Request for Proposals
Interactive Voice Response Services
370-400-18-003

May 7, 2018

Proposals due by 2:00 p.m. CT on May 31, 2018

Mr. Jim Underwood
Chief Procurement Officer
400 West Monroe Street, Suite 401
Springfield, IL 62704
I. OVERVIEW

The Office of the Illinois State Treasurer ("Treasurer") is issuing this Request for Proposals ("RFP") for a service provider ("Contractor") to provide an Interactive Voice Response ("IVR") Services for its Unclaimed Property Division. The Treasurer seeks a solution that can offer (1) functionality, (2) reliability, (3) training, (4) customer service and (5) reporting, as stated further in this RFP.

The Contractor shall enter into a contract with the Treasurer (the "Agreement") for an initial term of four (4) years. Upon expiration of this term, the Treasurer may elect to extend the Agreement for a period of time agreed upon by the parties, not to exceed a total of ten (10) years, including the initial four (4) years.

II. BACKGROUND

The Unclaimed Property Division offers customer service to the public that results in heavy telephone traffic. The division is comprised of over 40 permanent employees (hereinafter "Agents") all of whom interact with the public on a daily basis in their on-going efforts to assist the public in re-claiming their funds. This interaction has resulted in approximately 100,000 calls within the last twelve calendar months. Many of these calls are from potential claimants of unclaimed property ("Claimants"). Additional calls may be received that are routed to other divisions within the Treasurer’s office. It is anticipated volume will continue to grow due to efforts to promote the program.

III. SCOPE OF WORK

The Contractor shall provide the services set forth in this Section III (collectively, the "Services"): A. Functionality and Reliability

The Contractor must furnish all labor, materials and resources necessary to provide the Treasurer with the following:

1. A dedicated IVR number that must be a local or toll-free number, which number cannot be long distance or 877;
2. Ability to mask the Agent’s direct phone number on caller ID and instead display the general office number;
3. A web-based IVR platform that (1) can manage software, reporting, call queue maintenance, etc., and (2) offers virtual log-in capabilities for management staff;
4. Ability for unlimited calls, eliminating busy signals, while providing callers with their estimated wait times;
5. Capability to handle a minimum of 1,500 calls per day and 20,000 calls per month;
6. Real-time updates to software, call queue and Agents;
7. Ability for unlimited agents to be signed in at one time, with Agents having designated skill levels to allow callers to be directed to appropriate Agents, and agent portals being user-friendly and easily accessible from the Agent’s desktop;
8. Logging and exporting capability for management staff, in reporting formats acceptable to management staff, of Agent actions;
9. Accessible-on-demand manager dashboard to reflect current activity levels, reflecting up-to-the-minute activity, with availability of recording and storing all calls received and initiated;
10. Management monitoring of ongoing calls;
11. Ability for claimant to text information, such as address updates, without talking to an Agent;
12. Ability for push of information to Claimants via either automated call or text messaging;
13. Option for the Treasurer to schedule a call back time with a caller if wait time is excessive (with “excessive” determined by the Treasurer);
14. Capability for survey after call;
15. Computer screen pop-up for Agents when call is routed;
16. Ability for IVR to handle all calls for possible elimination of existing phone system;
17. Ability for agents to transfer calls to non-Agents and/or numbers outside of their division, including:
   a. Software allowing for multiple transfers,
   b. Ability for Agents, when transferring, to speak with the person to whom they are transferring the call, and
   c. Tracking of transfers between Agents and others, for reporting purposes;
18. Daily verification process for data upload, confirming receipt of data uploaded by the Treasurer via an existing FTP site;
19. Software providing updated claim information to claimants without speaking to an Agent, with information provided by the Treasurer via an existing FTP site;
20. Software allowing the Treasurer to set up Frequently Asked Questions and other relevant information in the IVR;
21. Ability for the Treasurer to utilize its own recorded messages or utilize professional voice talent;
22. Ability for management staff to immediately change call queue and information heard by callers, with management staff able to pre-record messages and store for immediate use, and at least three (3) instances of professional voice recording updates available as needed at no additional cost;
23. Upon completion of final training of Treasurer staff, all changes to call queue, flow, agents, etc., handled through the IVR software and platform;
24. Notification and scheduled training prior to the launch of any updates or changes to IVR or software;
25. Option for Treasurer to make IVR system available in Spanish; and
26. Operating system for IVR must be compatible with IE10 and higher, or Firefox.
B. Training

Respondent shall provide adequate training to the Treasurer’s Unclaimed Property staff, which training shall include the following:

1. On-site and remote training for all management staff and system administrator,
   a. Including detailed training on reports and system administration, and
   b. Including detailed training on software maintenance and management;
2. Remote training or webinars for all agents;
3. Detailed user manuals; and
4. User manuals for basic operations for all agents.

C. Customer Service

Respondent must provide the following:

1. At least two (2) customer service representatives that would be available during regular business hours for emergency and non-emergency issues; and
2. Related to IVR functionality:
   a. For immediate or emergency concerns, response in one (1) hour;
   b. For non-emergency concerns, response within twenty-four (24) hours; and
   c. Detailed ongoing customer service support.

D. Information Reporting

Respondent shall provide the following detailed information on daily calls, with information reflecting the actual times of specific events (Central Standard Time):

1. Number of calls to hit call queues;
2. Number of agent answered calls;
3. Wait time (broken out by queue);
4. Hang up phone calls;
5. Transfers (broken out by queue);
6. Page hits (as they relate to the call flow); and
7. Agent details (time available, away, call duration) provided daily.

IV. PROPOSAL

A. Proposal Format
1. **Cover Page** – The cover page shall provide the name, physical address, e-mail address, and telephone number of the person(s) available for contact regarding the Proposal. Such person(s) must be authorized to make representations on behalf of the Respondent.

2. **Table of Contents** – Please list the sections in Respondent’s Proposal and their corresponding page numbers.

3. **Introduction** – Include any introductory remarks, not to exceed three (3) pages, deemed appropriate. Briefly discuss such topics as the Respondent’s background, management, facilities, staffing, related experience, and financial stability.

4. **Scope of Work** – Respondent shall provide a brief five (5) page narrative, describing the general conceptual approach Respondent would take to provide the Services and any other information Respondent believes is relevant. Emphasis should be on clarity, brevity and completeness of the response.

5. **Answers to Questions** – Respondent must respond to all of the questions presented in Section IV.B of this RFP. Respondent’s answers must include the headings (e.g. “Background”) and be numbered in the order provided in Section IV.B.

6. **Service Team** – Provide an organizational chart, biographies, and resumes for the proposed Service team, including research staff and support staff. Please identify the primary contact person and describe the role of each key person.

7. **Subcontractors** – Provide a list of the subcontractor(s) Respondent will use for the Services, if any and the general type of work to be performed by each subcontractor.

8. **State Certifications and Disclosures** – Respondent and any subcontractor(s) must submit the following three (3) fully executed documents: Illinois State Treasurer Certifications, Disclosures Financial Interest and Potential Conflicts of Interest (Disclosure Form A), and the Disclosures Other Contract and Procurement Related Information (Disclosure Form B).

9. **Cost Proposal** – Respondent’s price (“Cost Proposal”) shall be provided in a separately sealed envelope. The required elements of the Cost Proposal are provided in Section IV.C of this RFP.

10. **Redacted Copy** – If the Proposal contains any information that Respondent considers to be exempt from public disclosure under the Illinois Freedom of Information Act (“FOIA”) (5 ILCS 140) or other applicable laws and rules, Respondent should submit in a separately sealed envelope an additional copy of the Proposal with proposed confidential information redacted, as detailed in Section V.E.9 of this RFP (“Redacted Copy”).

Proposals must be submitted in a sealed envelope or package bearing the title “Interactive Voice Response Services Proposal 370-400-18-003 for the Office of the Illinois State Treasurer” and the Respondent’s name and address. The package must include one (1) original and five (5) copies of the Proposal. A separate envelope must contain one (1) original and five (5) copies of the Cost
Proposal. If confidentiality of any information is asserted, one (1) Redacted Copy should be provided in an additional separate envelope. In addition, please provide one (1) electronic copy of the Proposal and one (1) separate electronic copy of the Cost Proposal, and, if confidentiality of any information is asserted, one (1) electronic Redacted Copy. Each electronic Proposal copy, each electronic Cost Proposal copy and, if submitted, the Redacted Copy shall be on a separate thumb drive or CD-ROM.

B. Questions to be Addressed in the Proposal

Respondents shall provide answers to the following questions:

Background and Experience
1. Provide a brief overview of the Respondent. Describe your corporate structure, including holding companies, parents, and corporate affiliates. This should include detailed information on specific divisions providing services.

2. Has Respondent been a party to lawsuits relating to services similar to those sought in this RFP or that may jeopardize Respondent’s ability to perform the Services, from January 1, 2015 to present? If so, please provide a detailed explanation.

3. Has Respondent experienced any data breach or loss of personal or other data considered private or confidential since January 1, 2015? If so, provide details and what steps were taken to address the issue both in the short term related to the specific breach/loss and also in the longer term to prevent such a breach/loss from happening again.

4. Discuss Respondent’s corporate governance compliance practices.

5. Describe Respondent’s risk management practices and internal controls to ensure adherence to applicable federal and state laws, regulatory agency guidance, and industry best practices.

6. Describe any changes in Respondent’s ownership or management structure since January 1, 2015. Will these changes have any impact on Respondent’s ability to provide the Services during the expected term of the Agreement?

7. Provide contact information for three (3) client references. References must be entities to which Respondent provided services most similar to the Services.

8. Does Respondent currently have or has Respondent had in the past ten (10) years any contracts that contain services similar to the Services with respect to size, scope, and complexity? For each contract, provide the following information:

   a. The entity for which Respondent is providing or has provided services and a brief description of such entity;
b. The contract term; and

c. A description of the services Respondent is providing or has provided under the contract.

Services
9. Please confirm and identify how Contractor will perform each of the Services listed in Section III of this RFP by listing each Service and Contractor’s approach to providing the Service, and list any Service that Respondent is unwilling or unable to perform and explain why.

10. Provide a proposed schedule for the implementation of the Services, with an implementation date no later than December 31, 2018 and ideally sooner. The implementation schedule should include, but not be limited to, any specific implementation phases (e.g. testing, training, etc.), materials available, and/or any on-site training provided by the Respondent.

11. Please confirm and identify how Contractor will provide on-going support by listing responsible divisions.

Qualifications
12. Please demonstrate your experience in providing the services, reporting and management features required by this RFP.

13. Please demonstrate your ability to warrant to the Treasurer’s satisfaction that Contractor has adequate backup and recovery of data facilities to provide uninterrupted continuous operations should catastrophic events render Contractor’s primary facility inoperable.

Diversity
14. If publicly owned, please provide the number and percentage of members of the Respondent’s governance board who are female, minority, military veterans, or persons with disabilities. Please cite with supporting data.

15. If privately owned, is the Respondent or its affiliates female, minority, persons with disabilities, or veteran-owned or managed? For purposes of this RFP, “female, minority, persons with disabilities, or veteran owned or managed” shall mean being owned or managed by 51% or more of a combination of female, minority, persons with disabilities, or military veteran. Please provide the number and percentage of Respondent’s owners who are female, minority, military veterans, or persons with disabilities. Please cite with supporting data.

16. Please provide the number and percentage of Respondent’s senior executive leaders (i.e. partner, president, COO, managing director, or other senior executives) who are female, minority, military veterans, or persons with disabilities. Please cite with supporting data.
17. Please provide the number and percentage of Respondent's staff (i.e. all full-time and part-time employees) who are female, minority, military veterans, or persons with disabilities. Please cite with supporting data.

18. What is the percentage of Respondent’s intended use of subcontractors for this project, if any, that are female, minority, persons with disabilities, or veteran-owned or managed? Please cite with supporting data.

Corporate Responsibility – Environmental, Social and Governance Practices

19. Please note any policies, practices and/or business strategies the Respondent has in place to address long-term environmental risks and opportunities that may impact long-term sustainability.

20. Please highlight any policies, practices or resources that the Respondent has in place to retain and enhance the human capital at the firm.

21. Please explain how the Respondent fosters a corporate governance structure that mitigates business risks and enhances business operations.

22. Please highlight any activities, projects, or services the Respondent administers to alleviate societal issues and enhance its commitment to corporate social responsibility. Please cite with supporting data.

Illinois Presence

23. Is the Respondent incorporated or domiciled in Illinois? Please provide the physical address and website of the Respondent’s headquarters and all Illinois branch offices.

24. Please note how many full-time employees are located at the Respondent’s headquarters and all Illinois branch offices.

25. Please describe what presence the Respondent has in the State of Illinois. Such “presence” can be demonstrated by noting (a) the number and (b) the percentage of the Respondent’s full-time employees who spend more than half their time in Illinois and have physical offices or a principal place of business located in Illinois.

26. Using the definition provided above, what percentage of the Respondent’s subcontractors for this project, if any, have an Illinois presence?

27. Please note whether the Respondent has any plans to locate staff or hire additional staff in the State of Illinois. Please provide supporting data.

C. Cost Proposal

For the Cost Proposal, Respondent shall provide a flat rate per minute to apply to all calls.

V. RFP SCHEDULE AND PROCESS
This Section provides the schedule and process for this RFP.

A. **RFP Schedule**

The following is the schedule for this RFP:

<table>
<thead>
<tr>
<th>Date</th>
<th>Event</th>
</tr>
</thead>
<tbody>
<tr>
<td>May 7, 2018</td>
<td>RFP published on the Treasurer’s website.</td>
</tr>
<tr>
<td>May 15, 2018</td>
<td>Notice of intent to attend Bidder’s Conference due by 1:00 p.m. CT.</td>
</tr>
<tr>
<td>May 16, 2018</td>
<td>Mandatory Bidder’s Conference at 10:00 a.m. CT.</td>
</tr>
<tr>
<td>May 18, 2018</td>
<td>All Respondent questions due by 2:00 p.m. CT.</td>
</tr>
<tr>
<td>May 24, 2018</td>
<td>Responses to all questions posted on the Treasurer’s website by 4:00 p.m. CT.</td>
</tr>
<tr>
<td>May 31, 2018</td>
<td>Proposals due at 2:00 p.m. CT.</td>
</tr>
<tr>
<td>Week of June 4, 2018</td>
<td>Interviews and site visits, if any, with final candidates.</td>
</tr>
<tr>
<td>June 13, 2018</td>
<td>If applicable, best and final offer due by 1:00 p.m. CT.</td>
</tr>
<tr>
<td>June 15, 2018</td>
<td>Notification of award and begin negotiation of Agreement.</td>
</tr>
</tbody>
</table>

These dates are subject to change at the Treasurer’s discretion.

B. **Contact Information**

The Treasurer’s Chief Procurement Officer ("CPO") is the sole point of contact concerning this RFP.

Respondents should submit questions about the intent or content of this RFP and request clarification of any and all procedures used for this procurement prior to the submission of a Proposal. Respondents must submit their questions in writing by e-mail to the CPO, Jim Underwood, at junderwood@illinoistreasurer.gov by 2:00 p.m. CT on May 18, 2018.

C. **Mandatory Bidder’s Conference**

If a Respondent intends to participate in the Mandatory Bidder’s Conference, Respondent must e-mail the CPO notice of intent to participate by 1:00 p.m. CT on May 15, 2018. Participation by telephone is acceptable. The Bidder’s Conference shall be on May 16, 2018 at 10:00 a.m. CT at the following address:

400 West Monroe Street, Suite 401
D. Proposal Submittal

All Proposals must be submitted by mail or messenger to the following address, no later than 2:00 p.m. CT on May 31, 2018:

Mr. Jim Underwood  
Chief Procurement Officer  
400 West Monroe Street, Suite 401  
Springfield, IL 62704  
Telephone: 217.782.1708

E. RFP Process

1. Internet/E-mail Communications  
The Treasurer may also communicate with Respondents via e-mail. Each Respondent should provide an e-mail address with its response for ease of communication throughout this RFP process.

2. Verbal Communications  
Any verbal communication from the Treasurer’s employees or its contractors concerning this RFP is not binding on the Treasurer, and shall in no way alter a specification, term or condition of this RFP.

3. Amendments  
If it is necessary to amend this RFP, the Treasurer will post any amendments on its website at www.illinoistreasurer.gov.

4. Respondent’s Costs  
The cost of developing a Proposal is each Respondent’s responsibility and shall not be charged to the Treasurer.

5. Withdrawal of Proposal  
Respondent may withdraw its Proposal at any time prior to the deadline for receipt of Proposals. The Respondent must submit a written withdrawal request, addressed to the CPO and signed by the Respondent’s duly authorized representative.

6. Modification of Proposal  
A Respondent may submit an amended Proposal before the deadline for receipt of Proposals. Such amended Proposal must be a complete replacement for the previously submitted Proposal and must be clearly identified as such in the transmittal letter to the CPO.

7. Proposal is a firm offer
A Proposal submitted in response to this RFP is a firm and binding offer, valid for 180 days after the due date for Proposals or the due date for the receipt of a best and final offer, whichever falls later.

8. Proposal is State Property
   On the Proposal due date, all Proposals and related material submitted in response to this RFP become the property of the State of Illinois.

9. Proposal is Part of a Public Procurement File
   All Proposals received by the Treasurer will be open to the public, though a Respondent may request that the Treasurer treat certain information as confidential in accordance with 44 Ill. Admin. Code §1400.2505. If Respondent requests confidential treatment of any information it considers to be exempt from public disclosure under FOIA or other applicable laws and rules, Respondent should submit a Redacted Copy, which copy shall be clearly identified as the “Redacted Copy.” In a separate attachment to the Redacted Copy, Respondent shall supply a listing of the provisions of the Proposal, identified by section number, for which it seeks confidential treatment, identify the basis of each claimed exemption and show how that basis applies to the request for exemption in accordance with 44 Ill. Admin. Code §1400.2505(l). The Redacted Copy must retain as much of the Proposal as possible.

   A request for confidential treatment will not supersede the Treasurer’s legal obligations under FOIA. The Treasurer will not honor requests to keep entire Proposals confidential, and will in any event disclose the successful Respondent’s name, the substance of the Response, and the price.

10. CPO May Cancel RFP
    If the CPO determines that it is in the Treasurer’s best interest, he reserves the right to do any of the following: a) cancel this RFP; b) modify this RFP in writing as needed; or c) reject any or all Proposals received in response to this RFP.

11. Additional Information
    The Treasurer reserves the right to request additional information and to meet with representatives of Respondent to discuss their Proposals.

VI. EVALUATION PROCESS AND CRITERIA

This Section explains how the Treasurer will evaluate the Proposals.

A. Mandatory Requirements

Failure to meet any of the following requirements shall lead to Respondent’s automatic disqualification:

1. Submit Proposal and accompanying Cost Proposal by 2:00 p.m. CT on May 31, 2018;
2. In Respondent’s Proposal, provide all of the sections and the information required for each section as set forth in Section IV.A of this RFP;

3. Provide the Cost Proposal in a separately sealed envelope and on a separate electronic storage device;

4. Be authorized to do business in Illinois;

5. Be, or subcontract with an entity that is, a member of the Federal Reserve System (“Fed”) and an Illinois bank or a national bank with a presence in Illinois, and have access to all services as a as Fed-member bank. Qualify as a depository for public funds;

6. Be an established company or financial institution with all required licenses, bonding, facilities, equipment, and trained personnel necessary to perform the work as specified in this RFP at the time of this RFP, or prior to that time, if required by law. The Treasurer reserves the right to require proof of said requirements within ten (10) calendar days from the date of receipt of the Respondent’s Proposal;

7. Have a minimum of ten (10) years of experience performing services that are considered identical or similar in nature to the Services; and

B. Scoring

<table>
<thead>
<tr>
<th>Evaluation Factor</th>
<th>Maximum Number of Points Possible</th>
</tr>
</thead>
<tbody>
<tr>
<td>Background and Experience</td>
<td>40</td>
</tr>
<tr>
<td>Services</td>
<td>40</td>
</tr>
<tr>
<td>Qualifications</td>
<td>40</td>
</tr>
<tr>
<td>Diversity</td>
<td>10</td>
</tr>
<tr>
<td>Corporate Responsibility – Environmental, Social and Governance Practices</td>
<td>5</td>
</tr>
<tr>
<td>Illinois Presence</td>
<td>5</td>
</tr>
<tr>
<td>Cost Proposal</td>
<td>20</td>
</tr>
<tr>
<td>Interview, if applicable</td>
<td>5</td>
</tr>
<tr>
<td><strong>TOTAL</strong></td>
<td><strong>160</strong></td>
</tr>
</tbody>
</table>

C. Determining Scores
1. **Background and Experience**
   Scoring will be based on Respondent’s demonstrated talent and experience of assigned personnel and will incorporate the answers Respondent provides to the Background and Experience Questions in Section IV of this RFP. The breadth and depth of similar engagements will be considered. The evaluation will also include reference checks regarding the Respondent's work for other clients who received or are receiving services similar to those required by this RFP.

2. **Services**
   Respondent will be evaluated based on the answers Respondent provides to the Services questions in Section IV.

3. **Qualifications**
   Respondent will be evaluated based on the answers Respondent provides to the Qualifications questions in Section IV.

4. **Diversity**
   Respondent’s diversity score will be scored based on the answers the Respondent provides to the Diversity questions in Section IV. The Evaluation Team shall award a higher diversity score to Respondents (including subcontractors) that are female, minority, person with disabilities, or veteran owned or managed. Having a higher percentage of subcontractors that are female, minority, person with disabilities, or veteran owned or managed shall also result in higher scores.

5. **Corporate Responsibility – Environmental, Social and Governance Practices**
   Respondent’s corporate responsibility shall be scored based on the answers Respondent provides to the Corporate Responsibility questions in Section IV.

6. **Illinois Presence**
   Respondent’s Illinois presence shall be scored based on the answers Respondent provides to the Illinois Presence questions in Section IV. Respondents with a principal place in Illinois and a higher percentage of employees in Illinois shall receive higher scores.

7. **Cost Proposal**
   The Evaluation Team shall evaluate the cost-effectiveness of Respondent’s Cost Proposal in order to determine the Cost Proposal score.

8. **Interview**
   In the event the Treasurer does not conduct interviews, all Respondents will be awarded zero (0) points for this evaluation factor.

**D. Evaluation Process**

All Proposals will be reviewed for compliance with the RFP requirements and specifications. Proposals deemed non-responsive will be eliminated from further consideration. The Chief Procurement Officer may contact the Respondent for clarification of the Proposal, and the
Evaluation Team may use other sources of publicly available information to perform its evaluation. Finally, the Evaluation Team will make a recommendation regarding the final Respondent.

VII. CONTRACTUAL TERMS

By submitting a Proposal, the Respondent agrees to each of the contractual provisions set forth in this Section.

A. Contractual Responsibility
If chosen to provide the services under this RFP, the Contractor will be contractually responsible for all services provided Contractor shall at all times provide services in a commercially reasonable manner.

B. Billing
The Contractor shall submit itemized invoices to the Treasurer on a monthly basis. The Contractor's failure to submit properly completed itemized billings may result in delays in payment.

C. Governing Law
The Agreement shall be governed in all respects by the laws of the State of Illinois, without regard to conflicts of law principles. Any action by Contractor against the Treasurer can only be brought in the Illinois Court of Claims.

D. Term of Agreement
The term of the Agreement shall be four (4) years, unless terminated in accordance with the terms of the Agreement. The Treasurer may with the consent of the Contractor, elect to extend the Agreement for additional periods, not to exceed a total term of ten (10) years, including the initial four (4) years.

E. Termination

1. Termination without Cause
   The Treasurer may elect to terminate the Agreement at any time upon thirty (30) days’ notice. Upon termination, the Treasurer will pay for work satisfactorily completed prior to the date of termination as determined by the Treasurer in a reasonable manner.

2. Termination for Cause
   The Agreement may be terminated by the Treasurer under any of the following circumstances:

   a. Contractor fails to furnish satisfactory performance within the time specified;

   b. Contractor fails to perform any of the provisions of the Agreement or so fails to make progress so as to endanger the performance of the Agreement in accordance with its terms;
c. Any goods or services provided under the Agreement are rejected and are not promptly replaced or correctly by the Contractor or repeatedly rejected even though Contractor offers to replace or correct the goods or services promptly;

d. There is sufficient evidence to show that fraud, collusion, conspiracy, or other unlawful means were used to obtain the Agreement;

e. Contractor is guilty of misrepresentation in connection with another contract for services to the State;

f. Contractor is adjudged bankrupt or enters into a general assignment for the benefit of its creditors or receivership due to insolvency;

g. Change in federal or State law or rules, or the Contractor’s, or Treasurer’s policies that would frustrate the purpose of the Agreement;

h. Contractor disregards or violates any applicable laws, rules, or the Treasurer’s instructions, acts in violation of any provision of the Agreement, or the agreement conflicts with any statutory or constitutional provision of the State of Illinois or the United States; or

i. Any other breach of contract or other unlawful act by Contractor occurs.

Prior to terminating the Agreement for cause, the Treasurer shall issue a written warning that outlines the remedial action necessary to bring the Contractor into conformance with the Agreement. If such remedial action is not completed to the satisfaction of the Treasurer within thirty (30) business days, a second written warning may be issued. If satisfactory action is not taken by Contractor within five (5) business days of the date of the second written warning, the Agreement may be cancelled and the Treasurer may recover any and all damages involved with the transition to a new vendor including incidental and consequential damages. Failure by the Treasurer to issue a warning or cancel this Agreement does not waive any of the Treasurer’s rights to issue subsequent warnings.

In addition, the Treasurer reserves the right to reduce the amount paid to Contractor as compensation for services under the Agreement during any period Contractor fails to perform with reasonable care any of its obligations under the Agreement.

F. Work Product

1. Ownership of work product.
   Except as otherwise agreed to in writing, all work product including, but not limited to, documents, reports, data, information, and ideas specially produced, developed, or designed by the Contractor pursuant to the Agreement, including any copyright or service marks developed on behalf of the Treasurer, whether preliminary or final, (collectively, the “Work Product”) will become and remain the property of the Treasurer. The Treasurer
shall have the right to use all such Work Product without restriction or limitation and without further compensation to the Contractor.

2. **Return of Work Product**
   Within thirty (30) days after expiration or termination of the Agreement, the Contractor shall deliver to Treasurer, or to a third party, if so instructed by the Treasurer, all Work Product in Contractor’s possession in the performance of the Agreement. If requested by the Treasurer, the Contractor shall certify in writing that all such Work Product has been delivered to the Treasurer.

G. **State Furnished Property**
Contractor shall be responsible for the security, protection, and return of all property furnished by the State of Illinois, if any, including but not limited to, items, research materials, photographs, and drawings.

H. **Internal Controls**
If applicable and upon request, the Contractor shall provide the Treasurer with a copy of the most recent Annual Report or Form 10-K of itself or its holding company and its most recent SSAE 16 report, both of which shall include the attestation of the company’s independent registered accounting firm regarding the company’s internal control over financial reporting.

I. **Back-up Facilities**
Upon request, the Contractor and its subcontractor(s), if applicable shall provide the Treasurer a copy of their disaster recovery plan, back-up plan, and results of the annual audit of the disaster recovery plan.

J. **Liability**
The Treasurer assumes no liability for the acts or omissions of the Contractor. This liability rests solely with the Contractor. The Contractor shall be liable to the Treasurer for actual and compensatory damages that are available to the Treasurer in law or remedies in equity.

K. **Indemnification**
Contractor shall indemnify and hold the Treasurer harmless from and against any and all losses, including but not limited to, any liabilities; demands; claims; lawsuits; damages; causes of action; settlements; judgments, including costs, attorneys’ and witnesses’ fees and expenses incident thereto; or fines, any of which arise out of or relate to violation of applicable law, breach of the Agreement, the negligent acts or omissions, or willful misconduct by Contractor, its employees, or agents. Contractor has a duty to select, with due diligence, all other entities that shall be necessary to implement the Agreement. Contractor shall establish and enforce reasonable procedures to assure the Treasurer of the performance by all other entities of the services necessary to implement this Agreement.

L. **Subcontractors**
The Contractor may not use subcontractors to perform the Services, unless the subcontractor is approved in advance by the Treasurer. Respondent must disclose the duties to be performed by the subcontractor. The Contractor will be required to obtain written approval from the Treasurer.
prior to adding or changing subcontractors. Subcontractors will be required to complete the attached State Certifications and Disclosure Forms, found at Appendix B.

M. Record Retention and Audit
Contractor and subcontractors, if any, shall maintain adequate books, records, and supporting documents related to the Agreement, including those necessary to support amounts charged to the State under the Agreement, for a minimum of three (3) years from the last action on the Agreement or after termination of the Agreement, whichever is longer. The Contractor and subcontractors agree to cooperate fully with any audit conducted by the Auditor General or the Treasurer and to provide full access to all relevant materials. If any litigation or claim involving the Agreement has been filed or any audit commenced before the expiration of the three (3) year period, the Contractor shall maintain the records required by this Section 1) in the case of any litigation or claim, until completion of the action and resolution of all issues that arise from it or until the end of the three (3) year period, whichever is later and 2) in the case of any audit, until completion of the audit or until the end of the three (3) year period, whichever is later. Failure to maintain the books, records and supporting documents required by this Section shall establish a presumption in favor of the Treasurer for the recovery of any funds paid by the Treasurer under the Agreement for which adequate books, records, and supporting documentation are not available to support their purported disbursement.

N. Confidentiality
This Section shall survive the termination of the Agreement.

1. Confidential Information
Contractor shall be prohibited from using or disclosing information received in the course of fulfilling its obligations pursuant to the Agreement (“Confidential Information”), except in the performance of its internal responsibilities and normal functions and as directed by the Treasurer. Confidential Information includes all information but the following:

   a. Information already known or independently developed by the recipient;

   b. Information required to be released by law;

   c. Information in the public domain through no wrongful act of the recipient; and

   d. Information received from a third party who was free to disclose it.

2. Use of Confidential Information by Employees and Agents of Contractor
The requirement of confidentiality under this Agreement also applies to the employees and agents of the Contractor. The Contractor shall use its best efforts to ensure that its employees and agents adhere to the confidentiality requirements set forth herein. The Contractor’s use by and disclosure to employees and agents of Confidential Information to the extent necessary to carry out the terms and purposes of this Agreement is acceptable.

3. Protection of Confidential Information
Contractor represents, warrants, and covenants that it has implemented and will maintain an information security program reasonably designed to protect the Confidential Information, which program includes administrative, technical, and physical safeguards to ensure the security and confidentiality of all Confidential Information, to protect against anticipated threats or hazards to the security or integrity of such customer information, and to protect against unauthorized access to or use of the Confidential Information.

4. **Privacy Policy**
   Contractor will comply with any applicable federal or state laws or regulations, as well as any privacy policy developed by the Treasurer. Contractor further agrees to establish, maintain, and comply with a privacy policy with respect to the Performance of the Agreement that meets.

5. **Program Lists**
The Contractor specifically agrees that it shall not, and shall cause its subcontractors and affiliates not to, sell, provide, or otherwise disclose information from, any program list to any third party, unless otherwise directed to or approved by the Treasurer or required by applicable law.

O. **Successor and Assignment**
Each term and provision of the Agreement is binding and enforceable against and inures to the benefit of any successors of the Treasurer and any successors of Contractor, but neither the Agreement nor any of the rights or obligations under the Agreement may be transferred or assigned without the Treasurer’s prior written consent of the Treasurer shall render the Agreement voidable by the Treasurer. The Treasurer may unilaterally bind any successor of the Contractor to the terms and conditions of the Agreement.

P. **Certifications**
The Contractor shall certify the following:

1. That the Contractor has the full legal right, power, and authority to execute and deliver the Agreement and to perform its obligations pursuant to the Agreement with no other corporate action on the part of the Contractor or its stockholders being necessary, and that the Agreement has been duly and validly executed and delivered by the Contractor, thereby constituting a legal, valid, and binding obligation of the Contractor, enforceable against the Contractor in accordance with its terms;

2. That the execution and delivery by the Contractor of the Agreement, the performance by Contractor of its duties and obligations thereunder, and the consummation of the transactions contemplated do not result in any of the following:
   a. Conflict with or result in a violation or breach of any of the terms, conditions, or provisions of the charter or by-laws of Contractor;
   b. Conflict with or result in a violation or breach of any term or provision of (a) any law, rule, regulation, judgment, decree, order, or injunction applicable to the
Contractor or any of its assets and properties or (b) any agreement binding on or affecting the Contractor or any of its properties; or

c. Conflict with or result in a violation or breach of, or constitute (with or without notice or lapse of time or both) a default under any material agreement to which the Contractor is a party, or any material obligation or responsibility which the Contractor has to any third party.

3. That there is no action, suit, investigation, or proceeding pending or, to the best knowledge of the Contractor, threatened against the Contractor before any court, arbitrator, or administrative or governmental body that might result in any material adverse change in the operations of the Contractor or which might materially and adversely affect the ability of the Contractor to perform the Services or otherwise comply with its obligations under the Agreement.

Q. Review
The Treasurer may conduct periodic performance reviews of the Contractor, during which its compliance with all aspects of the Agreement will be reviewed and assessed.

R. Severability
If any provision, or portion thereof, of the Agreement is, or becomes, invalid under any applicable statute or rule of law, it is to be deemed stricken and the rest of the Agreement shall remain in full force and effect.

S. Access to Information
Upon request, the Contractor shall provide the Treasurer access to all files, records, documents, and data that are in its possession and control pursuant to the Agreement, regardless of how that information is stored. The information shall be provided in a form acceptable to the Treasurer.

T. Change of Law or Policy
The Contractor shall notify the Treasurer in writing within ten (10) business days of any change or addition applicable to the Contractor in federal or state regulations or laws that would adversely affect either the terms of or the rights granted the Treasurer by the Agreement, and within five (5) business days of any legally required change in or addition to Contractor’s internal operational policy that might affect the Contractor’s performance of the Services, including but not limited to any policy that relates to management, maintenance, record keeping, safekeeping, custody, or subcontracting.

U. State Certifications/Disclosures
The Agreement shall incorporate Contractor’s fully executed State Certifications and Disclosure Forms, a copy of which is attached hereto as Appendix A.
ILLINOIS STATE TREASURER CERTIFICATIONS

______________________________________________ (“CONTRACTOR”) makes the following certifications:

1.0 ANTI-BRIBERY.

CONTRACTOR certifies that it is not barred from being awarded a contract or subcontract under Section 50-5 of the Illinois Procurement Code (30 ILCS 500/50-5). Section 50-5 prohibits a contractor from entering into a contract with a State agency if the contractor has been convicted of bribery or attempting to bribe an officer or employee of the State of Illinois, or if the contractor has made an admission of guilt of such conduct with is a matter of record. The contractor further acknowledges that the chief procurement officer may declare the related contract void if this certification is false.

2.0 BID-RIGGING/BID-ROTATING.

CONTRACTOR certifies that it has not been barred from contracting with a unit of State or local government as a result of a violation of Section 33E-3 or 33E-4 of the Criminal Code of 1961 (720 ILCS 5/33E-3, 33E-4).

3.0 DRUG FREE WORKPLACE.

This certification is required by Section 3 of the Drug Free Workplace Act (30 ILCS 580/3). The Drug Free Workplace Act, effective January 1, 1992, requires that CONTRACTOR shall not be considered for the purposes of being awarded a contract for the procurement of any services from the State unless CONTRACTOR has certified to the State that CONTRACTOR will provide a drug free workplace. False certification or violation of the certification may result in sanctions including, but not limited to, suspension of contract payments, termination of the contract and debarment of contracting opportunities with the State for at least one (1) year but not more than five (5) years.

CONTRACTOR certifies and agrees that it will provide a drug free workplace by:

a. Publishing a statement:
   i. Notifying employees that the unlawful manufacture, distribution, dispensation, possession or use of a controlled substance, including cannabis, is prohibited in the grantee’s or contractor’s workplace.
   ii. Specifying the actions that will be taken against employees for violation of such prohibition.
   iii. Notifying the employee that, as a condition of employment on such contract or grant, the employee will:
      a. abide by the terms of the statement; and
      b. notify the employer of any criminal drug statute conviction for a violation occurring in the workplace no later than five (5) days after such conviction.

b. Establishing a drug free awareness program to inform employees about:
   i. the dangers of drug abuse in the workplace;
   ii. CONTRACTOR’s policy of maintaining a drug free workplace;

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iii. any available drug counseling, rehabilitation, and employee assistance programs; and
iv. the penalties that may be imposed upon an employee for drug violations.

c. Providing a copy of the statement required by Section (a) to each employee engaging in the
performance of the contract or grant and to post the statement in a prominent place in the
workplace.

d. Notifying the Treasurer’s Office within ten (10) days after receiving notice under part (b) of
paragraph (iii) of Section (a) above from an employee or otherwise receiving actual notice of
such conviction.

e. Imposing a sanction on, or requiring the satisfactory participation in drug abuse assistance or
rehabilitation program by, an employee who is so convicted, as required by Section 5 of the
Drug Free Workplace Act.

f. Assisting employees in selecting a course of action in the event of drug counseling, treatment,
and rehabilitation is required and indicating that a trained referral team is in place.

g. Making a good faith effort to continue to maintain a drug free workplace through
implementation of the Drug Free Workplace Act.

4.0 U.S. EXPORT ACT.

CONTRACTOR certifies that neither CONTRACTOR nor any substantial-owned affiliated
company is participating or shall participate in an international boycott in violation of the provisions of
the U.S. Export Administration Act of 1979 (50 U.S.C.A. App. § 2401 et seq.) or the regulations of the
U.S. Department of Commerce promulgated under that Act.

5.0 NON-DISCRIMINATION.

CONTRACTOR certifies that it is in compliance with the State and Federal Constitutions, the
U.S. Civil Rights Act, Section 504 of the Federal Rehabilitation Act, and all applicable rules that
prohibit unlawful discrimination in performance of this Agreement and all other activities, including
employment and other contracts. As a condition of receiving the Agreement, CONTRACTOR
represents or certifies that services, programs and activities provided under the Agreement are and will
continue to be in compliance with State and Federal Constitutions, the U.S. Civil Rights Act, Section
504 of the Federal Rehabilitation Act, and all applicable laws that prohibit unlawful discrimination.

6.0 AMERICANS WITH DISABILITIES ACT.

CONTRACTOR certifies that it is in compliance with the Americans with Disabilities Act ("ADA") (42 U.S.C. 12101 et seq.) and the regulations thereunder (28 CFR 35.130) prohibit
discrimination against persons with disabilities by the Treasurer, whether directly or through
contractual arrangements, in the provision of any aid, benefit or service. As a condition of receiving
the Agreement, CONTRACTOR represents or certifies that services, programs and activities provided
under the Agreement are and will continue to be in compliance with the ADA.

7.0 ILLINOIS HUMAN RIGHTS ACT.

CONTRACTOR certifies that it is presently in compliance with all of the terms, conditions and
provisions of Section 5/2-105 of the Illinois Human Rights Act (775 ILCS 5/2-105), together with all
rules and regulations promulgated and adopted pursuant thereto.

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8.0 Felony.

CONTRACTOR certifies that it has not been barred from being awarded a contract under Section 50-10 of the Illinois Procurement Code (30 ILCS 500/50-10). Section 50-10 prohibits a contractor from entering into a contract with a State agency if the contractor has been convicted of a felony and 5 years have not passed from the completion of the sentence for that felony. The contractor further acknowledges that the chief procurement officer may declare the related contract void if this certification is false.

9.0 Former Employment.

CONTRACTOR has informed the Treasurer’s Office in writing if CONTRACTOR was formerly employed by the Treasurer’s Office and has received an early retirement incentive under Section 14-108.3 or 16-133.3 of the Illinois Pension Code (30 ILCS 105/15a).

10.0 Inducement.

CONTRACTOR has not paid any money or valuable thing to induce any person to refrain from bidding on a State contract, nor has CONTRACTOR accepted any money or other valuable thing, or acted upon the promise of same, for not bidding on a State contract (30 ILCS 500/50-25).

11.0 Revolving Door Prohibition.

CONTRACTOR certifies that neither it nor its employees and agents are in violation of section 50-30 of the Illinois Procurement Code (30 ILCS 500/50-30). Section 50-30 prohibits for a period of (2) years after terminating an affected position certain State employees and their designees from engaging in any procurement activity relating to the State agency most recently employing them for a specified period of time.

12.0 Reporting Anticompetitive Practices.

CONTRACTOR shall report to the Illinois Attorney General and the Chief Procurement Officer any suspected collusion or other anticompetitive practice among any bidders, offerors, contractors, proposers or employees of the State (30 ILCS 500/50-40, /50-45, /50-50).

13.0 Discriminatory Club.

CONTRACTOR agrees not to pay any dues or fees on behalf of its employees or agents or subsidize or otherwise reimburse them for payments of any dues or fees to a discriminating club as prohibited by Section 2 of the Discriminatory Club Act (775 ILCS 25/2).

14.0 Taxpayer Identification Number and Legal Status of CONTRACTOR.

CONTRACTOR shall be in compliance with applicable tax requirements and shall be current payment of such taxes. Under penalty of perjury, CONTRACTOR certifies that #_____________ is its correct Taxpayer Identification Number and that it is doing business as a (please check one):

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15.0 License; Authorized Bidder or Offeror

CONTRACTOR, directly or through its employees, shall have and maintain any license required by this Agreement. CONTRACTOR further certifies that it is a legal entity authorized to do business in Illinois prior to the submission of the bid, offer, or proposal pursuant to section 20-43 of the Illinois Procurement Code (30 ILCS 500/20-43).

16.0 Appropriation.

This Agreement is subject to termination and cancellation in any year for which the General Assembly fails to make an appropriation for payments under the terms of the contract.

17.0 Records Retention; Right to Audit.

CONTRACTOR agrees to maintain books and records related to the performance of the contract and necessary to support amounts charged to the State under the contract for a minimum of three years from the last action on the contract or after termination of the Agreement, whichever is longer. Contractor further agrees to cooperate fully with any audit and to make the books and records available for review and audit by the Auditor General, chief procurement officers, internal auditor and the Treasurer; CONTRACTOR agrees to cooperate fully with any audit conducted by the Auditor General or the Treasurer and to provide full access to all relevant materials. The three-(3)-year period shall be extended for the duration of any audit in progress during the term. Failure to maintain the books, records and supporting documents required by this Section shall establish a presumption in favor of the State for the recovery of any funds paid by the State under this Agreement for which adequate books, records, and supporting documentation are not available to support their purported disbursement.

18.0 Conflicts of Interest.

CONTRACTOR has disclosed, and agrees that it is under a continuing obligation to disclose, to the Treasurer financial or other interests (public or private, direct or indirect) that may be a potential conflict of interest that would prohibit CONTRACTOR from entering into or performing the Agreement. Conflicts of interest include, but are not limited to, conflicts under Section 1400.5020 of the Treasurer’s Procurement Rules (44 Ill. Adm. Code 1400.5020) and Sections 50-13, 50-20, and 50-35 of the Illinois Procurement Code (30 ILCS 500/50).

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19.0 **LATE PAYMENTS.**

Late payment charges, if any, shall not exceed the formula established in the Illinois Prompt Payment Act (30 ILCS 540/1) and the Illinois Administrative Code (74 Ill. Adm. Code 900).

20.0 **LIABILITY.**

The State’s liability for damages is expressly limited by and subject to the provisions of the Illinois Court of Claims Act (705 ILCS 505/1) and to the availability of suitable appropriations.

21.0 **DEBT DELINQUENCY.**

CONTRACTOR certifies that it, or any affiliate, is not barred from being awarded a contract or subcontract under section 50-11 of the Illinois Procurement Code (30 ILCS 500/50-11). Section 50-11 prohibits a contractor from entering into a contract with the Treasurer’s Office if it knows or should know that it, or any affiliate, is delinquent in the payment of any debt to the State as defined by the Debt Collection Board. CONTRACTOR further acknowledges that the Treasurer’s Office may declare the Agreement void if this certification is false or if CONTRACTOR or any affiliate is determined to be delinquent in payment of any debt during the term of the Agreement.

22.0 **EDUCATIONAL LOAN DEFAULT.**

CONTRACTOR certifies that it is not barred from being awarded a contract under the Educational Loan Default Act (5 ILCS 385). Section 3 of the Educational Loan Default Act prohibits an individual from entering into a contract with the Treasurer’s Office if that individual is in default of an educational loan. CONTRACTOR further acknowledges that the Treasurer’s Office may declare the Agreement void if this certification is false or if CONTRACTOR is determined to be in default of an educational loan during the term of the Agreement.

23.0 **FORCE MAJEURE.**

Failure by either party to perform its duties and obligations shall be excused by unforeseeable circumstances beyond its reasonable control, including acts of nature, acts of the public enemy, riots, labor or material shortages, labor disputes, fire, flood, explosion, legislation, and governmental regulation.

24.0 **ANTITRUST ASSIGNMENT.**

CONTRACTOR hereby assigns, sells and transfers to the State of Illinois all right, title and interest in and to any claims and causes of action arising under antitrust laws of Illinois or the United States relating to the subject matter of the Agreement.

25.0 **PROHIBITION OF GOODS FROM FORCED LABOR.**

CONTRACTOR certifies that it is not barred from being awarded a contract under the State Prohibition of Goods from Forced Labor Act (30 ILCS 583). Section 10 of the State Prohibition of Goods from Forced Labor Act prohibits a contractor from entering into a contract with the Treasurer’s...

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Office if that contractor knew that the foreign-made equipment, materials, or supplies furnished to the State were produced in whole or part by forced labor, convict labor, or indentured labor under penal sanction. CONTRACTOR further acknowledges that the Treasurer’s Office may declare the Agreement void if this certification is false or if CONTRACTOR is determined to have known that the foreign-made equipment, materials, or supplies furnished to the State during the term of the Agreement were produced in whole or part by forced labor, convict labor, or indentured labor under penal sanction.

26.0 **Prohibition of Goods from Child Labor.**

CONTRACTOR certifies in accordance with Public Act 94-0264 that no foreign-made equipment, materials, or supplies furnished to the State under the contract have been produced in whole or in part by the labor of any child under the age of 12.

27.0 **Sarbanes-Oxley Act and Illinois Securities Law**

CONTRACTOR certifies that it is not barred from being awarded a contract or subcontract under section 50-10.5 of the Illinois Procurement Code (30 ILCS 500). Section 50-10.5, amongst other things, prohibits a contractor from bidding or entering into a contract or subcontract with the Treasurer’s Office if the contractor or any officer, director, partner, or other managerial agent of the contractor has been convicted in the last 5 years of a felony under the Sarbanes-Oxley Act of 2002 or a Class 3 or Class 2 felony under the Illinois Securities Law of 1953 or if the contractor is in violation of Subsection (e). CONTRACTOR further acknowledges that the Treasurer’s Office may declare the agreement void if this certification is false or if CONTRACTOR is determined to have been convicted of a felony under the Illinois Sarbanes-Oxley Act of 2002 or a Class 3 or Class 2 felony under the Illinois Securities Law of 1953 during the term of the agreement.

28.0 **Disputes.**

Any claim against the State arising out of this Agreement must be filed exclusively with the Illinois Court of Claims (705 ILCS 505/1). The State shall not enter into binding arbitration to resolve any agreement dispute. The State of Illinois does not waive sovereign immunity by entering into this Agreement. Any provision containing a citation to an Illinois statute (cited “ILCS”) may not contain the complete statutory language. The official text, which is incorporated by reference, may be found in the appropriate chapter and section of the Illinois Compiled Statutes. An unofficial version may be viewed at www.ilga.gov.

29.0 **Third-Party Payments.**

CONTRACTOR certifies that no fee was paid to a third-party in expectation of being awarded a contract by the Treasurer.

30.0 **Most Favorable Terms.**

If more favorable terms are granted by the CONTRACTOR to any similar governmental agency in any state in a contemporaneous agreement let under the same or similar financial terms and
circumstances for comparable supplies or services, the more favorable terms will be applicable under the Agreement between the Treasurer’s Office and the CONTRACTOR.

31.0 BOARD OF ELECTIONS REGISTRATION

_____ The CONTRACTOR certifies that they are **not required to register** as a business entity with the State Board of Elections pursuant to the Illinois Procurement Code (30 ILCS 500/20-160). Further, the CONTRACTOR acknowledges that all contracts or subcontracts between State agencies and a business entity that do not comply with this Section shall be voidable under Section 50-60 of the Illinois Procurement Code (30 ILCS 500/50-60).

**(or)**

_____ The CONTRACTOR certifies that they **have registered** as a business entity with the State Board of Elections and acknowledges a continuing duty to update the registration pursuant to the Illinois Procurement Code (30 ILCS 500/20-160). Further, the CONTRACTOR acknowledges that all contracts or subcontracts between State agencies and a business entity that do not comply with this Section shall be voidable under Section 50-60 of the Illinois Procurement Code (30 ILCS 500/50-60).

32.0 COLLECTION AND REMITTANCE OF ILLINOIS USE TAX

The CONTRACTOR certifies that it is not barred from being awarded a contract under section 50-12 of the Illinois Procurement Code (30 ILCS 500/50-12). Section 50-12 prohibits a contractor from entering into a contract or subcontract with a State agency if the CONTRACTOR or affiliate has failed to collect and remit Illinois Use Tax on all sales of tangible personal property into the State of Illinois in accordance with the provisions of the Illinois Use Tax Act. The CONTRACTOR further acknowledges that the contract or subcontract may be voided if this certification is false.

33.0 ENVIRONMENTAL PROTECTION ACT VIOLATIONS

The CONTRACTOR certifies that it is not barred from being awarded a contract or subcontract under section 50-14 of the Illinois Procurement Code (30 ILCS 500/50-14). Section 50-14 prohibits a CONTRACTOR from entering into a contract or subcontract with the State of Illinois or a State agency if the CONTRACTOR has been found by a court or the Pollution Control Board to have committed a willful or knowing violation of the Environmental Protection Act within the last (5) years. The CONTRACTOR further acknowledges that the contracting State agency may declare the related contract or subcontract void if this certification is false.

34.0 LEAD POISONING PREVENTION ACT VIOLATIONS

The CONTRACTOR certifies that it is not barred from entering into a contract or subcontract under section 50-14.5 of the Illinois Procurement Code (30 ILCS 500/50-14.5). Section 50-14.5 prohibits a CONTRACTOR from entering into a contract or subcontract with the State of Illinois or a State agency if the CONTRACTOR, while the owner of a residential building, committed a willful or knowing violation of the Lead Poisoning Prevention Act. The CONTRACTOR further acknowledges that the Treasurer may declare the related contract or subcontract void if this certification is false.

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35.0 BOND ISSUANCES

The CONTRACTOR certifies that it is not barred from being awarded a contract or subcontract under section 50-21 of the Illinois Procurement Code (30 ILCS 500/50-21). Section 50-21 prohibits State agencies from entering into contracts or subcontracts with respect to the issuances of bonds or other securities by the State or a State agency with any entity that uses an “independent consultant” as defined in section 50-21.

36.0 POLITICAL CONTRIBUTIONS

The CONTRACTOR certifies that it is not barred from being awarded a contract or subcontract under section 50-37 of the Illinois Procurement Code (30 ILCS 500/50-37). Section 50-37 prohibits business entities whose contracts with State agencies, in the aggregate, annually total more than $50,000, or whose aggregate pending bids and proposals on State contracts total more than $50,000, and any affiliated entities or affiliated persons of such business entity, from making any contributions to any political committee established to promote the candidacy of the office holder responsible for awarding the contract on which the business entity has submitted a bid or proposal during the period beginning on the date the invitation for bids or request for proposals are issued and ending on the day after the date the contract is awarded.

37.0 LOBBYING RESTRICTIONS

The CONTRACTOR certifies that it is not barred from being awarded a contract or subcontract under section 50-38 of the Illinois Procurement Code (30 ILCS 500/50-38). Section 50-38 prohibits a CONTRACTOR from billing the State for any lobbying costs, fees, compensation, reimbursements, or other remuneration provided to any lobbyist who assisted the CONTRACTOR in obtaining the contract or subcontract.

38.0 DISCLOSURE OF BUSINESS OPERATIONS WITH IRAN (30 ILCS 500/50-36)

Each bid, offer, or proposal submitted for a State contract, other than a small purchase defined in Section 20-20 [of the Illinois Procurement Code], shall include a disclosure of whether or not the bidder, offeror, or proposing entity, or any of its corporate parents or subsidiaries, within the 24 months before submission of the bid, offer, or proposal had business operations that involved contracts with or provision of supplies or services to the Government of Iran, companies in which the Government of Iran has any direct or indirect equity share, consortiums or projects commissioned by the Government of Iran and:

(1) more than 10% of the company’s revenues produced in or assets located in Iran involve oil-related activities or mineral-extraction activities; less than 75% of the company’s revenues produced in or assets located in Iran involve contracts with or provision of oil-related or mineral – extraction products or services to the Government of Iran or a project or consortium created exclusively by that Government; and the company has failed to take substantial action; or

(2) the company has, on or after August 5, 1996, made an investment of $20 million or more, or any combination of investments of at least $10 million each that in the aggregate equals or exceeds $20 million in any 12-month period that directly or significantly contributes to the enhancement of Iran’s ability to develop petroleum resources of Iran.
You must check one of the following items and if item 2 is checked you must also make the necessary disclosure:

___ There are no business operations that must be disclosed to comply with the above cited law.

___ The following business operations are disclosed to comply with the above cited law:

________________________________________________________________________

CONTRACTOR

By: ________________________________

______________________________
Signature

______________________________
Name

______________________________
Title

______________________________
Date

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DISCLOSURES
FINANCIAL INTEREST AND POTENTIAL CONFLICTS OF INTEREST
(Disclosure Form A)

The Treasurer’s Procurement Regulations (44 Ill. Adm. Code 1400.5035) require that contractors/offerees desiring to enter into certain contracts with the State of Illinois must disclose the financial and potential conflicts of interest information as specified below.

Contractor/offeree shall disclose the financial interest and potential conflicts of interest information identified in Sections 1 and 2 below as a condition of receiving an award or contract. Submit this information along with your bid, proposal or offer.

This requirement applies to contracts with an annual value exceeding $10,000.

A publicly traded entity may submit its 10K disclosure in satisfaction of the disclosure requirements set forth in both Sections 1 and 2 below.

Sec. 1. Disclosure of Financial Interest in the Contractor/Offeror

a. If any individuals have one of the following financial interests in the contractor/offeree (or its parent), please check all that apply and show their name and address:

Ownership exceeding 5%  (___)
Ownership value exceeding $106,447.20  (___)
Distributive Income Share exceeding 5%  (___)
Distributive Income Share exceeding $106,447.20  (___)

Name: ____________________________________________________
Address: ____________________________________________________

b. For each individual named above, show the type of ownership/distributable income share: sole proprietorship _____ stock _____ partnership _____ other (explain)

________________________________________________________________________

c. For each individual named above, show the dollar value or proportionate share of the ownership interest in the contractor/offeree (or its parent) as follows:

If the proportionate share of the named individual(s) in the ownership of the contractor/offeree (or its parent) is 5% or less, and if the value of the ownership interest of the named individual(s) is $106,447.20 or less, check here (______)

If the proportionate share of ownership exceeds 5% or the value of the ownership interest exceeds $106,447.20, show either.
Sec. 2. Disclosure of Potential Conflicts of Interest. For each of the individuals having the level of financial interest identified in Section 1 above, check “Yes” or “No” to indicate which, if any, of the following potential conflicts of interest relationships apply. If “Yes,” please describe (use space under applicable section to explain your answers – attach additional pages as necessary).

a. State employment, currently or in the previous 3 years, including contractual employment of services
   Yes    No

b. State employment for spouse, father, mother, son, or daughter, including contractual employment for services in the previous 2 years.
   Yes    No

c. Elective status; the holding of elective office of the State of Illinois, the government of the United States, any unit of local government authorized by the Constitution of the State of Illinois, or the statutes of the State of Illinois currently or in the previous 3 years.
   Yes    No

d. Relationship to anyone holding elective office currently or in the previous 2 years; spouse, father, mother, son, or daughter.
   Yes    No

e. Appointive office; the holding of any appointive government office of the State of Illinois, the United States of America, or any unit of local government authorized by the Constitution of the State of Illinois or the statutes of the State of Illinois, which office entitles the holder to compensation in excess of expenses incurred in the discharge of that office currently or in the previous 3 years.
   Yes    No

f. Relationship to anyone holding appointive office currently or in the previous 2 years; spouse, father, mother, son, or daughter.
   Yes    No

g. Employment, currently or in the previous 3 years, as or by any registered lobbyist of the State government.
   Yes    No

h. Relationship to anyone who is or was a registered lobbyist in the previous 2 years; spouse, father, mother, son, or daughter.
   Yes    No

i. Compensated employment, currently or in the previous 3 years, by any registered election or re-election committee registered with the Secretary of
State or any county clerk in the State of Illinois, or any political action committee with either the Secretary of State or the Federal Board of Elections.

j. Relationship to anyone; spouse, father, mother, son, or daughter, who is or was a compensated employee in the last 2 years of any registered election or re-election committee registered with the Secretary of State or any county clerk in the State of Illinois, or any political action committee registered with either the Secretary of State or the Federal Board of Elections.

Yes ☐ No ☐

This disclosure is submitted on behalf of

(Name of Contractor/Offeror)

Official authorized to sign on behalf of contractor/offeror:

Name (printed) __________________________ Title __________________________

Signature __________________________ Date __________________________
DISCLOSURES
OTHER CONTRACT AND PROCUREMENT RELATED INFORMATION
(Disclosure Form B)

The Treasurer’s Procurement Regulations (44 Ill. Adm. Code 1400.5035) require that contractors/offerors desiring to enter into certain contracts with the State of Illinois must disclose the information as specified below.

Contractor/offeror shall disclose the information identified below as a condition of receiving an award or contract.

This requirement is applicable to only those contracts with an annual value exceeding $10,000.

You must submit this information along with your bid, proposal or offer.

a. Contractor/offeror shall identify whether it has current contracts (including leases) with other units of State of Illinois government by checking “Yes” _____ or “No” _____.

If “Yes” is checked, identify each contract by showing agency name and other descriptive information such as purchase order or contract reference number (attach additional pages as necessary).

b. Contractor/offeror shall identify whether it has pending contracts (including leases), bids, proposals, or other ongoing procurement relationships with other units of State of Illinois government by checking “Yes” _____ or “No” _____.

If “Yes” is checked, identify each such relationship by showing agency name and other descriptive information such as bid or project number (attach additional pages as necessary).

This disclosure is submitted on behalf of ____________________________________________

(Name of Contractor/Offeror)

Official authorized to sign on behalf of contractor/offeror:

Name (printed) ___________________________ Title ___________________________

Signature ___________________________ Date ___________________________