APPENDIX "D" – REQUIRED FEDERAL DOCUMENTS

In compliance with federal regulations, all bidders must submit the following documents with their tender documents: (1) Lobbying Certification; (2) Limited Denial of Participation (LDP) / Suspension or Debarment Status, Legal Issues, and Conflicts Affidavit; (3) Non-Collusive Affidavit; and (4) SAM Registration. Please use the forms attached in this Appendix to fill out required documents 1, 2 and 3. A bidder who omits any of the required documents may be disqualified. In addition, the Proponent selected for award shall submit, before the Contract is signed, (5) the Section 3 Plan and (6) the MWBE Plan, using the forms attached in this Appendix (RFP – Project Administration, item 19).

LOBBYING CERTIFICATION

Certification for Contracts, Grants, Loans, and Cooperative Agreements

The undersigned certifies, to the best of his or her knowledge and belief, that:

1. No federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment or modification of any Federal contract, grant, loan or cooperative agreement.
2. If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress or an employee of a Member of Congress in connection with this Federal contract, grant, loan or cooperative agreement, the undersigned shall complete and submit Standard Form LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.
3. The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352, Title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty in the amount prescribed by 31 U.S.C. § 1352, as adjusted for inflation, for each such failure.

Please check appropriate box:

☐ No nonfederal funds have been used or are planned to be used for lobbying in connection with this application/award/contract.

☐ Attached is Standard Form LLL, "Disclosure of Lobbying Activities," which describes the use (past or planned) of nonfederal funds for lobbying in connection with this application/award/contract.

Executed this _____ day of _____, 20____

(Type or Print Name)	(Title of Executing Official)	(Signature of Executing Official)	(Name of organization/applicant)

LIMITED DENIAL OF PARTICIPATION (LDP) / SUSPENSION OR DEBARMENT STATUS, LEGAL ISSUES, AND CONFLICTS AFFIDAVIT

By signing this certification, the Proposer certifies to the best of its knowledge and belief that the firm, business or person submitting the quote:

A. has not been subject to an LDP, suspended, debarred, or otherwise lawfully precluded from participating in any public procurement activity with any federal, state or local government. Signing this certification without disclosing all pertinent information about a debarment or suspension shall result in rejection of the quote or cancellation of a contract. UCC may also exercise any other remedy available by law.

B. has not, within a three-year period preceding this quote, been convicted of or had a civil judgment rendered against it for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain or performing a public (federal, Government of Puerto Rico or local) transaction or contract under a public transaction; violation of federal or Government of Puerto Rico antitrust statutes; or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements or receiving stolen property;

C. is not presently indicted for or otherwise criminally or civilly charged by a governmental entity (federal, Government of Puerto Rico or local) with commission of any of the offenses enumerated in paragraph (b) of this certification, including Puerto Rico Law No. 2 of January 4, 2018, as amended;

D. has not, within a three-year period preceding this application/quote, had one or more public transactions (federal, Government of Puerto Rico or local) terminated for cause or default; and

E. has no conflict of interest, either direct or indirect, regarding the services sought herein pursuant to federal or state law and regulations.

Date: _____

(Signature of Proposer)	(Printed Name of Proposer)	(Position)

NON-COLLUSIVE AFFIDAVIT

_____, being first duly sworn, deposes and says: That he/she is (a partner or officer of the firm of, etc.) the party making the foregoing quote or bid; that such quote or bid is genuine and not collusive or sham; that said bidder has not colluded, conspired, connived or agreed, directly or indirectly, sought by agreement or collusion or communication or conference with any person, to fix the bid price of the affiant or of any other bidder, or to fix any overhead, profit or cost element of said bid price or of that of any other bidder, or to secure any advantage against UCC or any person interested in the proposed contract; and that all statements in said quote or bid are true.

(Name of Firm) _____

(Signature of Proposer) _____

(Printed Name of Proposer) _____

(Position) _____

Sworn and subscribed before me this _____ day of _____, 20____. Notary Public: _____

SECTION 3 PLAN

To be submitted by the Proponent selected for award before the Contract is signed (RFP – Project Administration, item 19).

The undersigned Contractor commits to provide employment, training and contracting opportunities to low-income and very low-income persons, and to the business concerns that employ them or are owned by them, in connection with the Work (DR-4339-PR PW 7432 – Project # 107355), as follows:

Commitment	Contractor's Plan
Estimated total labor hours for the Work	
Estimated labor hours to be performed by Section 3 workers or targeted Section 3 workers	
Estimated amount of subcontracts to Section 3 business concerns ($)	
Outreach and recruitment steps (job postings, community organizations, training programs)	
Person responsible for Section 3 compliance (name, telephone, e-mail)	

(Name of Firm) _____

(Signature of Authorized Representative) _____

(Printed Name) _____

(Position) _____

Date: _____

MWBE PARTICIPATION PLAN

To be submitted by the Proponent selected for award before the Contract is signed (RFP – Project Administration, item 19). Consistent with 2 CFR 200.321, list the local subcontractors and suppliers and the small, minority-owned and women-owned business enterprises (MWBE), including firms certified by the U.S. Small Business Administration (SBA), that will participate in the Work.

No.	Firm Name / Contact Person / Telephone	Local (Yes / No)	MWBE / SBA Certification	Scope of Work	Estimated Subcontract Amount ($)	% of Contract
1.						
2.						
3.						
4.						

Affirmative steps taken (mark all that apply):

☐ Included small businesses, minority-owned and women-owned businesses and labor surplus area firms on solicitation lists and solicited them whenever they are potential sources.

☐ Divided the total requirements, where economically feasible, into smaller tasks or quantities to permit maximum participation.

☐ Established delivery schedules, where the requirements permit, that encourage participation.

☐ Used the services and assistance of the Small Business Administration and the Minority Business Development Agency of the Department of Commerce.

☐ Required subcontractors, if any, to take the affirmative steps listed above.

(Name of Firm) _____

(Signature of Authorized Representative) _____

(Printed Name) _____

(Position) _____

Date: _____