntary excluded, as used in this clause, has 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 A 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 Non-Procurement 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 Transactions:

(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.

Name:

Title:

Date: