REQUEST FOR PROPOSALS (RFP)

RFP Number: DEV21TEC01

The Ohio Development Services Agency ("DSA"), Office of Technology Investments, is requesting proposals for:

Evaluation Services for Ohio Third Frontier's Pre Seed/Seed Plus Capitalization Fund

RFP Issued: October 6, 2020
Inquiry Period Begins: October 6, 2020
Inquiry Period Ends: October 27, 2020 at 8:00 a.m.
Proposals Due: November 2, 2020 at 2:00 p.m.

Submit Proposals via e-mail to:

Andy Shaw, Agency Procurement Officer
Ohio Development Services Agency
Budget & Finance Office
Procurement@development.ohio.gov
(614) 466-5930

This RFP consists of five parts and three attachments, totaling twenty nine consecutively numbered pages. Please verify that you have a complete copy.

Please submit all inquiries about this RFP through the State Procurement web site at www.ohio.gov/procure. Please refer to Part Three of this RFP, "General Instructions", for instructions on submitting inquiries through the State Procurement web site. All responses to inquiries submitted by Proposers will be posted on the State Procurement website for viewing by all prospective Proposers.

Ohio | Development Services Agency

PART ONE: STRUCTURE OF THIS RFP

PARTS

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Part Two	Services Requested Information
Part Three	General Instructions
Part Four	Evaluation of Proposals
Part Five	Contract Award

ATTACHMENTS

Appendix 1 -- Executive Order 2019-D

- Governing the Expenditure of Public Funds for Offshore Services

Appendix 2 -- Standard Affirmation and Disclosure Form, Standard Terms and Conditions

- Standard Affirmation and Disclosure Form must be signed by an authorized official of Proposer's organization and must be included for any proposal to be scored

Appendix 3 – DSA's Standard Agreement for Services

- DSA's standard, or boilerplate, personal service contract document, including terms and conditions
- This sample document is provided only for convenience and the terms and conditions contained therein are subject to change without notice

PART TWO: SERVICES REQUESTED INFORMATION

PURPOSE

The Ohio Development Services Agency's ("DSA") Office of Technology Investments is requesting proposals from contractors to provide proposal evaluation services and other forms of technical assistance related to review of proposals submitted for funding under the Ohio Third Frontier's Pre-Seed/Seed Plus Fund Capitalization Program for State Fiscal Year (FY) 2021.

BACKGROUND

Ohio Third Frontier is a $2.1 billion economic development initiative supporting technology entrepreneurship and growing jobs across the state of Ohio. Through a statewide network of resources, entrepreneurs have access to technology, business assistance, capital, and talent to turn great ideas into thriving companies. Ohio Third Frontier is driving this expanding, vibrant community of high-growth technology companies, and making Ohio a leading destination for entrepreneurs.

What Ohio Third Frontier Supports:

Ohio Third Frontier seeks compelling business models for near-term market opportunities based on technology and tech-enabled products and services focused in the following areas:

- Software/Information Technology
- Biomedical/Life Sciences
- Advanced Materials
- Sensors
- Energy
- Advanced Manufacturing

Pre-Seed/Seed Plus Capitalization Fund

Ohio Third Frontier has helped establish Ohio as a leading location for early-stage capital investment through the capitalization of multiple Ohio-based Pre-Seed and Seed Plus Funds. By providing this funding, Ohio Third Frontier has successfully expanded the number of professionally managed, early stage investment funds that support promising start-up technology companies. Through these investments, Ohio Third Frontier has stimulated the growth of emerging technology start-up companies and is catalyzing the conversion of the State's economy through new, innovative, and successful opportunities for economic growth.

As Ohio start-up companies successfully progress past the pre-seed stage and seek series A investment to grow to the next level, many have found that venture funds have moved further downstream and require more validation before investing. As a result, many Ohio start-up companies assemble larger and more pre-seed and seed rounds before advancing to the next significant level of professional investment capital – a true Series A round. In an effort to increase these growing companies success in accessing Series A, the Seed Plus category will allow these funds to directly participate in Seed Plus and early stage Series A rounds as a material co-investor, thus enabling a company to achieve more milestones and market validation as well as ensuring a more attractive valuation. Seed Plus is not a substitute for Series A investment, but is intended to help companies that are transitioning from pre-seed, seed and angel funding to

institutional financing.

DSA anticipates awarding up to $60 million through the FY2021 Pre-Seed/Seed Plus Fund Capitalization Program. Funding will be in the form of a loan with the following ranges and cost share requirements:

Pre-Seed Fund:

- State funding in the anticipated range of $1 million to $5 million with a minimum of 1:1 cost share that would result in a total fund of $2 million to $10 million.

Seed Plus Fund:

- State funding in the anticipated range of $2.5 million to $5 million with a minimum of 3:1 cost share that would result in a total of $10 million to $20 million.

SCOPE OF WORK

This Request for Proposals ("RFP") seeks Evaluation Services for Ohio Third Frontier's Pre-Seed/Seed Plus Capitalization Fund Program identified above. The selected contractor will evaluate proposals, in FY 2021 (July 1, 2020 through June 30, 2021), submitted in response to Ohio Third Frontier Request for Proposals (the "Program RFP") for the Program. Program information will be made available at https://development.ohio.gov/bs_thirdfrontier/pfcp.htm. Program RFP Proposals to be evaluated are due to DSA by December 4, 2020. DSA will require Evaluator funding recommendations, as described in greater detail below, by January 29, 2021.

Prospective proposers must have the staff with the expertise and experience to perform the required services outlined in this RFP. The proposer must provide detailed information to prove the specific experience and how it compares to the work requested in this RFP. Proposals deemed to be non-responsive will not be reviewed.

The final scope of services will be negotiated at the time of selection and will include, but will not be limited to, evaluation of proposals, submitted in response to a Program RFP issued by DSA, and technical assistance services. The evaluations to be performed, also referred to as reviews, will consist of the following:

A. Perform proposal evaluation services including Pre-Seed and Seed Plus reviews for the Pre-Seed/Seed Plus Fund Capitalization Program;
B. Prepare written description of evaluation methodology based on evaluation criteria;
C. Prepare technical assistance services pertaining to the Pre-Seed and Seed Plus Fund Capitalization Program;

D. Maintain communications with DSA regarding the status of the review process;

E. Prepare a Final Report explaining the proposal review process, the evaluation results for each proposal reviewed, and a summary of the proposal evaluation findings. The report should include scoring for each proposal against the evaluation criteria, appropriately-sized insightful summaries of strengths, weaknesses, and risks for proposals recommended for funding and all other proposals reviewed. These reports will be shared with the Ohio Third Frontier Commission, other appropriate oversight entities, and applicants, and are also considered to be public documents and may not be copyrighted. The summaries should be of high-quality and suitable for publication to a broad, diverse audience;
F. Prepare high quality presentation and written handout materials to be used at Ohio Third Frontier Commission or other meetings. Content should include an explanation of the evaluation process; relevant non-proprietary information on the evaluation methodology; and the funding recommendations;
G. Participate in Ohio Third Frontier Commission or other meetings to present proposal evaluation methodology, results and funding recommendations as requested by DSA. Sufficient notice will be provided in advance of any meeting which Contractor is required to attend;
H. Conduct debriefing for applicants with non-funded proposals;
I. At the direction of DSA, provide other technical services in addition to the Application Evaluation Services.

Proposals in response to the Program RFP for review under this Scope of Work are due to DSA December 4, 2020. The evaluation of proposals, or review, for the Program RFP will be due to DSA from selected evaluation service providers by January 29, 2021.

PROPOSAL REQUIREMENTS

In no more than six (6) pages, Proposers choosing to respond to this RFP are asked to format their proposals within the following order and content.

1. Provide a general description of the Proposer's and proposer principals' background, nature of business activities, and experience related to the program being addressed and substantiating the company's qualifications to provide the requested services. In this section, Proposer must specifically:

   a) Confirm that the Proposer(s) can sign a Non-Disclosure Agreement before evaluating any Program proposal.
   b) Confirm that the Proposer(s) has the resources necessary to evaluate the Pre-Seed/Seed Plus Capitalization Fund proposals during FY2021.
   c) Describe its relevant experience and provide specific examples of prior projects similar to evaluations of proposals for the Program. Describe the scope, size, and relevancy of each project and how they relate to the elements of the Program.

2. Provide a staffing and project plan that should respond to each evaluation factor and describe or demonstrate the following:

   a) Describe the qualifications of the team, both organizational experience and individuals assigned to the project, regarding their subject matter expertise relative to the Program, experience related to program evaluation, and project management experience.
   b) Describe the Proposer's access to additional subject matter and business expertise,

including specific individuals and organizations, and the Proposer's ability to involve those experts in the proposal review process when needed.

c) Describe the number of evaluators/reviewers utilized per proposal as well as the average number of hours each evaluator will spend reviewing each proposal.
d) Describe the Proposer's ability to adapt readily to changes initiated by DSA to tasks or instructions.
e) Describe the evaluation methodology used and how that methodology will allow a Proposer to arrive at a highly qualified and insightful technical evaluation of proposals received in response to the Program RFP(s) issued by DSA.
f) Briefly discuss the management plan, including the steps involved in the reviews, how the reviewers will be selected and assigned, and how Proposer will achieve quality control. Describe the process for managing the reviews and how problems will be resolved, if encountered, to ensure meeting deadlines.
g) Describe the anticipated timeline for individual proposal reviews as well as the overall evaluation process, noting again the evaluation of proposals, or review, for the Program RFP will be due to DSA by January 29, 2021.

3. Proposers must detail the process they will use to identify, disclose to DSA and manage conflicts of interest with proposals forwarded to them by DSA for review or requests from DSA for technical assistance. Please use the following guidelines in identifying any conflicts of interest. The identification of a conflict of interest needs to consider:

a) All names under which the firm, employees of the firm, or immediate family do business;
b) All fee simple and leasehold interests to which the firm or employee of the firm holds legal title to or a beneficial interest in real property located within the state;
c) Any business relationship or investment that the firm, employee of the firm, or anyone else for the benefit of the firm or employee of the firm had during the preceding year (from the contract date) that is valued at greater than one thousand dollars;
d) Any office or fiduciary relationship held by the firm or employee of the firm during the year preceding the contract date; and
e) Income that the firm or employee of the firm receives or expects to receive from an applicant for a DSA program for which the firm has been engaged to evaluate proposals, whether the applicant has been previously funded by a DSA program, or any of identified collaborators of any program applicant.

4. Proposers must provide affirmation that they understand that if selected to perform evaluations, and a conflict of interest arises that they cannot manage internally, the Proposer(s) will be required to train a secondary contractor, selected by DSA, in the use of the Proposer 's evaluation tool(s) and methodology. The secondary contractor will evaluate the proposal and submit the result of its evaluation into the rank-ordered listing. Payment of costs of the secondary contractor will be the responsibility of DSA.

5. Proposers must provide affirmation that they will comply with Ohio Ethics Laws to the extent applicable and will not provide services in connection with grant proceeds that result from a proposal evaluated by the proposer(s).

FEE STRUCTURE

Proposers are to include a budget table similar to the one below, complete with all requested information.

In addition to the budget table, proposers shall include a narrative explanation of cost detail (including assumptions for those details) for labor, travel, supplies, and all expenses and fees. The narrative cannot exceed 1 page.

The Proposer's total cost must be represented as the firm, fixed price. All costs for furnishing the services must be included in the cost proposal. DSA will not be responsible for any cost not identified in the proposal.

Travel expenses are not eligible for reimbursement under this RFP. Any anticipated travel costs associated with the performance of the evaluation services should be included in the Proposer's costs outlined in the table below.

The Contractor will be paid as proposed on the Cost Proposal after the Agency approves the receipt of products(s)/services and continued completion of all deliverables. All costs must be in U.S. Dollars. It is desired to award a cost-incurred contract based upon the successful Proposer's quoted hourly rate and number of hours needed to provide each of the requested services.

Invoices may be submitted in arrears no more than twice per month for the work completed.

Pre-Seed/Seed Plus Capitalization evaluation and Technical Services		Estimated Quantity Per Year	Unit Price Ea.	FY2021
Fixed Costs (not tied to number of Proposal; itemize any/all costs, if applicable)				
				$
Total Fixed Costs				$
Proposal Evaluation Costs				
Stage 1 Review		30 Evaluations		$
Average Hours/Stage 1 Review	#			
Estimated # of evaluators/Proposal	#			
Evaluator hourly rate				$
Stage 2 Review		20 Evaluations		$
Average Hours/Stage 2 Review	#			
Estimated # of evaluators/Proposal	#			
Evaluator hourly rate				$
Debriefings		10		$
Other Services				
Technical Service Hours		200	$ /Hr.	$
Total (Fixed + Evaluation + Technical Assistance)				$

PART THREE: GENERAL INSTRUCTIONS

The following sections provide a calendar of events, details on how to respond to this RFP and how to get more information about this RFP. All responses must be complete and in the prescribed format.

CALENDAR OF EVENTS & ON-LINE INFORMATION

The schedule for this RFP is given below and is subject to change. DSA may change this schedule at any time. If DSA changes the schedule before the Proposal Due Date, it will do so through an announcement on the State Procurement web site area for this RFP at the following link: http://procure.ohio.gov/proc/index.asp. The web site announcement will be followed by an addendum to this RFP, which also will be made available through the same State Procurement web site.

It is each prospective Proposer's responsibility to check the State Procurement web site's question-and-answer area for this RFP for current information and the calendar of events scheduled through award of any contract.

Other than by adherence to the RFP Inquiry process, set forth below, no contact related to this RFP shall be made with DSA until a contract award is announced. Notwithstanding this prohibition, DSA, at its sole discretion, may request additional information as part of the review process outlined below.

Firm Dates

RFP Issued:	October 6, 2020
Inquiry Period Begins:	October 5, 2020
Inquiry Period Ends:	October 27, 2020 at 8:00 a.m.
Proposal Due Date:	November 2, 2020 by 2:00 p.m.

Estimated Dates

Contract Award Notification:	Approx. December 2020
Issuance of Purchase Order:	To be determined

PROPOSAL SUBMITTAL

Proposals must be submitted in the following manner:

- **Proposals must be submitted via e-mail by no later than November 2, 2020 by 2:00 p.m. to Procurement@development.ohio.gov.**
- Proposals are to be prepared for printing on 8.5 x 11-inch paper.
- Margins must not be less than ¾ of an inch on all sides.
- Font must be 10 point or larger with no more than 6 lines of text per inch.
- Proposals should be no more than 6 pages in length. Forms required to be returned with the proposals, such as Appendix 2, will not be counted toward the maximum total.
- All pages must be numbered consecutively using the format "Page [#] of [total number of pages]" (e.g., Page 2 of 20).

Proposers are advised there will be no opportunity to correct mistakes or deficiencies in their submitted materials after the Proposal Due Date. Proposals that are incomplete or otherwise missing required information may not be evaluated.

It is the Proposer's responsibility to ensure timely submission of a complete Proposal. Late Proposals will not be scored. DSA is under no obligation to consider a Proposal which is received after the Proposal Due Date or that is incomplete. Proposals that are not submitted in the format requested will not be scored.

No supplementary or revised materials will be accepted after the Proposal Due Date unless specifically requested by DSA.

All costs incurred in the preparation of the Proposal shall be borne by the Proposer alone, and DSA shall not contribute, in any way, to the cost of the preparation of the Proposal.

Any and all documents developed by the Proposer during the course of this project will be provided to DSA upon request and will become the property of DSA, and the Proposer shall not assert any claims arising under copyright or otherwise inconsistent with the transfer of ownership of such documents.

All information submitted in response to this RFP shall be a public record unless a statutory exception exists that would protect the information from release to the public. Any information submitted with the Proposal which the Proposer reasonably believes to be a trade secret, as that term is defined in Section 1333.61 of the Ohio Revised Code, may be designated as such by marking the information as follows: the phrase "trade secret," marked with two asterisks on each side, must be placed at the beginning and end of the trade secret information (example: ** TRADE SECRET **). In addition, the trade secret information shall be underlined. Information determined to be a trade secret under the laws of the State of Ohio may be protected as trade secrets by DSA in accordance with Ohio law.

DSA reserves the right to:

- Accept or reject any and all Proposals and/or bids if DSA determines that it is in the best interests of the State to do so.
- Rebid this RFP, requesting new Proposals from qualified firms.

- Waive or modify minor irregularities in Proposals received.
- Negotiate with Proposer(s), within the requirements of this RFP, to best serve the interests of the State of Ohio.
- Require the submission of modifications or additions to Proposals as a condition of further participation in the selection process.
- Fund any Proposal in full or in part; any assignments of work by DSA under the scope of this RFP will be made dependent on need and the availability of adequate, specific funding.
- Not make an award at the end of the evaluation process; this RFP is not to be interpreted or construed to guarantee that one or more Proposers submitting responses will be awarded contracts.
- Adjust the RFP Calendar of Event dates for whatever reason it deems appropriate.
- Contact Proposer to clarify any portion of the Proposer's submittal.

If, during the review process, DSA determines that it is necessary to make further distinctions between certain Proposers, DSA may request certain selected Proposers to make a presentation to staff and reviewers.

In accordance with federal and state statutes and DSA policy, no person shall be excluded from participation or subject to discrimination in the RFP process on the basis of race, color, age, sex, national origin, military status, religion, or disability.

INQUIRIES

Prospective Proposers may make inquiries or seek clarifications regarding this RFP any time during the inquiry period listed in the RFP Calendar of Events. To make an inquiry, prospective Proposer must use the following process:

1. Access the State Procurement web site at http://www.ohio.gov/procure.
2. From the Navigation Bar on the right, select "Bid Opportunities Search"
3. Enter the RFP Number found on Page 1 of this document in the Document/Bid Number field.
4. Click the "Search" button.
5. Click on the Document/Bid number hyperlink
6. On the document information page, click the "Submit Inquiry" button.
7. On the document inquiry page, complete the required "Personal Information" section by providing the following:
    a. First and last name of the prospective Proposer's representative who is responsible for the inquiry;
    b. Name of the prospective Proposer;
    c. Representative's business phone number; and
    d. Representative's email address.
8. Type the inquiry in the space provided, making certain to include the following:
    a. A reference to the relevant part of this RFP;
    b. The heading for the provision under question; and
    c. The page number of the RFP where the provision can be found.
9. Click the "Submit" button.

Prospective Proposers submitting inquiries will receive an immediate acknowledgement by e-mail that their inquiry has been received. **The prospective Proposer who submitted the inquiry will not receive an e-mail response to the question but will need to view the response on the State Procurement web site where it will be posted for viewing by all prospective Proposers.**

Prospective Proposers may view inquiries using the following process:

1. Access the State Procurement web site at http://www.ohio.gov/procure.
2. From the Navigation Bar at the top, select "for Suppliers".
3. Under the title "Bid Opportunities", select "All Opportunities".
4. Enter the RFP Number found on Page 1 of this document as the "Document/Bid Number".
5. Click the "Search" button.
6. Select this RFP.
7. On the document information page, click the "View Q & A" button to display all inquiries with responses submitted to date.

DSA will try to respond to all properly posed inquiries within 48 hours, excluding weekends and state holidays. DSA will not respond to any inquiries received after 8:00 a.m. on October 27, 2020. Prospective Proposers who attempt to seek information or clarifications verbally will be directed to reduce their questions to writing in accordance with the terms of this RFP and state purchasing policy. No other form of communication is acceptable and use of any other form of communication or any attempt to communicate with DSA staff or any other agency of the State to discuss this RFP may result in the Proposer being deemed ineligible.

PART FOUR: EVALUATION OF PROPOSALS

EVALUATION PROCESS

DSA's evaluation process of responses submitted to this request may consist of up to four distinct phases:

1. DSA's initial review of all proposals for timely submission;
2. An evaluation committee review of the proposals for defects and scoring;
3. DSA's request for more information (clarifications, interviews, presentations, and/or demonstrations); and,
4. Negotiations or best offer requests.

At its sole discretion, DSA will determine whether phases three and/or four are necessary under this RFP, reserving for itself the ability to eliminate or add phases three or four at any time during the evaluation process. DSA may add or remove sub-phases to phases 2 through 4 at any time if DSA believes doing so will improve the evaluation process.

Development Services Agency will apply Veteran Friendly Business Enterprise preference as required by ORC 9.318 and OAC 123:5-1-16.

If the Proposer qualifies as a Veteran Friendly Business Enterprise as defined by ORC 9.318 and OAC 123:5-1-01 (KK), the proposer shall certify in the proposal the following:

(Insert Company name) affirms that they are certified as a Veteran Friendly Business Enterprise as defined by Ohio Revised Code 9.318 and Ohio Administrative Code 123:5-1-01 (KK).

PROPOSAL EVALUATION CRITERIA

In the proposal evaluation phase, DSA staff or reviewers selected by DSA (the committee) will score the proposals submitted in response to this RFP by multiplying the rating received for each of the following criteria by its associated weight assigned and adding all extended scores. Ratings will be assigned on a scale from zero to 5 (regarding meeting or exceeding objectives or expectations) for each criterion.

- Does not Meet (0)
- Poor (1)
- Weak (2)
- Meets (3)
- Exceeds (4)
- Outstanding (5)

Criteria	Weight	Rating	Extended Score
Proposer Background			
Prior experience with projects of similar scope and scale.	25		
Company background, number of years in business, number of employees, financial stability, capacity to do the work.	10		
Staffing Plan			
Review Team possesses relevant technology and industry expertise including knowledge in early-stage technology experience; early-stage capital funding mechanisms, including angel funds, pre-seed funds, seed funds, venture capital funds and other similar mechanisms; entrepreneurial expertise, company financial analysis, technology commercial markets, technology product or process expertise; and demonstrated knowledge of technology based economic development programs.	20		
Description of the applicant's access to additional subject matter and business expertise, including specific individuals and organizations, and the applicant's ability to involve those experts in the proposal review process.	15		
Staff Qualifications and experience conducting proposal reviews and evaluations.	10		
Reasonableness of the number of evaluators per proposal and number of hours per evaluator per proposal.	10		
Reasonableness of the estimated cost to complete the required work.	10		
Contractor's ability to adapt readily to changes initiated by DSA to tasks or instructions.	10		
The Scope of Work (Work Plan)			
Thoroughness and appropriateness of the proposal evaluation approach/methodologies, including the steps involved, how reviewers are selected and how quality control is achieved.	20		
Feasibility of timeline proposed to complete the work.	10		
Recognition of the importance of protecting against potential conflicts of interest and protecting the confidentiality of materials received from applicants and methods for doing so.	10		
References	10		

PART FIVE: CONTRACT AWARD

CONTRACT AWARD PROCESS

It is DSA's intention to award one or more contracts under the scope of this RFP and as based on the RFP Calendar of Events schedule, so long as DSA determines that doing so is in the State's best interests and DSA has not otherwise changed the award date.

Any award decision by DSA under this RFP is final. After DSA makes its decision under this RFP, all Proposers will be notified (in writing or by phone, at DSA's discretion) of the final evaluation and determination as to their Proposals.

DSA will issue a notice of contract award to the selected Proposer(s) and finalized contract terms and conditions will be forwarded for signature. Once three executed copies of the contract are submitted by the Proposer(s) and pending any further approvals that may be required (e.g., State Controlling Board), DSA will fully execute the contract.

Once the contract is fully executed, DSA will issue to the Proposer(s) one (1) copy of the signed instrument for its/their files.

Unless otherwise negotiated and included in the executed contract/scope of work, the selected vendor(s) shall be bound by all outlined services, policies and procedures as contained in the vendor's submitted and evaluated proposal.

NUMBER OF AWARDS

DSA anticipates making at least one award depending on programs' needs and the fit of the Proposer(s) to the scope of this RFP.

FUNDING APPROVAL THRESHOLD

In the event that contractual expenditures with the selected Proposer(s) will exceed $50,000 in spending under any contract that results from this RFP, or that otherwise exceed $50,000 in aggregate spending across all contracts between the Proposer and DSA, the contract will be subject to the approval of the State of Ohio Controlling Board.

Appendix 1:

Executive Order 2019-D

Governing the Expenditure of Public Funds for Offshore Services

No Contract Funds May be Spent Offshore

Executive Order 2019-19D "Governing the Expenditure of Public Funds for Offshore Services" prohibits the use of any public funds within the control of an executive agency to purchase services which will be performed outside of the United States.

To be considered by the Ohio Development Services Agency, a bid response must be accompanied by an Affirmation and Disclosure in the form attached to this RFP and a signed Standard Terms and Conditions Form (Appendix 2). Both of these forms must be signed at the end by an authorized representative of the proposer. Any bid response received that does not include a completed, signed copy of this form will be immediately disqualified.

MIKE DEWINE
GOVERNOR
STATE OF OHIO

Executive Order 2019-12D

Governing the Expenditure of Public Funds for Offshore Services

WHEREAS, the retention and creation of jobs in the State of Ohio is fundamental to the future prosperity of all Ohioans: and

WHEREAS, the use of public funds for services provided outside the United States potentially undermines economic development; and

WHEREAS, it shall be the policy of my Administration to prohibit the expenditure of public funds for services provided outside the United States;

NOW THEREFORE, I, Mike DeWine, Governor of the State of Ohio, by virtue of the authority vested in me by the Constitution and laws of this State do hereby order and direct that:

1. No State Cabinet Agency, Board or Commission ("Executive Agency") shall enter into any contract which uses any funds within its control to purchase services which will be provided outside the United States. This Executive Order applies to all purchases of services made directly by an Executive Agency and services provided by subcontractors of those providing services purchased by an Executive Agency.

2. This Executive Order will be personally provided, by the Director, Chair or other chief executive official of each Executive Agency, to the Chief Procurement Officer or other individual at that entity responsible for contracts for services.

3. The Department of Administrative Services, through Ohio's Chief Procurement Officer, shall continue to maintain procedures to ensure all of the following:

   a. All agency procurement officers (APOs), or the person with equivalent duties at each Executive Agency, have standard language in all Executive Agency contracts which:

      i. Reflect this Order's prohibition on the purchase of offshore services.
      ii. Require service providers or prospective service providers to:

         1. Affirm that they understand and will abide by the requirements of this Order.
         2. Disclose the location(s) where all services will be performed by any contractor or subcontractor.

3. Disclose the location(s) where any State data associated with any of the services they are providing, or seek to provide, will be accessed, tested, maintained, backed-up or stored.
4. Disclose any shift in the location of any services being provided by the contractor or any subcontractor.
5. Disclose the principal location of business for the contractor and all subcontractors who are supplying services to the State under the proposed contracts

b. All APOs confirm that all quotations, statements of work, and other such proposals for services affirm this Order's prohibition on the purchase of offshore services and include all of this Order's disclosure requirements.

i. Any such proposal for services lacking the affirmation and disclosure requirements of the Order will not be considered.
ii. Any such proposal where the performance of services is proposed to be provided at a location outside the United States by the contractor or any subcontractor will not be considered.

c. All procurement manuals, directives, policies, and procedures reflect the requirements of this Order.

d. All APOs have adequate training which addresses the terms of this Order.

4. Nothing in this Order is intended to contradict any State or federal law. In addition, this Order does not apply to:

a. Services necessary to support the efforts to attract jobs and business to Ohio;

b. Academic, instructional, educational, research or other services necessary to support the international missions of Ohio's public colleges and universities; or

c. Situations in which the Director of the Department of Administrative Services, or the Director's designee, shall determine that it is an emergency or that it is necessary for the State to waive some or all of the requirements of this Order. The Director shall establish standards by which Executive Agencies may request a waiver of some or all of the requirements of this Order and by which such requests will be evaluated and may be granted.

I signed this Executive Order on March 4, 2019 in Columbus, Ohio and it will expire ten (10) calendar days after my last day as Governor of Ohio unless rescinded before then.

Mike DeWine, Governor

ATTEST:

Frank LaRose, Secretary of State

Appendix 2:

Standard Affirmation and Disclosure Form, Standard Terms and Conditions

STANDARD AFFIRMATION AND DISCLOSURE FORM

EXECUTIVE ORDER 2019-12D

Governing the Expenditure of Public Funds on Offshore Services

All of the following provisions must be included in all invitations to bid, requests for proposals, state term schedules, multiple award contracts, requests for quotations, informal quotations, and statements of work. This information is to be submitted as part of the response to any of the procurement methods listed.

By the signature affixed hereto, the Contractor affirms, understands and will abide by the requirements of Executive Order 2019-12D. If awarded a contract, both the Contractor and any of its subcontractors shall perform no services requested under this Contract outside of the United States.

The Contractor shall provide all the name(s) and location(s) where services under this Contract will be performed in the spaces provided below or by attachment. Failure to provide this information may subject the Contractor to sanctions. If the Contractor will not be using subcontractors, indicate "Not Applicable" in the appropriate spaces.

1. Principal location of business of Contractor:

   _____ _____
   (Address) (City, State, Zip)

   Name/Principal location of business of subcontractor(s):

   _____ _____
   (Name) (Address, City, State, Zip)

   _____ _____
   (Name) (Address, City, State, Zip)

2. Location where services will be performed by Contractor:

   _____ _____
   (Address) (City, State, Zip)

   Name/Location where services will be performed by subcontractor(s):

   _____ _____
   (Name) (Address, City, State, Zip)

   _____ _____
   (Name) (Address, City, State, Zip)

3. Location where state data will be stored, accessed, tested, maintained or backed-up, by Contractor:

_____	_____
(Address)	(Address, City, State, Zip)

Name/Location(s) where state data will be stored, accessed, tested, maintained or backed-up by subcontractor(s):

_____	_____
(Name)	(Address, City, State, Zip)
_____	_____
(Name)	(Address, City, State, Zip)
_____	_____
(Name)	(Address, City, State, Zip)
_____	_____
(Name)	(Address, City, State, Zip)
_____	_____
(Name)	(Address, City, State, Zip)

Contractor also affirms, understands and agrees that Contractor and its subcontractors are under a duty to disclose to the State any change or shift in location of services performed by Contractor or its subcontractors before, during and after execution of any Contract with the State. Contractor agrees it shall so notify the State immediately of any such change or shift in location of its services. The State has the right to immediately terminate the contract, unless a duly signed waiver from the State has been attained by the Contractor to perform the services outside the United States.

On behalf of the Contractor, I acknowledge that I am duly authorized to execute this Affirmation and Disclosure form and have read and understand that this form is a part of any Contract that Contractor may enter into with the State and is incorporated therein.

By: _____
Contractor

Print Name: _____

Title: _____

Date: _____

STANDARD TERMS AND CONDITIONS

EXECUTIVE ORDER 2019-12D

Governing the Expenditure of Public Funds on Offshore Services

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The Contractor affirms to have read and understands Executive Order 2019-12D and shall abide by those requirements in the performance of this Contract. Notwithstanding any other terms of this Contract, the State reserves the right to recover any funds paid for services the Contractor performs outside of the United States for which it did not receive a waiver. The State does not waive any other rights and remedies provided the State in this Contract.

Appendix 3:

DSA's Standard Agreement for Services

This sample document is provided only for convenience and the terms and conditions contained herein are subject to change without notice.

AGREEMENT FOR SERVICES

This Agreement for Services ("**Agreement**") is made and entered into between the **State of Ohio, Development Services Agency** ("**Sponsor**"), and _____ ("**Contractor**"). This Agreement shall have Ohio Development Services Agency Agreement Control Number of _____.

1. Statement of Work. Contractor shall undertake and complete the work and activities set forth in Exhibit I, "Scope of Work," which is attached hereto, made a part hereof, and incorporated herein by reference as if fully rewritten herein. Contractor shall consult with the personnel of Sponsor and with other appropriate persons, agencies, or instrumentalities as necessary to ensure a complete understanding of the work and satisfactory completion thereof.

2. Sponsor's Instructions. Sponsor may, from time to time as it deems appropriate and necessary, communicate specific instructions and requests to Contractor concerning the performance of the work described in this Agreement. Upon such notice and within a reasonable time, Contractor shall comply with such instructions and fulfill such requests to the satisfaction of Sponsor. It is expressly understood by the parties that the instructions and requests are for the sole purpose of performing the specific tasks requested and to ensure satisfactory completion of the work described in this Agreement. However, they are not intended to amend or alter the terms of this Agreement or any part thereof.

3. Term and Location of Performance.

(a) Term. This Agreement shall be binding upon both parties, and the work described in this Agreement shall commence on _____ and all activities under this Agreement shall be completed not later than _____, on which date this Agreement shall expire. In the event that the work hereunder is to be done in separate phases, each phase shall be completed within the time prescribed in Exhibit I.

(b) Change of Performance Location. Contractor also affirms, understands, and agrees to immediately notify Sponsor of any change or shift in the location(s) of services performed by Contractor or its subcontractors under this Agreement, and no services shall be changed or shifted to a location(s) outside of the United States.

4. Compensation. In consideration of the promises of Contractor herein, Sponsor agrees to pay Contractor at the rates set forth in Exhibit I on a reimbursement basis upon Sponsor's receipt and approval of proper invoices. Contractor shall not be compensated for services rendered hereunder except as expressly set forth herein. The total compensation to be paid to Contractor under this Agreement shall not exceed _____ ($_____.00).

5. Proper Invoicing Method. Contractor shall be required to submit proper invoices that are itemized and show all of the following:

(a) Performance of the service described in Exhibit I;
(b) Date or dates of the rendering of the service;
(c) An itemization of the things or service done, the material supplied or the labor furnished; and
(d) The sum due pursuant to that invoice in relation to the total compensation owed under the Agreement.

The adequacy and sufficiency of such invoices shall be determined solely by Sponsor. If Sponsor determines that an invoice is inadequate or insufficient, or determines that further documentation or clarification is required for a particular invoice, the burden of providing the required information or documentation is on Contractor. Costs incurred by Contractor which are associated with providing the required additional information or documentation and costs which are related to defending an inadequate or insufficient invoice

shall not be charged to Sponsor and shall not be considered an allowable expense under this Agreement. Failure to comply with this section shall delay payment to Contractor under this Agreement.

6. Contractor's Expenses. Contractor shall solely be responsible for all office, business, and personnel expenses associated with the performance of this Agreement.

7. Permissible Expenses. If "travel expenses," as defined in Ohio Administrative Code Section 126-1-02, are a cost of the Project eligible for reimbursement, Contractor shall be reimbursed for those permissible travel expenses in amounts in accordance with Ohio Administrative Code Section 126-1-02, as updated from time to time (the "Expense Rule) and Contractor agrees that it shall not be reimbursed and Sponsor shall not pay any items that are deemed to be "non-reimbursable travel expenses" under the Expense Rule, whether purchased by the Contractor or Sponsor or their respective employees or agents.

8. Termination.

(a) General. Sponsor may terminate this Agreement upon thirty (30) days written notice to Contractor if Sponsor determines that the product or services to be provided as further described in Exhibit I is inadequate for the intended use or cannot be feasibly adapted for the intended use. In addition, either Sponsor or Contractor may terminate this Agreement for just cause upon thirty (30) days written notice to the other party. Upon notice of termination, Contractor shall cease all work under this Agreement and shall take all necessary or appropriate steps to limit disbursements and minimize costs in ceasing all work. Contractor shall be required to furnish a report setting forth the status of all activities under the Agreement including, but not limited to, the work completed and the payments received by Contractor and such other information as Sponsor may require. Subject to any claim for damages arising from Contractor's breach, Contractor shall be entitled to compensation for work completed through the date Contractor received notice of termination upon submission and approval of proper documentation or invoices.

9. Records Maintenance and Access.

(a) Maintenance of Records. Contractor shall establish and maintain for at least three (3) years after the last day of the Term of the Agreement or earlier termination of this Agreement its records regarding this Agreement, including, but not limited to, financial reports, job creation and retention statistics, and all other information pertaining to Contractor's performance of its obligations under this Agreement. Contractor also agrees that any records required by Sponsor with respect to any questioned costs, audit disallowances, litigation or dispute between Sponsor and Contractor shall be maintained for the time needed for the resolution of such question or dispute.

(b) Inspection and Copying. At any time during normal business hours and upon not less than twenty-four (24) hours prior written notice, Contractor shall make available to Sponsor, its agents or other appropriate State agencies or officials all books and records regarding this Agreement which are in the possession or control of Contractor, including, but not limited to, records of personnel. Sponsor, its agents and other appropriate State agencies and officials may review, audit and make copies of such books and records, and any such inspection of books and records will be undertaken in such a manner as not to interfere unreasonably with the normal business operations of Contractor. Contractor shall, at its own cost and expense, segregate records to be made available for inspection pursuant to this Section 9(b) from Contractor's other records of operation.

10. Certification of Funds. It is expressly understood by the parties that none of the rights, duties, and obligations described in this Agreement shall be binding on either party until all applicable statutory provisions of the Ohio Revised Code, including but not limited to section 126.07, have been complied with and until such time as all necessary funds are made available and forthcoming from the appropriate state agencies.

11. Equal Employment Opportunity. Pursuant to Ohio Revised Code Section 125.111, Contractor agrees that Contractor, any subcontractor, and any person acting on behalf of Contractor or subcontractor, shall not discriminate, by reason of race, color, religion, sex, age, disability, military status, national origin, or ancestry against any citizen of this state in the employment of any person qualified and available to perform the work under this Agreement. Contractor further agrees that Contractor, any subcontractor and any person acting on behalf of Contractor or subcontractor shall not, in any manner, discriminate against, intimidate, or retaliate against any employee hired for the performance of work under this Agreement on account of race, color, religion, sex, age, disability, military status, national origin or ancestry.

12. Indemnification. Contractor agrees to indemnify and to hold the Sponsor and State of Ohio harmless and immune from any and all claims for injury or damages arising from this Agreement and Contractor's performance of the obligations or activities in furtherance of the Project which are attributable to the Contractor's own actions or omissions or those of its trustees, officers, employees, subcontractors, suppliers, third parties utilized by the Contractor, or joint venturers while acting under this Agreement. Such claims shall include, but are not limited to, any claims made under the Fair Labor Standards Act or under any other federal or state law involving wages, overtime, or employment matters and any claims involving patents, copyrights, and trademarks. Contractor shall bear all costs associated with defending the Sponsor and the State of Ohio against any claims. Notwithstanding the foregoing, Contractor's obligation to indemnify and hold Sponsor and the State of Ohio harmless shall be limited to actions and omissions which constitute gross negligence or violations of law and in no event shall the aggregate liability of the Contractor to the Sponsor or the State of Ohio for indemnification under this Agreement exceed the amount of compensation paid to the Contractor hereunder.

14. Drug-Free Workplace Compliance. In the event that work performed pursuant to the terms of this Agreement will be done while on state property, Contractor hereby certifies that all of its employees, while working on state property, will not purchase, transfer, use or possess illegal drugs or alcohol or abuse prescription drugs in any way.

15. Adherence to State and Federal Laws, Regulations.

(a) General. Contractor agrees to comply with all applicable federal, state, and local laws related to the Contractor's performance of the obligations of this Agreement. The Contractor accepts full responsibility for payments of all unemployment compensation, insurance premiums, workers' compensation premiums, all income tax deductions, social security deductions, and any and all other taxes or payroll deductions required for all employees engaged by Contractor in the performance of the requirements of this Agreement.

(b) Ohio Ethics Laws. Grantee, by its signature on this document, certifies: (1) it has reviewed and understands the Ohio ethics and conflict of interest laws including, without limitation, Ohio Revised Code §§ 102.01 *et seq*., §§ 2921.01, 2921.42, 2921.421 and 2921.43, and §§ 3517.13(I) and (J), and (2) will take no action inconsistent with those laws, as any of them may be amended or supplemented from time to time. Grantee understands that failure to comply with the Ohio ethics and conflict of interest laws, is in itself, grounds for termination of this Agreement and the grant of funds made pursuant to this Agreement and may result in the loss of other contracts or grants with the State of Ohio.

(c) Ohio Elections Law. Contractor affirms that, as applicable to Sponsor, no party listed in Division (I) or (J) of Section 3517.13 of the Ohio Revised Code or spouse of such party has made, as an individual, within the two previous calendar years, one or more contributions totaling in excess of $1,000.00 to the Governor or to his campaign committees.

16. Unresolved Findings. Contractor warrants that it is not subject to an unresolved finding for recovery under O.R.C. 9.24. If this warranty is deemed to be false, this Agreement is void *ab initio* and the

Contractor must immediately repay to the Sponsor any funds paid under this Agreement.

17. Miscellaneous.

(a) Governing Law. This Agreement shall be governed by the laws of the State of Ohio as to all matters, including but not limited to matters of validity, construction, effect and performance.

(b) Forum and Venue. All actions regarding this Agreement shall be forumed and venued in a court of competent subject matter jurisdiction in Franklin County, Ohio.

(c) Entire Agreement. This Agreement and its exhibits and any documents referred to herein constitute the complete understanding of the parties and merge and supersede any and all other discussions, agreements and understandings, either oral or written, between the parties with respect to the subject matter hereof.

(d) Severability. Whenever possible, each provision of this Agreement shall be interpreted in such a manner as to be effective and valid under applicable law, but if any provision of this Agreement is held to be prohibited by or invalid under applicable law, such provision shall be ineffective only to the extent of such prohibition or invalidity, without invalidating the remainder of such provisions of this Agreement.

(e) Conflict of Provisions. Should it be determined that a provision within this Agreement conflicts with a provision set forth in Exhibit I, then the language of Exhibit I shall control as being the more specific terms and conditions of the Agreement.

(f) Notices. All notices, consents, demands, requests and other communications which may or are required to be given hereunder shall be in writing and shall be deemed duly given if personally delivered or sent by United States mail, registered or certified, return receipt requested, postage prepaid, to the addresses set forth hereunder or to such other address as the other party hereto may designate in written notice transmitted in accordance with this provision.

In case of Sponsor, to:

Ohio Development Services Agency
Office of
P.O. Box 1001
Columbus, Ohio 43216-1001
Attention:
Fax No.:

With a copy to Chief Legal Counsel, Ohio Development Services Agency

In case of Contractor, to:

Notwithstanding the foregoing, ordinary communications regarding the status of services being provided by Contractor may be sent by electronic mail to the designated representatives of Sponsor and Contractor.

(g) Amendments or Modifications. Either party may at any time during the term of this Agreement request amendments or modifications. Requests for amendment or modification of this Agreement shall be in writing and shall specify the requested changes and the justification of such changes. Should the parties consent to modification of the Agreement, then an amendment shall be drawn, approved, and executed in the same manner as the original agreement.

(h) Forbearance. No act of forbearance or failure to insist on the prompt performance by Contractor of its obligations under this Agreement, either express or implied, shall be construed as a waiver by Sponsor of any of its rights hereunder.

(i) Headings. Section headings contained in this Agreement are inserted for convenience only and shall not be deemed to be a part of this Agreement.

j) Assignment. Neither this Agreement nor any rights, duties, or obligations described herein shall be assigned or subcontracted by Contractor without the prior express written consent of Sponsor.

IN WITNESS WHEREOF, the parties have executed this Agreement For Services on the last day and year set forth below.

CONTRACTOR:	SPONSOR:
_____	**State of Ohio** **Development Services Agency** Lydia Mihalik Director Ohio Development Services Agency
By: _____	By: _____
Printed Name: _____	Printed Name: _____
Title: _____	Title: _____
Date: _____	Date: _____

Exhibit I
Scope of Work

Scope of Work

Dates of Service

Budget