

Section F, Quality Control Checklist/Certification

07/2018

CERTIFICATION AND RESTRICTIONS ON LOBBYING

I, _____, hereby certify

(Name and title of Principal)

On behalf of _____ that:

(Name of Bidder/Company Name)

- 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, and 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.
- If any funds other than federal appropriated funds have been paid or will be paid to any person influencing or attempting to influence an officer or employee of any agency, a Member of Congress, and officer or employee of Congress, or an employee of a Member of Congress in connection with the federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form – LLL, “Disclosure Form to Report Lobbying,” in accordance with its instructions.
- The undersigned shall require that the language of this certification be included in the award documents for all sub-awards at all tiers (including sub-contracts, subgrants and contracts under grants, loans, and cooperative agreements) and that all sub-recipients 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 31 U.S.C. § 1352 (as amended by the Lobbying Disclosure Act of 1995). Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

The undersigned certifies or affirms the truthfulness and accuracy of the contents of the statements submitted on or with this certification and understands that the provisions of 31 U.S.C. Section 3801, et seq., are applicable thereto.

Signature of authorized representative (Principal) _____ Date ____/____/____

The certification above, along with this document, must be submitted with the other required materials as appropriate.

This certifies that the information submitted has been reviewed and is in accordance with the following checklist.

The current forms and instructions are at our website: [https://www.dot.ny.gov/main/business-center/consultants/general-info/electronic-consultant-selection-\(process-2\)](https://www.dot.ny.gov/main/business-center/consultants/general-info/electronic-consultant-selection-(process-2))

Advertisement / Information Update

- We have revisited the website and obtained the latest version of the advertisement, obtained the latest version of ALL submittal forms (NYSDOT255) and instructions, CONR386, etc., and reviewed the “Announcements” page for any recently updated announcements.

NYSDOT255

- The NYSDOT255 FORM document has not been altered.
- The NYSDOT255 does not contain Color.
- The NYSDOT255 does not contain any Graphics except as needed for Item 7 (Org Chart)
- The NYSDOT255 does not contain / include any EMBEDDED, ATTACHED, or AFFIXED LINKS.
- The NYSDOT255 is a single file in Adobe Acrobat (.pdf) format.
- It does not include the three pages of instructions.
- **All firms listed in Sections 3 and 6 MUST MATCH their legal name listed on both the NYS Education Department’s and NYS Department of State’s Certifications.**
- The team members, their roles, their proposed tasks and % work are the same as proposed in the e-EOI (unless the advertisement specifies otherwise).

Resumes

- Each resume does not exceed one page
- The font is no smaller than 10 point.
- Includes the key and non-key staff required by the advertisement.
- Includes no more than the number of resumes permitted.

Certification: Availability date of Key Staff

- The Certification: Availability date of key Staff” includes all Key Staff listed in the Advertisement (Project Manager, Resident Engineer, Office Engineer, Chief Inspector, etc...).

Section A1 (if required)

- Submitted electronically as an attachment to the NYSDOT 255, and contains no more than the permitted number of pages, with the font no smaller than 10 points.
- Section A1 responses to issues are numbered and addressed individually.
- Meets all requirements as outlined in the advertisement.

Other required backup material to be submitted electronically via CSS Web includes:

- **Section B**, NYSDOT Current Remaining Work Disclosure Form (CONR 386) - **Must be resubmitted as an “Other” document when/if MATERIAL changes have occurred since your e-EOI submission.**
- **Section C**, Certification of D/M/WBE, SDVOB status, is required for any consultants claiming scoring credit as a Disadvantaged/Minority/Women Business Enterprise (D/M/WBE). The certification shall consist of a printout of the profile certifications from either/or: 1) the New York State Unified Certification Program (NYSUCP) Disadvantaged Business Enterprise (DBE) Directory (<https://nysucp.newnycontracts.com>) for any DBE prime or subconsultant, or 2) the Empire State Development, Division of Minority and Women's Business Development (<https://ny.newnycontracts.com/FrontEnd/VendorSearchPublic.asp>) for any MBE or WBE, or 3) NYSOGS SDVOB Directory (<http://www.ogs.ny.gov/Core/SDVOBA.asp>) for any SDVOB subconsultant. The certification must be in effect on the e-EOI due date and **it is the responsibility of the prime firm or Joint Venture to obtain this proof prior to submitting any D/M/WBE or SDVOB on their e-EOI.**
- The **Good Faith Effort Log Sheet(s)/Utilization Plan** is to be filled out and submitted with the proposing firm’s Expression of Interest (EOI). Additionally, the firm must also submit a MBE/WBE/SDVOB Goal Attainment Explanation Letter, explaining the firm’s Good Faith Efforts and why any stated participation goal was not attained.
- **Section D**, Information to back up the response(s) to special factor questions submitted in your electronic EOI. (If the advertisement contained special factor(s))

If Section D (Backup information) is required (submitted as an “Other” document via CSS Web):

For prior project information related to these factors:

- ☐ Group by factor.
- ☐ Number each example.
- ☐ List project title, date, client, and a very brief description of how it meets the criteria stated in the project advertisement.
- ☐ The backup must state explicitly how the project meets each and every condition for claiming credit as stated in the advertisement. It is critical that the backup use the same words the advertisement used to describe the conditions for claiming credit. If each and every condition for claiming credit is not restated, the project(s) would be considered unacceptable and may be subject to a misrepresentation review. (For examples or additional information see instructions on website or advertisement.)

- ☐ **For TASS** provide “Special Factor Verification Form”.
- ☐ **Section E**, Proofs of Authority - submit as one separate PDF file utilizing the Electronic Consultant Selection System web application the Proofs of Authority (for all Team members) from both the Department of State (<http://www.dos.ny.gov/>), and the Department of Education (<http://www.op.nysed.gov/opsearches.htm>).
- ☐ **Section F**, Quality Control Checklist/Certification fully completed and submitted electronically via CSS Web.

This certifies that the information submitted has been reviewed and is in accordance with the above. Submittals found inconsistent with this certification may affect the firm’s selection.

Firm:		
D:	PIN:	Description:
Name and Title (Officer / Principal):		Date:
Signature		Tel: