### Request for Quote/Proposal (RFQ/RFP)

<table>
<thead>
<tr>
<th>Commodity/Service Required:</th>
<th>Online Course on education sector futures thinking</th>
</tr>
</thead>
<tbody>
<tr>
<td>Type of Procurement:</td>
<td>Purchase Order (LPO)/Subcontract Agreement</td>
</tr>
<tr>
<td>Type of Contract:</td>
<td>Firm Fixed Price</td>
</tr>
<tr>
<td>Term of Contract:</td>
<td>March to April 2022</td>
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<tr>
<td>Contract Funding:</td>
<td>AID-OAA-TO-16-00017</td>
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<tr>
<td>This Procurement supports:</td>
<td>USAID’s ACR Philippines Capacity Building and Education Exchanges program</td>
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<tr>
<td>Submit Proposal to:</td>
<td>Josephine Marcos Operation Specialist at <a href="mailto:jmarcos@rti.org">jmarcos@rti.org</a></td>
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<tr>
<td>Date of Issue of RFP:</td>
<td>February 9, 2022</td>
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<tr>
<td>Date Questions from Supplier Due:</td>
<td>February 14, 2022</td>
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<td>Date Proposal Due:</td>
<td>February 23, 2022</td>
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<tr>
<td>Approximate Date Purchase Order Issued to Successful Bidder(s):</td>
<td>March 011, 2022</td>
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**Method of Submittal:** Via email to jmarcos@rti.org

Respond via e-mail with attached document in MS Word / pdf format.

The Bidder/Seller agrees to hold the prices in its offer firm for 60 days from the date specified for the receipt of offers, unless another time is specified in the addendum of the RFP/RFQ.

**Solicitation Number:** ACR Philippines-RFP/RFQ-2-FY22

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RTI International is a trade name of Research Triangle Institute. RTI and the RTI logo are U.S. registered trademarks of Research Triangle Institute.
The offeror should respond to this RFP by submitting:

- A technical offer following the structure of this RFP, describing bidder's plan to implement and assure quality of implementation of each of the tasks, training curriculum program design and schedule, propose personnel with their CV, citing prior work of the same kind, providing references similar work for previous clients.

- A financial offer including the cost estimate of the course with corresponding number of trainees; the term of payment and the tax (if applicable). This will be a fixed-price agreement, with payment based on completion of the deliverables as outlined under the SOW section. The bidder should propose milestones and payment amounts as part of the financial offer.

- Required Documents. The following documents should be included as part of the proposal.
  a. Supplier Company Profile Form (See Annex 1)
  b. Proof of company legal registration.

The selected bidder will be required to complete following documents:

  a. International Reps and Certs (See Annex 2)
  b. DUNS number. To register the DUNS number see the guidance in Annex 3.

Attachments to RFP:

1. Attachment “A” – Commodity Specifications
2. Attachment “B” – Instructions to Bidders/Sellers
3. All PO Terms and Conditions are listed on our website at: [https://www.rti.org/sites/default/files/rti-purchase-order-terms-and-conditions-v1.16.pdf](https://www.rti.org/sites/default/files/rti-purchase-order-terms-and-conditions-v1.16.pdf), [http://www.rti.org/files/PO_FAR_Clauses.pdf](http://www.rti.org/files/PO_FAR_Clauses.pdf) or for commercial items: [http://www.rti.org/files/PO_FAR_Clauses_Commercial_Items.pdf](http://www.rti.org/files/PO_FAR_Clauses_Commercial_Items.pdf) (hereinafter the “Terms”). Supplier’s delivery of products, performance of services, or issuance of invoices in connection with this purchase order establishes Supplier’s agreement to the Terms. The Terms may only be modified in writing signed by both parties.

All bidders/sellers are responsible to carefully review each attachment and follow any instructions that may be relevant to this procurement.

RTI International is a trade name of Research Triangle Institute. RTI and the RTI logo are U.S. registered trademarks of Research Triangle Institute.
Attachment A
Commodity Specifications or Statement of Work

Statement of Work

Indicate a description of the activity/service that is expected from the supplier. Provide product specifications or service expectations (both if applicable). Include deliverables, timelines, and any special terms and conditions.

DESCRIPTION OF ACTIVITY/SERVICE:

Background

RTI International is an independent international organization dedicated to conducting innovative, multi-disciplinary research that improves the human condition. RTI is currently implementing a portfolio of technical assistance (TA) activities on behalf of USAID/Philippines and DepEd designed to improve Kindergarten through Grade 3 education delivery with a focus on increasing impact, scale, and sustainability of early grade reading. The activities will directly contribute to USAID’s education goal to improve early grade reading skills for 100 million children by providing technical and logistical services to USAID/Philippines. Additionally, we will build the capacity and leadership of DepEd to support high impact early grade reading programs through evidence-based, actionable research and targeted training programs.

Under this activity, RTI will provide Capacity Building Support to DepEd for its activities relating to the promotion of education futures thinking across the DepEd leadership and more specifically, the future of learning spaces for literacy in primary school education. The education futures capacity building initiative, “Co-creating Learning Spaces for Early Language Literacy and Numeracy in the Philippines”, is supporting DepEd’s Education Futures Unit to prepare for the future of learning by understanding futures thinking methodology, and engaging in strategic activities to develop “Future Learning Spaces”. In November 2021, 14 people were enrolled in the National University of Singapore’s “Futures Masterclass”, building the capacity of senior management to guide regions in foresight thinking through policy development.

The next step is to train the DepEd Regions, specifically the regional and divisional administrators and literacy teachers, in co-creating learning spaces for the future for early grade learners. To this end, RTI is seeking a training provider who can deliver the training to 40 regional Deped staff and teachers and the DepEd Education Futures team.

Description of Services requested

The contractor will deliver an online course for education administrators within 5 selected regions in the Philippines with an approximate total of forty regional and divisional administrators and literacy teachers. This coursework would provide the necessary background to support participating divisional offices in selected regions develop education futures prototypes that would be locally defined. The focus of these prototypes will be related to literacy; that is, “Futures Learning Spaces for Literacy Learning”.

The training provider will deliver a training program that builds participants’ capacity to apply futures thinking to the education context and to operationalize these concepts with practical tools.
and approaches - to include consultative and dialogue tools; planning and analysis; and local level initiatives/approaches.

Thus, the training will stimulate participant ideas related to specific education content surrounding the central theme of “Learning Spaces for the Future: Pedagogical, Technological, and Socio-Cultural Considerations,” including but not limited to the following topics:

- sustainable and inclusive learning spaces for positive education and learner flourishing
- Learning spaces embodying the Science of Learning
- Learning spaces for new literacies, multiliteracies, and fluencies for early grade learners/young
- Learning spaces for AI in Education, STEM, and computational thinking
- Evolving Role of Teachers and the Futures of Learning Spaces
- Knowledge Mobilization and Translation in the Learning Spaces for the Future
- Innovative Blended/Hybrid Learning Spaces

The training hopes to explore the pedagogical, technological, and socio-cultural considerations in creating learning spaces for the future. It draws upon the fountain of knowledge on positive education, assessments, multiliteracies, new fluencies, science of learning, and technologies and their embodiment in learning spaces. It aims to discuss how the roles of teachers will evolve in light of the transformations in learning spaces.

Considering the breadth of these offerings and the specific goals of the futures education initiative and capacity building activity, the training provider shall offer their training from their existing contents and accommodate the above topics or themes for customization for DepEd as needed.

**Target participants:** Training participants will include administrators and literacy teachers from five selected regions and two divisions within each of the five selected regions. This coursework will help prepare the administrators to co-create a locally defined education futures prototype. Members of the DepEd Education Futures Unit will also participate to provide over-all guidance and support to the regional prototype development.

**Participant Objectives:**

- Understand the pedagogical, technological, and socio-cultural considerations in planning for learning spaces of the futures.
- Participate in consultative dialogues with experts to ensure futures education planning for learning spaces is informed by a broad and diverse group of district educators.

**Minimum criteria of the training provider:**

- More than 5 years of local and international training delivery experience in the education field
- List of similar training programs that cover trainings on learning spaces, educational leadership and governance, educational policy and planning, among others
- Track record including list of clients for similar training services
- Pool of training experts with accreditation/certification as trainers
PRODUCT OR SERVICE EXPECTATIONS (BOTH IF APPLICABLE):

We would like the provider to propose an all-inclusive training package that will include:

- Description of course
- Prior experience and references of previous training clients (preferably in the public sector)
- Detailed course learning objectives, including but not limited to participant objectives listed above.
- Proposed content of course given in module format
- Proposed schedule/timeline/duration of the course
- Proposed training methods and delivery modality
- Proposed staffing, to include as relevant: managers, lecturers, consultant advisors, trainers, module content experts/designers, and management and administration.
- Proposed Budget. All inputs included in the proposed costs (i.e., staffing, materials, audio-visuals, certification, etc. and cost per participant or lump sum for a minimum/maximum number of participants.

The technical proposal shall be evaluated on:

- The extent to which the proposed curriculum/training considers the specific requirements of the capacity building activity as described above.
- The ability of the training plan/schedule to cover topics in an integrated manner, in line with the capacity building principles/requirements outlined above.
- The extent to which the training methods can be expected to translate into applied learning and contribute into prototype development.
- The willingness of the service provider to customize the course in consultation with DepEd.

DELIVERABLES, TIMELINES, SPECIAL TERMS AND CONDITIONS:

**Training Provider Responsibilities:**

- Hire, manage and remunerate all necessary lecturers, consultants, experts, advisers, management, administrative and financial staff needed
- Meet with RTI and DepEd to understand the content of previous training activities to avoid duplication but involve complementarity with other prior activities.
- Customize the training materials according to the needs of DepEd.
- Deliver and facilitate the course online on or before April 30, 2022.
- Provide mentors/coaches as needed to follow up the learnings of the participants.

**Deliverables of the Training Provider:**

- Final curriculum content, revised as needed in consultation with DepEd.
- Deliver the training to a maximum of 40 DepEd participants with specified number of hours of course delivery.
- Provide a certificate of completion to training participants and conduct a post course evaluation.

**All deliverables must be completed by April 30th, 2022.**

### Pricing

<table>
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<tr>
<th>Item #</th>
<th>Quantity to be Purchased</th>
<th>Description of Preferred Commodity or Services Specifications</th>
<th>Unit of Measure</th>
<th>Unit Fixed Price (Each)</th>
<th>Total Fixed Price (Each)</th>
<th>Lead Time Availability (Number of Days)</th>
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<tr>
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<td>Training Materials</td>
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By signing this attachment, the bidder confirms he has a complete understanding of the specifications and fully intends to deliver items that comply with the above listed specifications.

Signature: 

Title: 

Date: 

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Attachment A
RFQ Template v7, December 2020
Attachment “B”
Instructions to Bidders/Sellers

1. **Procurement Narrative Description**: The Buyer (RTI) intends to purchase commodities and/or services identified in Attachment A. The Buyer intends to purchase the quantities (for commodities) and/or services (based on deliverables identified in a Statement of Work). The term of the Ordering Agreement shall be from Award Date to the Delivery date of the Offeror unless extended by mutual agreement of the parties. The Buyer intends to award to a single “approved” supplier based on conformance to the listed specifications, the ability to service this contract, and selling price. We reserve the right to award to more than one bidder. If an Ordering Agreement is established as a result of this RFQ/RFP, supplier understands that quantities indicated in the specifications (Attachment A) are an estimate only and RTI does not guarantee the purchase quantity of any item listed.

2. **Procuring Activity**: This procurement will be made by **Research Triangle Institute (RTI International)**, located at

| RTI ACR Asia Philippines  
| 3rd Flr. Orosa Bldg.,  
| 1010 Meralco Avenue,  
| Pasig City 1605 |

(insert full address of the office)

who has a purchase requirement in support of a project funded by

| The United States Agency for International Development (USAID) |

(insert client’s name)

RTI shall award the initial quantities and/or services and any option quantities (if exercised by RTI) to Seller by a properly executed Purchase Order as set forth within the terms of this properly executed agreement.

3. **Proposal Requirements**. All Sellers will submit a quote/proposal which contains offers for all items and options included in this RFQ/RFP. All information presented in the Sellers quote/proposal will be considered during RTI’s evaluation. Failure to submit the information required in this RFQ/RFP may result in Seller’s offer being deemed non-responsive. Sellers are responsible for submitting offers, and any modifications, revisions, or withdrawals, so as to reach RTI's office designated in the RFQ/RFP by the time and date specified in the RFQ/RFP. Any offer, modification, revision, or withdrawal of an offer received at the RTI office designated in the RFQ/RFP after the exact time specified for receipt of offers is “late” and may not be considered at the discretion of the RTI Procurement Officer. The Seller’s proposal shall include the following:

(a) The solicitation number: ACR Philippines-RFP/RFQ-2-FY22

(b) The date and time submitted:

(c) The name, address, and telephone number of the seller (bidder) and authorized signature of same:

(d) Validity period of Quote: 60 days.
(e) A technical description of the items being offered in sufficient detail to evaluate compliance with the requirements in the solicitation. This may include product literature, or other documents, if necessary.

(f) If RTI informs Seller that the Commodity is intended for export and the Commodity is not classified for export under Export Classification Control Number (ECCN) “EAR99” of the U.S. Department of Commerce Export Administration Regulations (EAR), then Seller must provide RTI the correct ECCN and the name of Seller’s representative responsible for Trade Compliance who can confirm the export classification.

(g) Lead Time Availability of the Commodity/Service. March to May 2022

(h) Terms of warranty describing what and how the warranties will be serviced.

(i) Special pricing instructions: Price and any discount terms or special requirements or terms (special note: pricing must include guaranteed firm fixed prices for items requested.

(j) Payment address or instructions (if different from mailing address)

(k) Acknowledgment of solicitation amendments (if any)

(l) Past performance information, when included as an evaluation factor, to include recent and relevant contracts for the same or similar items and other references (including points of contact with telephone numbers, and other relevant information)

(m) Special Note: The Seller, by his response to this RFQ/RFP and accompanying signatures, confirms that the terms and conditions associated with this RFQ/RFP document have been agreed to and all of its attachments have been carefully read and understood and all related questions answered.

4. **Forms:** Sellers (potential bidders or suppliers) must record their pricing utilizing the format found on Attachment “A”. Sellers must sign the single hardcopy submitted and send to address listed on the cover page of this RFQ/RFP.

5. **Questions Concerning the Procurement.** All questions in regards to this RFQ/RFP to be directed to

   [Josephine Marcos](mailto:jmarcos@rti.org)

   (insert name of procurement officer)

   at this email address:

   [jmarcos@rti.org](mailto:jmarcos@rti.org)

   (insert email address of the procurement officer).

   The cut-off date for questions is (insert date).

   February 14, 2022

6. **Notifications and Deliveries:** Time is of the essence for this procurement. Seller shall deliver
the items or services no later than the dates set forth in the contract that will be agreed by both parties as a result of this RFQ/RFP. The Seller shall immediately contact the Buyer’s Procurement Officer if the specifications, availability, or the delivery schedule(s) changes. Exceptional delays will result in financial penalties being imposed of Seller.

7. **Documentation**: The following documents will be required for payment for each item:
   
   (a) A detailed invoice listing Purchase Order Number, Bank information with wiring instructions (when applicable)
   
   (b) Packing List
   
   (c) All relevant product/service documentation (manuals, warranty doc, certificate of analysis, etc.)

8. **Payment Terms**: Refer to RTI purchase order terms and conditions found in https://www.rti.org/sites/default/files/rti-purchase-order-terms-and-conditions-v1.16.pdf, http://www.rti.org/files/PO_FAR_Clauses.pdf, or http://www.rti.org/files/PO_FAR_Clauses_Commercial_Items.pdf. Payment can be made via wire transfer or other acceptable form. Sellers may propose alternative payment terms and they will be considered in the evaluation process.

9. **Alternative Proposals**: Sellers are permitted to offer “alternatives” should they not be able to meet the listed requirements. Any alternative proposals shall still satisfy the minimum requirements set forth in Attachment A Specifications.

10. **Inspection Process**: Each item shall be inspected prior to final acceptance of the item. All significant discrepancies, shortages, and/or faults must be satisfactorily corrected and satisfactorily documented prior to delivery and release of payment.

11. **Evaluation and Award Process**: The RTI Procurement Officer will award an agreement contract resulting from this solicitation to the responsible Seller (bidder) whose offer conforms to the RFQ/RFP will be most advantageous to RTI, price and other factors considered. The award will be made to the Seller representing the best value to the project and to RTI. For the purpose of this RFQ/RFP, price, delivery, technical and past performance are of equal importance for the purposes of evaluating, and selecting the “best value” awardee. RTI intends to evaluate offers and award an Agreement without discussions with Sellers. Therefore, the Seller’s initial offer should contain the Seller’s best terms from a price and technical standpoint. However, RTI reserves the right to conduct discussions if later determined by the RTI Procurement Officer to be necessary.

The evaluation factors will be comprised of the following criteria:

The offer will be evaluated using a combined scoring method with the following weighted scores:

(a) **PRICE-30 points**: Lowest evaluated ceiling price (inclusive of option quantities)

(b) **DELIVERY-20 points**: Seller provides the most advantageous delivery schedule.

(c) **TECHNICAL-40 points**: Items/Services shall satisfy or exceed the specifications described in RFQ/RFP Attachment A.

(d) **PAST PERFORMANCE-10 points**: Seller can demonstrate his/her capability and resources to provide the items/services requested in this solicitation in a timely and responsive manner.
12. **Award Notice.** A written notice of award or acceptance of an offer, mailed or otherwise furnished to the successful supplier within the time acceptance specified in the offer, shall result in a binding contract without further action by either party.

13. **Validity of Offer.** This RFP in no way obligates RTI to make an award, nor does it commit RTI to pay any costs incurred by the Seller in the preparation and submission of a proposal or amendments to a proposal. Your proposal shall be considered valid for 60 days after submission.

14. **Representations and Certifications.** Winning suppliers under a US Federal Contract are required to complete and sign as part of your offer RTI Representations and Certifications for values over $10,000.

15. **Anti-Kickback Act of 1986.** Anti-Kickback Act of 1986 as referenced in FAR 52.203-7 is hereby incorporated into this Request for Proposal as a condition of acceptance. If you have reasonable grounds to believe that a violation, as described in Paragraph (b) of FAR 52.203-7 may have occurred, you should report this suspected violation to the RTI's Ethics Hotline at 1-877-212-7220 or by sending an e-mail to ethics@rti.org. You may report a suspected violation anonymously.

16. **The John S. McCain National Defense Authorization Act for fiscal year 2019 - section 889.** RTI cannot use any equipment or services from specific companies, or their subsidiaries and affiliates, including Huawei Technologies Company, ZTE Corporation, Hytera Communications Corporation, Hangzhou Hikvision Digital Technology Company, and Dahua Technology Company (“Covered Technology”). In response to this request for proposal, please do not provide a quote which includes any Covered Technology. Any quote which includes Covered Technology will be deemed non-responsive. Additionally, if the United States Government is the source of funds for this RFP, the resulting Supplier shall not provide any equipment, system, or service that uses Covered Technology as a substantial or essential component.

**Acceptance:**

Seller agrees, as evidenced by signature below, that the seller’s completed and signed solicitation, seller’s proposal including all required submissions and the negotiated terms contained herein, constitute the entire agreement for the services described herein.

By: *(Seller Company Name)*

Signature: __________________________________________________________

Title: __________________________

Date: __________________________
**SUPPLIER INFORMATION**

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**PROPOSAL CONTACT INFORMATION**

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**SMALL BUSINESS CLASSIFICATIONS** ([http://www.sba.gov/size/](http://www.sba.gov/size/))

- [ ] Small Business Concern (SB)
- [ ] Small Disadvantaged Business or Minority-owned Business (SB + SDB)* (Eligibility: Self-certified Minority-owned business [African American, Asian American, Native American, or Hispanic American-owned firms], and/or 8(a) certified.)
- [ ] Woman-Owned Small Business (SB+WOSB)*
- [ ] Veteran-Owned Small Business (SB+VOSB)*
- [ ] Service-Disabled Veteran-Owned Small Business (SB+SDVOSB)*
- [ ] HUBZone (Historically Underutilized Business Zone) located firms (SB+HUBZone)**

If not a Small Business, check one.

- [ ] Large Corporation
- [ ] Non-Profit
- [ ] Foreign/Other

Federal Laws and Regulations provide penalties for vendor misrepresentation of size and status information. The applicable provisions can be found in 48 C.F.R. 52.219-1 and 15 U.S.C. 645(d).

* 51% or more owned and daily-managed by the respective Minority-, Woman-, Veteran-individual(s) in accordance with Federal Acquisition Regulation 52.219-8

** Valid certification required; HUBZone firms must be listed on [http://web.sba.gov](http://web.sba.gov)

**ORGANIZATIONAL INFORMATION**

Is the organization publicly listed and if so, where? ____________

Is it legal for the organization to enter into a relationship, to perform the services of the proposed agreement, and to participate as a partner with RTI? ____________

Has the supplier entered into a federal contract previously? [ ] Yes [ ] No

Please provide the following information for the supplier’s top five contracts/grants/cooperative agreements.

<table>
<thead>
<tr>
<th>Contract Type</th>
<th>Client</th>
<th>Project Name</th>
<th>Period of Performance</th>
<th>Project Value (USD)</th>
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Has the supplier received negative past performance ratings on a previous Federal contract? If yes, please provide a copy and describe the corrective action taken.

Does the supplier maintain organizational registration in the place of performance?

Does your company have a line of credit/loan agreement with a bank? If yes, how much?

Is your company, any subsidiary or any key employee or senior management member, currently subject to any form of judgment, lien or pending lawsuit, including bankruptcy or reorganization proceedings? If so, please provide details regarding such, including but not limited to the name of the opposing party, the basis for the action and the current status of the matter (i.e. pending or resolved).

What federal agency has administrative cognizance over the supplier work?

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<tr>
<th>Agency Name</th>
<th>ACO Name</th>
<th>Address</th>
<th>Phone</th>
<th>Email</th>
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In what year was the organization established?

Please provide the number of employees within the organization. In addition, please provide a copy of the supplier’s organizational chart.

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<tr>
<th>Full-time</th>
<th>Part-time</th>
<th>Consultants</th>
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<tr>
<th>POLICY INFORMATION</th>
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<tr>
<td>Does the supplier have an official timekeeping policy and approval process?</td>
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<tr>
<td>Does the supplier have an official procurement policy and/or procurement manual?</td>
</tr>
<tr>
<td>Does the supplier have an official travel policy, including per diem regulations?</td>
</tr>
<tr>
<td>Does the supplier have an official personnel policy (specifically regarding salary and wage scales, fringe benefits, merit increases, leave, and differentials)?</td>
</tr>
<tr>
<td>Please provide the number of hours and days and basis of calculation in a normal work day, both domestically and overseas, for both employees and consultants.</td>
</tr>
<tr>
<td>Please provide the number of hours and days and basis of calculation in a normal work year, both domestically and overseas, for both employees and consultants.</td>
</tr>
<tr>
<td>Please provide the number of paid absences (vacation, sick leave, holidays) provided to employees. Please describe how these paid absences are recovered (fringe benefits, wage calculation).</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>FINANCIAL SYSTEMS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Does the supplier have a federally approved Cost Accounting System (FAR Part 30)?</td>
</tr>
<tr>
<td>Does the supplier have a federally approved Contractor Purchasing System (FAR Part 44)?</td>
</tr>
<tr>
<td>Does the supplier have a federally approved Government Property System (FAR Part 45)?</td>
</tr>
<tr>
<td>Does the supplier have a federally approved Negotiated Indirect Cost Rate Agreement (NICRA)?</td>
</tr>
<tr>
<td>Does the supplier have an official policy for approval of financial transactions?</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>INSURANCE COVERAGE</th>
</tr>
</thead>
<tbody>
<tr>
<td>Please indicate if the supplier maintains the following insurance policies at the minimum amount specified. Copies of current insurance certifications (or insurance policies) should be attached.</td>
</tr>
<tr>
<td>Worker’s Compensation (in accordance with minimum statutory requirement)</td>
</tr>
</tbody>
</table>
General Liability Insurance (at a minimum amount of $1,000,000)  □ Yes  □ No
If No, amount of coverage:

Automobile Insurance (at a minimum amount of $1,000,000)  □ Yes  □ No
If No, amount of coverage:

Please confirm that insurance policies are applicable in the country where work will be performed.  □ Yes  □ No

In the event of an award, RTI requires the Supplier to add RTI as an additional insured for the life of the agreement. This protects RTI against any third party claims that may result from work performed by the Supplier. Please confirm this to be acceptable.  □ Yes  □ No

ETHICS AND ANTI-CORRUPTION

Provide copies and/or descriptions of your Code of Ethics and Business Conduct, your anti-corruption compliance policies, your compliance and anti-corruption training activities and your whistle-blowing channels, if any.

Do you agree to abide by the provisions of applicable laws, including but not limited to the Foreign Corrupt Practices Act in providing goods and services under the proposed agreement? _____________

To the best of your knowledge, is any key employee or senior management member of your company or any of your company’s subsidiaries a Public Official or related (by blood, marriage, current or past business association or otherwise) to a Public Official? If so, please provide the name and describe his/her association with your company. _____________

Does a Public Official or a member of a Public Official’s family have any interest or stand to benefit in any way as a result of this proposed transaction with RTI? _____________

EVIDENCE OF RESPONSIBILITY

In accordance with the evidence of responsibility criteria of FAR 9.104-1 General Standards, Offeror represents that:

(i) Offeror has adequate financial resources to perform the contract, or the ability to obtain them in accordance with FAR 9.104-3(a);

(ii) Offeror is able to comply with the required or proposed delivery or performance schedule, taking into consideration all existing commercial and governmental business commitments;

(iii) Offeror has a satisfactory performance record in accordance with FAR 9.104-3(b) and Subpart 42.15;

(iv) Offeror has a satisfactory record of integrity and business ethics including satisfactory compliance with the law including tax laws, labor and employment laws, environmental laws, antitrust laws, and consumer protection laws;

(v) Offeror has the necessary organization, experience, accounting and operational controls, and technical skills, or the ability to obtain them (including, as appropriate, such elements as production control procedures, property control systems, quality assurance measures, and safety programs applicable to materials to be produced or services to be performed by the prospective contractor and subcontractors) in accordance with FAR 9.104-3(a);

(vi) Offeror has the necessary production, construction, and technical equipment and facilities, or the ability to obtain them; and

(vii) Offeror is otherwise qualified and eligible to receive an award under applicable laws and regulations.

APPROVAL

The appropriate program and administrative personnel of the institution involved in this application are aware of the sponsoring agency’s guidelines and are prepared to establish the necessary inter-institutional agreement(s). The institution makes all applicable assurances/certifications.

I certify that the information contained in this questionnaire is current, accurate and complete to the best of my knowledge and belief.

Authorized Representative:

____________________________  
Name: 
Title: 

____________________________  
Date
Annual Representations, Certifications, and Other Statements of Offerors for International Suppliers for Proposed Subcontracts/Procurements greater than or equal to $10,000

To be completed by all companies incorporated outside the US or US possessions and territories with proposed or active procurements.

Part 1: Identifying Information: All Organizations/Individuals Complete

Organization/Individual Name: ________________________________

Organization Data Universal Numbering System (DUNS): __________________

Address: 
City: __________________ State: __________________ Zip Code: __________________
Country: __________________
Telephone No.: __________________ Fax No.: __________________
Email address: __________________ Company website: __________________

Please certify your organization type:
☐ Non-United States Citizen, Operating as an Individual
☐ Non-United States Based Non-Profit Organization
☐ Non-United States Based Commercial Organization, Registered for Business in (country)

Part 2: All Organizations Complete

Use of Government Property

Complete the following statement(s) as applicable:

A. The offeror and/or its suppliers ☐ will, ☐ will not use government property in performance of work under the proposed contract.

B. The offeror certifies that to the best of its knowledge this proposed subcontract ☐ does, ☐ does not involve the acquisition of Government property, the disposal of which may be restricted by patent or other rights.

Representations and Certifications Applicable to All Organizations/Individuals. Provide Specific Information Throughout if Required

52.215-6: Place of Performance (January 2004)

A. The Offeror, during the performance of any subcontract resulting from this solicitation, ☐ intends, ☐ does not intend, to use one or more plants or facilities located at a different address from the address of the Offeror as indicated in this proposal or quotation.

B. If the Offeror checked “intends” in paragraph (A) above, it shall complete the following information:

<table>
<thead>
<tr>
<th>Place of Performance</th>
<th>Name and Address of Owner and Operator of the Plant or Facility if other than Offeror</th>
</tr>
</thead>
<tbody>
<tr>
<td>Address:</td>
<td>Name:</td>
</tr>
<tr>
<td>City:</td>
<td>Address:</td>
</tr>
<tr>
<td>State:</td>
<td>Zip:</td>
</tr>
<tr>
<td>City:</td>
<td>State:                            Zip:</td>
</tr>
</tbody>
</table>

52.222-50: Combatting Trafficking in Persons (Mar 2015)

By execution of this document the Offeror certifies that it is in full compliance with the provisions set forth in FAR 52.222-50.
## Annual Representations, Certifications, and Other Statements of Offerors for International Suppliers for Proposed Subcontracts/Procurements greater than or equal to $10,000

### Part 3: Applicable to All Organizations/Individuals if the Proposed Contract is Fixed Price. Provide Specific Information Throughout if Required

<table>
<thead>
<tr>
<th>52.203-2: Certificate of Independent Price Determination (Apr 1985)</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>A.</strong> The Offeror certifies that:</td>
</tr>
<tr>
<td>1. The prices contained in this offer have been arrived at independently, without, for the purpose of restricting competition, any consultation, communication, or agreement with any other offeror or competitor relating to (1) those prices, (2) the intention to submit an offer, or (3) the methods or factors used to calculate the prices offered;</td>
</tr>
<tr>
<td>2. The prices contained in this offer have not been and will not be knowingly disclosed by the Offeror, directly or indirectly, to any other offeror or competitor before bid opening (in the case of a sealed bid solicitation) or subcontract award (in the case of a negotiated solicitation) unless otherwise required by law; and</td>
</tr>
<tr>
<td>3. No attempt has been made or will be made by the Offeror to induce any other concern to submit or not to submit an offer for the purpose of restricting competition.</td>
</tr>
<tr>
<td><strong>B.</strong> Each signature on the offer is considered to be certification by the signatory that the signatory:</td>
</tr>
<tr>
<td>1. Is the person in the Offeror's organization responsible for determining the prices being offered in this bid or proposal, and that the signature has not participated and will not participate in any action contrary to subparagraphs (A)(1) through (A)(3) above; or</td>
</tr>
<tr>
<td>a. Has been authorized in writing to act as agent for the following principals in certifying that those principals have not participated, and will not participate, in any action contrary to subparagraphs (A)(1) through (A)(3) above.</td>
</tr>
<tr>
<td>[Insert full name of person(s) in the Offeror's organization responsible for determining the prices offered in this bid or proposal and the title of his or her position in the Offeror organization.]</td>
</tr>
</tbody>
</table>
| **C.** If the Offeror deletes or modifies paragraph (A) (2) above, the Offeror must furnish with its offer a signed statement setting forth in detail the circumstances of the disclosure.
Annual Representations, Certifications, and Other Statements of Offerors for International Suppliers for Proposed Subcontracts/Procurements greater than or equal to $10,000

Part 4: Applicable to All Organizations/Individuals if the Proposed Contract is valued greater than or equal to $150,000. Provide Specific Information Throughout if Required

52.203-11: Certification and Disclosure Regarding Payments to Influence Certain Federal Transactions (Sep 2007)

A. The definitions and prohibitions contained in the clause at FAR 52.203-12, Limitation on Payments to Influence Certain Federal Transactions, included in this solicitation, are hereby incorporated by reference in paragraph (b) of this certification.

B. The offeror, by signing its offer, hereby certifies to the best of his or her knowledge and belief that:
   1. No 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 agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress on his or her behalf in connection with the awarding of any Federal contract;
   2. If any funds other than Federal appropriated funds (including profit or fee received under a covered Federal transaction) have been paid, or will be paid, to any person 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 on his or her behalf in connection with this solicitation, the offeror shall complete and submit with its offer, OMB standard form LLL, Disclosure of Lobbying Activities, to RTI; and
   3. He or she will include the language of this certification in all subcontract awards at any tier and require that all recipients of subcontract awards in excess of $100,000 shall certify and disclose accordingly.

C. Submission of this certification and disclosure is a prerequisite for making or entering into this contract imposed by section 1352, title 31, United States Code. Any person who makes expenditure prohibited under this provision or who fails to file or amend the disclosure form to be filed or amended by this provision, shall be subject to a civil penalty of not less than $10,000, and not more than $100,000, for each such failure.

52.209-5: Certification Regarding Responsibility Matters (October 2015)

A. The Offeror certifies, to the best of its knowledge and belief, that:
   1. The Offeror and/or any of its Principals-
      a. Are ☐, are not ☐ presently debarred, suspended, proposed for debarment, or declared ineligible for the award of contracts by any Federal agency;
      b. Have ☐, have not ☐, within a three-year period preceding this offer, 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) contract or subcontract; violation of Federal or State antitrust statutes relating to the submission of offers; or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, tax evasion, or receiving stolen property; and
      c. Are ☐, are not ☐, presently indicted for or otherwise criminally or civilly charged by a governmental entity with, commission of any of the offenses enumerated in paragraph A.1.b.of this provision.
      d. Have ☐, have not ☐, within a three-year period preceding this offer, been notified of any delinquent Federal taxes in an amount that exceeds $3,000 for which the liability remains unsatisfied.

      (1) Federal taxes are considered delinquent if both of the following criteria apply:

         (i) The tax liability is finally determined. The liability is finally determined if it has been assessed. A liability is not finally determined if there is a pending administrative or judicial challenge. In the case of a judicial challenge to the liability, the liability is not finally determined until all judicial appeal rights have been exhausted.
         (ii) The taxpayer is delinquent in making payment. A taxpayer is delinquent if the taxpayer has failed to pay the tax liability when full payment was due and required. A taxpayer is not delinquent in cases where enforced collection action is precluded.

(continued next page)
### Part 4: (continued)

<table>
<thead>
<tr>
<th>52.209-5: Certification Regarding Responsibility Matters (October 2015) (continued)</th>
</tr>
</thead>
</table>

#### (2) Examples.

(i) The taxpayer has received a statutory notice of deficiency, under I.R.C. 6212, which entitles the taxpayer to seek Tax Court review of a proposed tax deficiency. This is not a delinquent tax because it is not a final tax liability. Should the taxpayer seek Tax Court review, this will not be a final tax liability until the taxpayer has exercised all judicial appeal rights.

(ii) The IRS has filed a notice of Federal tax lien with respect to an assessed tax liability, and the taxpayer has been issued a notice under I.R.C. 6320 entitling the taxpayer to request a hearing with IRS Office of Appeals contesting the lien filing, and to further appeal to the Tax Court if the IRS determines to sustain the lien filing. In the course of the hearing, the taxpayer is entitled to contest the underlying tax liability because the taxpayer has had no prior opportunity to contest the liability. This is not a delinquent tax because it is not a final tax liability. Should the taxpayer see tax court review, this will not be a final tax liability until the taxpayer has exercised all judicial appeal rights.

(iii) The taxpayer has entered into an installment agreement pursuant to I.R.C. 6159. The taxpayer is making timely payments and is in full compliance with the agreement terms. The taxpayer is not delinquent because the taxpayer is not currently required to make full payment.

(iv) The taxpayer has filed for bankruptcy protection. The taxpayer is not delinquent because enforced collection action is stayed under 11 U.S.C. 362 (the Bankruptcy Code).

2. The Offeror has [], has not [], within a three-year period preceding this offer, had one or more contracts terminated for default by any Federal agency.

3. "Principal," for the purpose of this certification, means officer; director; owner; partner; or person having primary management or supervisory responsibilities within a business entity (e.g., general manager; plant manager; head of a subsidiary, division, or business segment, and similar positions).

   This certification concerns a matter within the jurisdiction of any agency of the United States, and the making of a false, fictitious, or fraudulent certification may render the maker subject to prosecution under Section 1001, Title 18, United States Code.

   B. The Offeror shall provide immediate written notice to RTI if, at any time prior to subcontract award, the Offeror learns that its certification was erroneous when submitted or has become erroneous by reasons of changed circumstances.

   C. A certification that any of the items in paragraph (A) of this provision exists will not necessarily result in withholding of an award under this solicitation. However, the certification will be considered in connection with a determination of the Offeror's responsibility. Failure of the Offeror to furnish a certification or provide such additional information as requested by RTI may render the Offeror non-responsible.

   D. 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 paragraph (A) of this provision. The knowledge and information of an Offeror is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

   E. The certification in paragraph (A) of this provision is a material representation of fact upon which reliance was placed when making award. If it is later determined that the Offeror knowingly rendered an erroneous certification, in addition to other remedies available to the Government, RTI, may terminate the subcontract resulting from this solicitation for default.
## Part 5: If the Proposed Work Activities Are Performed within the UNITED STATES and its Possessions and Territories, the following is applicable to Organizations.

If the Proposed Work Activities Are Performed outside the United States and its Possessions and Territories, the following is only applicable to Organizations that recruit employees within the United States and its Possessions and Territories. Provide Specific Information Throughout if Required

<table>
<thead>
<tr>
<th>52.222-21: Prohibition of Segregated Facilities (April 2015)</th>
</tr>
</thead>
<tbody>
<tr>
<td>By execution of this document the offeror certifies that it is in full compliance with the provisions set forth in FAR 52.222-21.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>52.222-22: Previous Contracts and Compliance Reports (Feb 1999)</th>
</tr>
</thead>
<tbody>
<tr>
<td>The offeror represents that (1) It [ ] has, [ ] has not participated in a previous contract or subcontract subject to the Equal Opportunity clause of this solicitation; (2) It [ ] has, [ ] has not filed all required compliance reports; and (3) Representations indicating submission of required compliance reports, signed by proposed subcontractors, will be obtained before subcontract awards.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>52.222-25: Affirmative Action Compliance (Apr 1984)</th>
</tr>
</thead>
<tbody>
<tr>
<td>The Offeror represents that (1) it [ ] has developed and has on file, [ ] has not developed and does not have on file, at each establishment, affirmative action programs required by the rules and regulations of the Secretary of Labor (41 CFR 60-1 and 60-2) or (2) it [ ] has not previously had contracts/subcontracts subject to the written affirmative action programs requirement of the rules and regulations of the Secretary of Labor.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>52.222-29: Notification of Visa Denial (April 2015)</th>
</tr>
</thead>
<tbody>
<tr>
<td>By execution of this document the offeror certifies that it is in full compliance with the provisions set forth in FAR 52.222-29.</td>
</tr>
</tbody>
</table>

## Part 6: Applicable to Organizations/ Individuals Only if the Proposed Contract is greater than or equal to $25,000 AND Goods will be Purchased for use Inside the United States and its Possessions and Territories. Provide Specific Information Throughout if Required

<table>
<thead>
<tr>
<th>52.225-2: Buy American Act Certificate (May 2014)</th>
</tr>
</thead>
<tbody>
<tr>
<td>A. The offeror certifies that each end product, except those listed in paragraph (B) of this provision, is a domestic end product and that the offeror has considered components of unknown origin to have been mined, produced, or manufactured outside the United States. The offeror shall list as foreign end products those end products manufactured in the United States that do not qualify as domestic end products. The terms “component,” “domestic end product,” “end product,” “foreign end product,” and “United States” are defined in the clause of this solicitation entitled “Buy American Act-Supplies”</td>
</tr>
</tbody>
</table>

| B. Foreign End Products: [List as necessary] |
|---|---|
| Line Item No. | Country of Origin |
| | |
| | |

| C. RTI will evaluate offers in accordance with the policies and procedures of Part 25 of the Federal Acquisition Regulation. |
Annual Representations, Certifications, and Other Statements of Offerors for International Suppliers for Proposed Subcontracts/Procurements greater than or equal to $10,000

Part 7: Applicable to Organizations Only if the Proposed Contract is greater than or equal to $500,000 AND the Organization IS NOT Providing a Commercial Item

52.222-56: Certification Regarding Trafficking in Persons Compliance Plan (Mar 2015)

A. The Offeror certifies that it ☐ has, ☐ has not

1. implemented a compliance plan to prevent any prohibited activities identified in paragraph (b) of the clause at 52.222-50, Combating Trafficking in Persons, and to monitor, detect, and terminate the contract with a subcontractor engaging in prohibited activities identified at paragraph (b) of the clause at 52.222-50, Combating Trafficking in Persons; and

2. After having conducted due diligence, either—
   a. To the best of the Offeror’s knowledge and belief, neither it nor any of its proposed agents, subcontractors, or their agents is engaged in any such activities; or
   b. If abuses relating to any of the prohibited activities identified in 52.222-50(b) have been found, the Offeror or proposed subcontractor has taken the appropriate remedial and referral actions.

Part 8: Applicable to All Organizations/Individuals if the Proposed Contract is valued at greater than or equal to $30,000. Provide Specific Information Throughout if Required

52.204-10 Reporting Executive Compensation and First-Tier Subcontract Awards.

A. ☐ The offeror certifies that in the previous tax year, it had gross income from all sources under $300,000 USD

B. ☐ The offeror certifies that in the previous tax year, it had gross income from all sources more than $300,000 USD
**Part 9: Acknowledgment**

The undersigned offeror certifies that the information contained within this document is true and accurate to the best of its knowledge.

By the execution of this document, the undersigned offeror agrees to provide immediate written notice to RTI if, at any time during the effective period of this document, the undersigned offeror learns that this document was erroneous when submitted or has become erroneous by reason of changed circumstances.

The effective period of this document is one year from the date of execution.

<table>
<thead>
<tr>
<th>Signature:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Printed Name of Signatory:</td>
</tr>
<tr>
<td>Title of Signatory:</td>
</tr>
<tr>
<td>Date:</td>
</tr>
</tbody>
</table>
General Instructions for Registering for DUNS, NCAGE, SAM for International Organizations

Important Information:

1. All organization/entity information must be identical in the DUNS, NCAGE and SAM systems.
   - You cannot enter one address for DUNS and then a different address for NCAGE or SAM. This will cause a system error and result in significant delays.
   - You cannot have unequal spacing between words in the primary contact information fields, or different capital and small letters. Be very precise when entering all data and keep a detailed record of the information used for each system.
   - NCAGE is required for non-US based organizations.

2. For SAM Customer Service, contact:
   - Federal Service Desk: www.fsd.gov
   - US Calls: 1-866-606-8220
   - International Calls: 334-206-7828

3. There is no registration fee for DUNS, NCAGE or SAM for any organization that is a (or is applying for) recipient of US government funding, including contracts, grants, and cooperative agreements. There are businesses that will assist in registration for a fee, but you are not required to make payment to any DUNS representatives for purposes of contracts, grants, or cooperative agreements.

4. The total registration process can take up to 25 business days, or 5 weeks to complete if all information is entered correctly and consistently in each system. There may be additional registration requirements that could extend this timeline.
Step 1: Request a DUNS Number

(If your organization already has a DUNS number, skip to Step 2).

Go to www.dnb.com

Click on “D-U-N-S Number”

The creation of the DUNS number should take 1-2 business days

For each line, click on the question mark “?” to the left of the line for an explanation of what is requested. Please note, some lines are optional.

Please keep a detailed record of information submitted including capital and small letters, space between words, etc. as the inputs will have to be identical throughout later steps of the process.
Click on “Get a DUNS Number”

Select “I’m a US Government Contractor and Grantee” from the dropdown and then click “Continue”
Select country from the drop-down list and click on “Continue”

Fill out the requested information.

Phone number should be written as follows to be accepted:

XXXXX-XXXXXXXXX – ex: 00967-4123489000 or ex: 00027-123321123

00 + country code-phone digits. Do not use spaces.
The contact person entered on the following screen will be the person receiving the correspondence and information from the system. It is advised to use a mobile phone number both for the DUNS and SAM request in order to receive SMS. Please refer to the note above about phone formatting: XXXX-XXXXXXXX – for example 00967-4123489000 - 00country code-phone digits. Do not use spaces.

Please select the appropriate funding source for the solicitation. The applicant can select to register to be eligible to receive funding for both Assistance and Contracts, if desired.
Once the registration is submitted, the point of contact will receive a message confirming the registration request.

From: SAMHelp@dnb.com <SAMHelp@dnb.com>
Subject: New DUNS Request - Tracking ID: XXXXXXXXXX

THIS IS AN AUTOMATED MESSAGE GENERATED BY THE D&B D-U-N-S REQUEST PORTAL.

Thank you for using the D&B Web Form process. D&B's global policy is to provide D-U-N-S numbers to any existing or prospective US Government contractor or grantee within one business day at no charge. If your request was submitted near a holiday or weekend, it will be addressed the next business day.

The D-U-N-S Number will be sent to the e-mail address you provided on the web form. If email delivery failed, please contact D&B at SAMhelp@dnb.com for assistance.

If you have questions about this policy or your request, please contact D&B in the U.S. via email SAMhelp@dnb.com.

If you do not receive your DUNS number within a week, please contact them by email (SAMhelp@dnb.com) as they might require additional information.

An example of an additional request for information could be as follows:

FROM: SAMHelp@dnb.com <SAMHelp@dnb.com>

THIS IS AN AUTOMATED MESSAGE GENERATED BY THE D&B D-U-N-S REQUEST PORTAL.
Thank you for using the D&B Web Form process. Unfortunately, we were unable to fulfill your request based on the reason(s) at the end of this message.

Please contact D&B in the U.S. via email SAMhelp@dnb.com for follow-up.

Reason for Denial: Please provide us entity commercial registration copy and complete physical address including building & street name or number, office & floor number to the attention of XXXXX@dnbsame.com for DUNS registration. Kindly mention the tracking ID while sending us the details in email.
Step 2 : Begin SAM Registration

Please note: The SAM system will require a user email address and password. Please remember and save this login information as it will be required to access the SAM account to update and renew the registration.

SAM registration is valid for one year and will need to be verified annually to maintain an active registration.

The registration process can take 3-10 business days.

The DUNS number must be received before starting the SAM registration.

To begin, go to www.sam.gov. Click the LOG IN icon to create a new account.

Enter the email address of the organization, if applicable, rather than an individual’s email address. The person managing the organization email account must be readily accessible so s/he can forward the email to the person in charge of the registration.

The SAM system will send an email to confirm the email account. Please click on the link to confirm.

After the email address is confirmed, please create a password.

Next there will be an authentication method setup (Phone for example). Enter your security code (received by SMS if you selected phone as authentication method). Agree and continue.
Next, create an individual account (please use the same information as provided for DUNS).

Please note that this time the phone number should be formatted as follow: XXX-XXXXXXX – for example 967-4123489000 - country code-phone digits. Do not use spaces.

Please save in a separate document all the security questions and answers as well as the detailed inputs.
Verify and save the information

Please select the appropriate funding source for the solicitation. The applicant can select to register to be eligible to receive funding for both Assistance and Contracts, if desired. This is preferred if the applicant expects to bid on future US Government opportunities.
Summary page – please verify the information.
Fill out the below information and create MPIN (Marketing Personal ID Number) as per requirement. Please save the MPIN password.
In this step, there is no need for a TIN (Tax Identification Number) for non-US based entity.

If your organization does not have a NCAGE number, please click on “NCAGE request tool” in the text with a blue background.

If you have a NCAGE number, enter the number and click search.
Step 3: Follow the system prompts to create an NCAGE code.

*(If your organization already has an NCAGE Code, skip to step 4).

The NCAGE code can take up to 10 business days to receive and is required for all non-US-based organizations.

The DUNS number must be received before starting the NCAGE registration.

Please use the same information as submitted for DUNS registration.
Formatting of the phone number should be as follows: XXX-XXXXXXXXX for example 967-4123489000 - country code-phone digits. No spaces.
In this step, please select “YES” for the questions “NCAGE code needed for an invitation to tender” AND “The NCAGE code is requested by the System for Award Management (SAM)”

Please use the same information as submitted for DUNS registration.

Formatting of the phone number should be as follows: XXXXXXXXXXXX – for example 009674123489000 - 00country codephone digits. No dash and no spaces.

Once the NCAGE is assigned, the applicant will receive an email with the NCAGE details.
Step 4: Once NCAGE is complete and you have received your NCAGE code, log back into the SAM system to complete the registration.

The system will require review of the information entered in the previous steps. The information will be saved as entered in previous steps. Click next until you arrive to the page below.

Enter NCAGE #, click search

When name of entity appears, click save and continue
are you a successor to a predecessor that held a federal contract or grant within the last three years? 

Yes  No

Business Information
- Company Security Level
- Highest Employee Security Level

Entity Type:
- You categorized your entity as ___________________________. Further describe your entity by selecting the relevant business types.

Institution Type:
- Your entity qualify as one of the following institution types? If none of these apply, select Not Applicable:
  - Higher Education Institution
  - Government Organization (Federal, State, Local)
  - High Technology Firm
  - Non-Profit Organization
  - Other

Native American Entity Type:
- If your organization is a Federally Recognized Native American Entity, choose all that apply:
  - Alaska Native Corporation-Owned Firm
  - American Indian Owned
  - Indian Tribe (Federally Recognized)
  - Native Hawaiian Organization-Owned Firm
  - Tribally Owned Firm

HUBZone Business Enterprise:
- Your entity certified by a small business agency as a "HUBZone Business Enterprise"
Per the below, Electronic Funds Transfer (EFT) information is not required.
In the below screen, Automated Clearing House (ACH) information is not required.
In this step, please check the box to include the entity in the SAM public search engine.

Please review all of the entered information carefully and edit for correctness, if needed.

If you have to correct the entered information, click on previous until you reach the page with the information to be corrected.
Executive Compensation questions

In your business or organization providing completed fiscal year, did your business or organization receive any entity that this specific SAM record, represented by a DUNS number, belongs to? Please list all such entities that this specific SAM record, represented by a DUNS number, belongs to. Did you or more of your annual gross revenues from U.S. federal contracts, subcontracts, leases, grants, subgrants, and cooperative agreements or more than annual gross revenues from U.S. federal contracts, subcontracts, leases, grants, subgrants, and cooperative agreements?

Does the public have access to information about the compensation of this senior executive in your business or organization? If your business or organization is all entities that this specific SAM record, represented by a DUNS number, belongs to. Did you or more of your annual gross revenues from U.S. federal contracts, subcontracts, leases, grants, subgrants, and cooperative agreements or more than annual gross revenues from U.S. federal contracts, subcontracts, leases, grants, subgrants, and cooperative agreements?

Proceeding questions

In your business or organization, as represented by the DUNS Number on this entity registration, responding to a Federal procurement opportunity that contains the provision at FAR 32.705-1, subject to the clause in FAR 32.209-5 in a current Federal contract, or applying for a Federal grant opportunity which contains the award term and condition described in a C.F.R. 200 Appendix XIII?

SAM Search Authentication

procurement opportunity that contains the provision at FAR 32.705-1, subject to the clause in FAR 32.209-5 in a current Federal contract, or applying for a Federal grant opportunity which contains the award term and condition described in a C.F.R. 200 Appendix XIII?

Not Selected

Within the last five years, has the business or organization (represented by the DUNS number on this specific SAM record) been a current active Federal contract and/or grants with total value (excluding any exercised (non-cancelled) option) greater than $500,000?

Not Selected

Within the last five years, was any entity that this specific SAM record, represented by a DUNS number, belongs to? Did you or more of your annual gross revenues from U.S. federal contracts, subcontracts, leases, grants, subgrants, and cooperative agreements or more than annual gross revenues from U.S. federal contracts, subcontracts, leases, grants, subgrants, and cooperative agreements?
Please select the correct NAICS code using the search function. For general technical services, the NAICS code is 541990. However, it is encouraged for your organization to search on internet for NAICS and PSC codes, while waiting to receive your NCAGE code. The NAICS and PSC codes are quite detailed and it might take some research to choose the correct one.
Add the appropriate Product and Service Code (PSC) Code. For general Program Support, the PSC Code is R408.
Please review all of the entered information carefully and edit for correctness, if needed.

If you have to correct the entered information, click on previous until you reach the page with the information to be corrected.
2. Does the organization have any plants, facilities at different addresses or facilities used to perform work on contract? [FAR Part 9.105-20]

3. If so, please provide the following: Place of Performance (Address of the Other Plant Facilities, Name(s) of Owner or Operator of Plant Facilities, Address of Owner or Operator of Plant Facilities, Street, Address, City, County, State, Zip Code)

4. For products designated by the Environmental Protection Agency and provided by the organization, does the percentage of recovered material content meet the applicable EPA guidelines? [FAR 2.101(d)(4), [FAR 2.101(d)(5)]

5. Our records indicate that the person is not a small business concern and therefore does not qualify for status as a labor surplus area concern. [FAR 9.603-1]

6. Is the company an individual, a partnership, a corporation, or an association? [FAR 9.603-1]

7. Our records indicate that the person is an active agent or employee of the principal. [FAR 9.603-1]

8. In the past three years, has or any of its principals been convicted of fraud or other fraud or violation of Federal or state criminal laws or violations of Federal or state ethics statutes relating to the retaliation of offers or continuance of offers or receipt of offers to any Federal Agency? [FAR 9.603-1]

9. In the past three years, has any of its principals been convicted of any other offense that renders them liable to disqualification under FAR 9.603-1?
View assistance for Representations and Certifications - TAR Response:

12. Reserved.

13. Our records indicate that:
   a. Woman Owned Small Business Joint Venture (TAR 12.209.3, TAR 12.209.4)
   b. is not participating in a...
   c. Other...

14. Our records indicate that:
   a. Economically Disadvantaged Woman Owned Small Business Joint Venture (TAR 12.209.5, TAR 12.209.6)
   b. is not participating in a...
   c. Other...

15. Cert: Provide any data to the Government that qualifies as Limited Rights Data or Restricted Computer Software (TAR 12.209.6)

If yes, please list Limited Rights Data or Restricted Computer Software below (TAR 12.209.6):
View assistance for Representations and Certifications - EAR Response 3

16. Our records indicate that the assumed name of the applicant is [Assumed Name], and this has selected the entity, [Assumed Name].

17. Our records indicate that the business concern is [Business Concern], and it is not a small disadvantaged.

18. True.

If Yes, list the following products and their corresponding country of origin.

... (Additional fields for listing products and countries)

20. The ASSOCIATIONS DES ORGANISATIONS PROFESSIONNELLES PATISSIENNES (AOPP) have signed an agreement with the French government to ensure compliance with local labor laws.

21. Please choose one of the following statements that applies to the products:
   - [ ] The products are free of any labor violations.
   - [ ] The products comply with the Fair Labor Standards Act (FLSA).
   - [ ] The products are subject to an affirmative action program required by the Secretary of Labor regulations.
   - [ ] The products are not subject to any labor regulations.

22. The AOPP has developed and has an affirmative action program required by the Secretary of Labor regulations.

23. The AOPP has not developed and does not have an affirmative action program required by the Secretary of Labor regulations.

24. The AOPP has not had any previous contracts subject to review.
View assistance for Representations and Certifications - FAR Response 4

24. You have not entered any federal supply class for manufactured end products in the PW list in assertions, so you are not required to answer this question. [FAR 2.101(a)]

25. Is

an invented domestic corporation? [FAR 2.101(a)]

26. Is

a subsidiary of an invented domestic corporation? [FAR 2.101(a)]

27. Reserved.

28. Does your entity have any unpaid Federal tax liability that has been assessed, for which all judicial and administrative remedies have been exhausted or have lapsed, and that is not being paid in a timely manner pursuant to an agreement with the authority responsible for collecting the tax liability? [FAR 4.605-7]

29. Has your entity been convicted of a minor criminal violation under a federal law within the preceding 12 months? [FAR 4.601(a)]

30. Did

either receive $5 million or more in Federal contracts during the previous Federal fiscal year requiring it to publicly disclose greenhouse gas emissions and reduction goals or receive less than $5 million in Federal contracts during the previous Federal fiscal year but still want to publicly disclose greenhouse gas emissions and reduction goals? [FAR 4.601(a)]

Save and Continue

Does

[ ] limit or through its immediate owner or highest-level owner, publicly disclose greenhouse gas emissions?

If yes, select Add New URL to list the publicly accessible website where the results of a greenhouse gas inventory, performed in accordance with an accounting standard with publicly available and consistently applied criteria, such as the Greenhouse Gas Protocol Corporate Standard, are available.

[ ] limit or through its immediate owner or highest-level owner, publicly disclose a quantitative greenhouse gas emissions reduction goal?

If yes, select Add New URL to list the publicly accessible website where a target to achieve absolute emissions or emissions intensity by a specific quantity or percentage is available.

31. Does

provide covered telecommunications equipment or service as a part of the offered products or services to the Government in the performance of any contract, subcontract, or other contractual arrangement? [FAR 2.101(b), FAR 4.601(b), SEIAMS (see next page)]

Save and Continue
Page Description

This page provides a common set of certifications and representations required by Federal statute or regulations in accordance with the grant guidance under 2CO of the Code of Federal Regulations (CFR) 222, 223, 224, 225, and 226. Enrollees are required to keep these grants certifications and representations current, accurate, and complete as part of your entity registration in eGAR. Note, these may not include all federal requirements that apply to your project or program. Federal assistance awarding agencies will notify you if they require additional certifications. If you have questions, please contact the awarding agency as applicable.

All mandatory fields are marked with an asterisk or star symbol. Complete all mandatory fields before continuing to the next page.

Purpose of Registration

Full Response 1

Full Response 2

Full Response 3

Full Response 4

Architect-Engineer Response

Defence Response

Review Full D5MM Reg

Cert

Financial Assistance Response

Financial Assistance General Certifications and Representations

I certify that

1. I have the legal authority to apply for Federal assistance and have the institutional, managerial, and financial capability, including funds sufficient to pay the non-Federal share of project cost when applicable to ensure proper planning, management, and completion of any financial assistance activity.

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Purpose of Registration

Full Response 1

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Financial Assistance General Certifications and Representations

I certify that

1. I have the legal authority to apply for Federal assistance and have the institutional, managerial, and financial capability, including funds sufficient to pay the non-Federal share of project cost when applicable to ensure proper planning, management, and completion of any financial assistance activity.
Once the registration is submitted, the company point of contact will receive an email confirming the entity registration.

This email was sent by an automated administrator. Please do not reply to this message.

Dear XXX,

You successfully submitted the entity registration for Name of the Entity / DUNS in the U.S. Government's System for Award Management (SAM). This registration record will remain in Submitted status until all external validations are complete. What happens next?

1. If you provided a Taxpayer Identification Number (TIN), the Internal Revenue Service (IRS) will conduct a validation of your TIN and Taxpayer Name. This step can take two business days. You will get an email from @sam.gov when that review is complete.

2. Your registration will then be sent to the Defense Logistics Agency (DLA) Commercial and Government Entity (CAGE) Code system for assignment or validation of your CAGE Code. This step averages two business days, but the DLA CAGE team can take up to ten business days, or longer, in peak periods. You will get an email from @sam.gov when that review is complete.

3. If the DLA CAGE team has any questions, they will contact the individual you listed as the Government Business Point of Contact (POC) via email. The email will come from an @dla.mil address. Please tell your Government Business POC to respond right away to any requests from an @dla.mil email. If a timely response is not received, your registration will be returned to SAM and your registration status changed to Work in Progress. You will have to resubmit and provide the requested information to DLA CAGE to continue.

4. You will get an email from @sam.gov when your registration passes these external validations and becomes Active. While you are waiting, use the Check Status tab in the SAM main navigation bar to see where your registration is in the review process.

5. If you have not previously submitted a notarized letter formally designating the Entity Administrator for your entity, you must do so now. Use the instructions at: https://www.fsd.gov/fsd-gov/answer.do?sysparm_kbid=d2e67885db0d5f00b3257d321f96194b&sysparm_search=kb0013183. Mail the original, signed notarized letter to the following address. Failure to do so within 60 days of activation may result in the registration no longer being active. NOTE: You are not required to provide a notarized letter for a federal entity registration.

FEDERAL SERVICE DESK
ATTN: SAM.GOV REGISTRATION PROCESSING
460 INDUSTRIAL BLVD
LONDON KY 40741-7285

Remember, this process is entirely FREE to you. It is FREE to register and maintain your
registration in SAM. It is FREE to get help with your registration. Contact our supporting Federal Service Desk at www.fsd.gov, or by telephone at 866-606-8220 (toll free) or 334-206-7828 (internationally), for FREE help.

In addition, if you are located in the U.S. and its outlying areas, you can also get FREE support from your local Procurement Technical Assistance Center (PTAC), an official resource for government contracting assistance. Go to http://www.aptac-us.org/ to find your closest PTAC.

Thank you,
The System for Award Management (SAM) Administrator
https://sam.gov/SAM
Step 5 : Notarized letter for SAM

To complete the registration, a notarized letter is required. If you have not previously submitted a notarized letter formally designating the Entity Administrator for your entity, you must do so now.

For international organizations, use the instructions at: https://www.fsd.gov/fsd-gov/answer.do?sysparm_kbid=dbf8053adb119344d71272131f961946&sysparm_search=registering%20an%20international

Click the appropriate template number to download a Word document to use for the letter.

Fill in the template.

To submit the letter, click on “My Account” (top right side of the page with the blue background).
Create account

Write down username and password
Go to my account and go to submit “submit a question”

Add the letter as an attachment.
Once the SAM registration is active, the entity will receive an email confirmation:

This email was sent by an automated administrator. Please do not reply to this message.

Dear XXX

The registration for XXX is now active in the U.S. federal government’s System for Award Management (SAM). If you did not provide a Commercial and Government Entity (CAGE) Code during the registration process, one has been assigned to you by the Defense Logistics Agency (DLA) CAGE Program.

In order to remain eligible to do business with the Federal government, you must renew your entity’s registration in SAM every year. The annual renewal date for the registration is XXX.

You may invite additional users to manage or review your entity registration by following these steps:

1. Go to [www.sam.gov](http://www.sam.gov) and log in.
2. Select Entity Users from the sub-navigation menu on the My SAM page.
3. Select Invite User from the Entity Users menu.
4. Select the desired entity from the Level List.
5. Provide invitee's email address.
6. Assign role(s) to be associated with the user account.
7. Select Submit.

All invitees will receive an email message from SAM with instructions on how to complete the process.

Remember, this process is entirely FREE to you. It is FREE to register and maintain your registration in SAM. It is FREE to get help with your registration. Contact our supporting Federal Service Desk at [www.fsd.gov](http://www.fsd.gov), or by telephone at 866-606-8220 (toll free) or 334-206-7828 (internationally), for FREE help.

In addition, if you are located in the U.S. and its outlying areas, you can also get FREE support from your local Procurement Technical Assistance Center (PTAC), an official resource for government contracting assistance. Go to [http://www.aptac-us.org/](http://www.aptac-us.org/) to find your closest PTAC.

Thank you,
The System for Award Management (SAM) Administrator [https://www.sam.gov](http://https://www.sam.gov)