

UNIVERSITY OF ILLINOIS

Chicago • Springfield • Urbana-Champaign

Office of Business and Financial Services
Purchasing Division

Request for Proposal

No. KTP025

DESIGN SERVICES FOR THE JANE ADDAMS COLLEGE OF SOCIAL WORK

PROPOSAL DUE DATE: March 28, 2011

PROPOSAL DUE TIME: 3:00 PM, CST

PRE-PROPOSAL CONFERENCE: Tuesday, March 8, 2011

Details for Pre-Proposal Conference in Section 6.3

Questions regarding general proposal procedures should be directed to:

Kimberly Piper
Contract Coordinator
University of Illinois at Chicago
Purchasing Division,
Chicago, Illinois 60612-7203
Ph: (312)-996-1856, Fax: (312)-996-3135
Email: piper02@uic.edu

Send or deliver Proposal to:

**University of Illinois at Chicago
Purchasing Division (M/C 560)
809 S. Marshfield Ave., Suite 310
Chicago, Illinois 60612-7203**

NUMBER OF COPIES: Submit one (1) original copy and five (5) copies.

OFFER FIRM TIME: Two Hundred Seventy (270) Days

Notes:

- 1. Proposers shall adhere to the instructions and submittal requirements contained herein. Failure to comply with any or all requirements may result in the rejection of proposal.*
- 2. Late proposals may not be considered and may be returned unopened.*
- 3. Proposer must complete the enclosed **Appendix V Proposer's Certifications and Disclosures**. Proposer must also include a copy of its **Illinois Board of Elections certificate and be registered in good standing with the Illinois Secretary of State to do business in the state of Illinois**.*
- 4. Failure to complete and return this form and certificate with Proposer's response may result in its being considered non-responsive to this solicitation.*

TABLE OF CONTENTS

RFP SECTION	PAGE
1. INTRODUCTION	3
2. SCOPE OF WORK/TECHNICAL SPECIFICATIONS	4
3. EVALUATION AND SELECTION PROCESS.....	6
4. CRITERIA.....	7
5. SUBMISSION OF PROPOSAL.	8
6. INSTRUCTIONS TO PROPOSERS.....	10
 APPENDICES	
Appendix I REFERENCES	16
Appendix II KEY PERSONNEL COMMITMENT	17
Appendix III PRICING PROPOSAL	18
Appendix IV BIDDER’S APPLICATION FORM	22
Appendix V PROPOSER’S CERTIFICATIONS AND DISCLOSURES	29
Appendix VI CONTRACT.....	52

1. INTRODUCTION

1.1 Overview /Objectives

The University of Illinois wishes to retain the services of a consultant to create custom designs for marketing materials for the UIC Jane Addams College of Social Work. It is anticipated that a contract will be awarded for an initial two year term beginning in 2011, with the option to renew for three (3) additional one (1) year periods at the same terms and conditions based on satisfactory performance, continuing need and availability of funds. It is the intention of University to establish a single contract with the successful vendor who will provide design services for the University of Illinois at Chicago.

1.2 University Background

The University of Illinois consists of three (3) campuses: University of Illinois at Urbana-Champaign, University of Illinois at Chicago, and University of Illinois at Springfield. The University of Illinois is the state's best and most comprehensive public university. The three distinct campuses in Chicago, Springfield and Urbana-Champaign serve the people of Illinois through a shared commitment to our missions of excellence in teaching, research, public service and economic development. Online classes offered by the three campuses expand educational opportunities for residents of the state of Illinois and beyond.

Our campuses attract the nation's most talented students with hundreds of undergraduate, graduate and professional programs, many of them ranked among the best in the United States. We are also the state's largest educator. Nearly 70,000 students are enrolled at our campuses and thousands more take classes off campus and online.

The University of Illinois is a world leader in research and discovery. Our internationally renowned faculty win more federal research dollars than all other public Illinois universities and colleges combined, resulting in priceless new knowledge and life-changing breakthroughs in medicine, agriculture and technology.

The University also has an impressive impact on the state's economy. The University's operation means billions in direct spending in Illinois and full-time employment for more than 25,000.

1.3 Background

The Jane Addams College of Social Work builds on the legacy of its namesake, the Illinois-born social reformer, Nobel Peace Prize winner (1931), and pioneer of American social work. Jane Addams founded Hull House in 1889. Becoming an internationally famous settlement house, in its day, Hull House fomented the development of the social work profession through its programs to enhance health, literacy, workplace safety, education, justice for children, outreach to oppressed immigrant groups, as well as thorough social investigations. Hull House is now a part of the University of Illinois at Chicago, which is centered near the heart of Chicago. The college continues to carry out the mission of Jane Addams and the Hull House movement, adapting it to contemporary needs and the realities of today's urban settings. Its commitment to social, racial, and economic justice is reflected in the racial and cultural diversity of the faculty, staff, and student body, curriculum of the degree programs, community service projects, and research and evaluation projects and initiatives.

The Jane Addams College of Social Work is home to more than 400 graduate students pursuing master's and doctorate degrees. Students come to the college from the Chicago metropolitan area, other parts of the United States and other countries.

Graduates of UIC's master's of social work excel as practitioners, caseworkers, administrators, policy advocates, and community organizers in a variety of settings. Working with diverse populations, graduates address the circumstances of children and families in agency, school and community settings; as well as persons with severe and persistent mental illness; individuals with acute and chronic health problems, including HIV/AIDS; persons who abuse alcohol and drugs; and individuals involved in the criminal justice system, including their families and children. Graduates are known for their ability to work at both the clinical and community levels.

Doctoral students are prepared for careers in teaching, research, administration, and social policy. Most social work doctoral graduates teach at colleges and universities or hold positions as agency executives. Smaller numbers work in research positions and direct practice.

2. SCOPE OF WORK/TECHNICAL SPECIFICATIONS

2.1 Purpose

The purpose of this request is to procure design and marketing services specifically for the UIC Jane Addams College of Social Work that will communicate professionalism and showcase the prominence of the work of the college to attract a high quality, motivated student body. The College seeks to recruit approximately 440 new Master's of Social Work (MSW) students each year, but, on average, gains about 315 new students annually. The students tend to be currently employed at social work-related agencies or want to take their undergraduate degree further in the social work field and are from the Chicago area and around the United States.

2.2 Subcontracting or teaming

The proposer may be comprised of a team of firms, so as to provide the necessary expertise throughout the implementation, integration, customization, and training of the solution proposed. The proposer is required to identify the different components of the proposed solution as well as members of the team. The University reserves the right to accept or reject any of the team members if in the University's sole opinion replacement of the firm is in the best interest of the University.

2.3 Key Personnel

The proposer must identify the key personnel that will be committed to the project. The University reserves the right to reject any key personnel proposed if it is determined in the University's best interest. All key personnel must be committed to the project at the appropriate time level. Key personnel must not be replaced without the approval of the University. Any approved substitutions must be with personnel of equal or better qualifications. In addition, any other commitments must not conflict with the level of commitment proposed for this project.

2.4 Business Enterprise Program (BEP) Participation

Consistent with the Illinois Business Enterprise for Minorities, Females, and Persons with Disabilities Act (30 ILCS 575/1), the University has established a goal that BEP firms retained as subcontractors by a proposer receive a minimum of 20% of the overall estimated expenditures for this procurement. In an effort to continue to promote and expand the participation of certified BEP firms in University contracting, the proposer shall make good faith efforts to utilize BEP firms as subcontractors. In its response, a proposer

shall state the name(s) of the BEP subcontractor(s) and the level of participation proposed for each firm to be awarded a subcontract. In order to identify BEP-certified firms that offer services relevant to the project, the proposer may consult the certification directory maintained by the Illinois Department of Central Management Services, Business Enterprise Program, which is available on their website: www.sell2.illinois.gov.

Actual participation by BEP-certified firms will be monitored and proposer will be required to identify the level of participation proposed in each task order and submit information regarding the proposer's BEP utilization upon completion of each task order and/or payment request.

2.5 Specifications

The specifications outlined in this section and the Proposer's response to it will be incorporated into the final Contract. Proposers should provide a proposal based on the following technical specifications and minimum requirements:

2.5.1 Design Brochures and Other Publications

- a) 6 panel fold out brochures describing the Jane Addams College of Social Work, its history, and its research centers. {Estimated sizes: 12" x 9" sheet folds down to 4" x 9", color}
- b) Other publications include postcards {12" x 6" sheet folds down in thirds to 4" x 6"}, banners for street light poles {Estimated sizes: 1' x 4'}, three newsletter/magazine publications {Estimated sizes: 8-3/8" square}, flyers {Estimated size: 4 x 9" or 8-1/2 x 11"}, signage, and ads for various facilities and programs such as The Midwest Latino Health Research, Training, and Policy Center; the Jane Addams Center for Social Policy and Research; the Midwest AIDS Training and Education Center; and the Great Lakes Addiction Technology Transfer Center. Publications will be produced in roughly 6 to 8 weeks each for approximately 10 to 20 annual projects.

2.5.2 Design Application Forms

- a) The MSW Application Booklet will require the designer to create forms that prospective students fill out, based on contents we provide. Often, a good deal of personal information needs to fit into a single 8-1/2" x 11" page. {Estimated dimensions: 8-3/8 x 11"; 32 pages plus cover, Cover 4/1 text black only; 80-lb. cover, body standard 60-lb. offset; saddle stitch bindery; 1 stock photo image on cover}
- b) Packaging for CD version of MSW Application {Estimated dimensions: 5-5/8" x 5"; 4-color; Heavy card stock for CD self-mailer (120-lb. cover, coated); bindery folds down to enclose CD; has pull-off tab to open; 1 stock photo image on cover}

2.5.3 Photography Selection

The University will provide the selected vendor CDs containing photos taken of students, faculty, and other events. The designer will review the stock photos and make selections for publications such as our Affirmations magazine or Year in Review publication.

2.5.4 Semi-Annually Published Design Magazine

Selection and arrangement of text, photos and headings for a 16+ page publication. {Estimated dimensions: 8-3/8" square; color 4/4; 100 lb. text; saddle stitch bindery; 16-20 photos}

2.5.5 Graphic Development

The designer will be given guidance surrounding the goals of each project, but will maintain the flexibility to propose various designs, layouts, etc. in the case of some projects. The designer should be able to propose a variety of options when applicable to the project.

2.5.6 Marketing Program Reporting

- a) Define performance targets.
- b) Provide regular reports to show progress and the effectiveness of marketing activities.
- c) Provide cost estimates for approval prior to beginning any work under a given project.

2.5.7 Compliance with University Identity and Logo Standards

All designs must be consistent with the UIC identity and logo policies and web privacy as stated at <http://www.uic.edu/depts/paff/identity/PDF/standards.pdf>.

2.6 Deliverables

Vendor will be expected to turn around designs in one to two weeks. Most designs will be sent to the University electronically, using email or services such as YouSendIt. Designer needs to be able to create PDFs. Creative revisions are typically expected to be turned around in less than 24 hours. For expedited projects, a turnaround time of 1-3 hours will be expected for revisions.

3. EVALUATION AND SELECTION PROCESS

3.1 Responsiveness Review

Procurement personnel will review all proposals to ascertain that they are responsive to all submission requirements.

3.2 Acceptance of Proposals

University reserves the right to reject any or all Proposals or any part thereof, to waive formalities, and to accept the Proposal deemed most favorable to University.

3.3 Evaluation Process

An evaluation committee comprised of University of Illinois personnel will evaluate all responsive proposals in accordance with the evaluation criteria detailed below.

This evaluation process may result in a shortlist of proposals. The evaluation committee, at its option, may request that all or shortlisted proposers make a presentation, product demonstration, submit clarifications, schedule a site visit of their premises (as appropriate), provide a best and final offer, provide additional references, respond to questions, or consider alternate approaches.

3.4 Proposer Presentations

University reserves the right to, but is not obligated to, request and require that each Proposer provide a formal presentation of its Proposal at a date and time to be determined. If required by University, it is anticipated that such presentation will not exceed two (2) hours. No Proposer will be entitled to present during, or otherwise receive any information regarding, any presentation of any other Proposer.

3.5 Right to Inspect

University reserves the right to inspect and investigate thoroughly the establishment, facilities, equipment, business reputation, and other qualification of the Proposer and any proposed Subcontractors and to reject any Proposal irrespective of price if it shall be administratively determined that the Proposer is deficient in any of the essentials necessary to assure acceptable standards of performance. UNIVERSITY reserves the right to continue this inspection procedure throughout the life of the Contract that may arise from this RFP.

3.6 Best and Final Offer

University reserves the right to request a Best and Final Offer from finalist Proposer(s), if it deems such an approach necessary. In general, the Best and Final Offer would consist of updated costs as well as answers to specific questions that were identified during the evaluation of Proposals.

If University chooses to invoke this option, Proposals would be re-evaluated by incorporating the information requested in the Best and Final Offer document, including costs, and answers to specific questions presented in the document. The specific format for the Best and Final Offer would be determined during evaluation discussions. Turnaround time for responding to a Best and Final Offers document is usually brief (i.e., five (5) business days).

3.7 Selection Process

Upon review of all information provided by shortlisted proposers, the evaluation committee will make a recommendation for selection to University officials. The University reserves the right to check references on any projects performed by the proposer whether provided by the proposer or known by the University. Selected proposal will be submitted for approval by the appropriate University officials. The University of Illinois intends to select a proposal that best meets the needs of the University and provides the overall best value. Upon approval of the selected Proposer, a contract will be executed by the appropriate University officials.

4. CRITERIA

4.1 Responsiveness of Proposal. Compliance with all the submission requirements of the RFP.

4.2 Technical Proposal

- 4.2.1** Quality of the proposed program plan and the proposer's ability to provide quality marketing services as well as understand the engagement and the University environment.
- 4.2.2** Qualifications and experience of the Proposer to successfully implement the marketing plan in a complex, large organization, preferably in a public higher education environment as evidenced by demonstrated experience with developing graphic design services for institutions with similar goals.
- 4.2.3** Qualifications and experience of the proposed key personnel as evidenced by resumes or biographies.
- 4.2.4** Three samples of similar marketing campaigns performed for similar types of organizations.
- 4.2.5** Financial stability of the Proposer.
- 4.2.6** The ability to attend in person meetings with University officials once every two weeks, at a minimum, during the contract period.
- 4.2.7** The ability of the proposer to demonstrate a reasonable turnaround time for all deliverables.
- 4.2.8** Reasonableness and extent of contract exceptions taken by Proposer.
- 4.2.9** Extent of contractual limitations as presented by any existing conflict of interest or legal actions involving the Proposer.

4.3 Price Proposal

- 4.3.1** Reasonableness of the overall price.

5. SUBMISSION OF PROPOSAL

5.1 Instructions for Submission

- 5.1.1 Number of Copies. Please submit one original and five (5) copies no later than the time and date indicated in this RFP. The original should be clearly marked “original”.
- 5.1.2 Time for submission. Proposals shall be submitted no later than the date and time indicated for submission in this RFP. Late submittals may not be considered and may be returned unopened.
- 5.1.3 Format. Proposal should be left-bound with information on one side only. Material should be organized following the order of the submission requirements separated by labeled tabs. Expensive paper and bindings are discouraged since no materials will be returned.
- 5.1.4 Complete submission. Proposers are advised to carefully review all the requirements and submit all documents and information as indicated in this RFP. Incomplete proposals may lead to a proposal being deemed non responsive. Non responsive proposals will not be considered.
- 5.1.5 Packaging and Labeling. The outside wrapping/envelope shall clearly indicate the RFP Title and date and time for submission. It shall also indicate the name of the proposer. The Price Proposal shall be submitted in a separate sealed envelope. The envelope shall clearly identify the content as “Price Proposal”. All other submission requirements shall be included with the Technical Proposal.
- 5.1.6 Timely delivery of Proposals. The Proposal, including the Technical Proposal, the Pricing Proposal and signed Contract, must be either delivered by hand or sent to the University of Illinois at Chicago (UIC) Purchasing Division through U.S. Mail or other available courier services to the address shown on the cover sheet of this RFP. Include the RFP number on any package delivered or sent to the UIC Purchasing Division and on any correspondence related to the Proposal. If using an express delivery service, the package must be delivered to the designated building and office and not to the University Postal Delivery System or Central Receiving facilities. Packages delivered by express mail services to other locations might not be re-delivered in time to be considered.
- 5.1.7 Late Proposals. The proposer remains responsible for ensuring that its Proposal is received at the time, date, place, and office specified. The University assumes no responsibility for any Proposal not so received, regardless of whether the delay is caused by the U.S. Postal Service, the University Postal Delivery System, or some other act or circumstance.

5.2 Submission Requirements

- 5.2.1 Cover letter. The cover letter shall be signed by an authorized representative of the Proposer. The letter should indicate the Proposer’s commitment to provide the software and services proposed. Also, the cover letter shall identify the members of the team that comprise the Proposer. Indicate the organizational relationship of the team members.
- 5.2.2 Executive Summary. The executive summary should include a brief overview of the solution proposed, the overall strategy for implementation, the key personnel who will be responsible for seeing the project through completion, and a rationale for proposing the software for implementation at the University. The executive summary shall also include the timeline for implementation and highlight any other requirements that are noted in the detailed proposed plan. Attach a proposed organization chart for the project.
- 5.2.3 Proposed Plan of Action/Program Plan. Provide a detailed proposed plan of action indicating how all requirements will be met. Submit a matrix summarizing how each of the requirements will

be met and indicating the resources that the University must commit to ascertain successful implementation. Complete Appendices I, II and III.

Schedule: In addition, the proposed plan of action shall include a detailed implementation schedule, including any critical path actions that may cause delay if the schedule is not met. Also, please indicate the ability to implement the system by modules and the flexibility of altering the order of implementation of each module.

5.2.4 Qualifications of the Proposer. Include a brief description of the organization's track record, including history, number of employees, number of years in business, and a list of projects relevant to this RFP. Provide a list of references where a similar solution was implemented. Include the name of the contact person, name of the organization, dollar value of the project, address, telephone number and email address. Please provide at least three (3) references. Complete Appendix I.

5.2.5 Key Personnel. Provide a chronological resume for each of the key personnel proposed. Each key personnel shall have three references. In addition, provide the time commitment for each key personnel. Indicate the level of their commitment to other projects. Please complete Attachment II.

5.2.6 BEP Participation. For each BEP-certified firm proposed, provide the name of the BEP firm(s), level of participation, the role that the subcontractor(s) will perform, and the type of services that it will provide, and a brief background and resumes of personnel proposed. The University may only award a contract to a responsible and responsive proposer. In the event that the proposer does not meet the BEP participation goal stated by the University for this procurement, the proposer must nonetheless demonstrate that it undertook good faith efforts to satisfy the participation goal. Evidence of such efforts may include, but shall not be limited to, documentation demonstrating that the proposer made attempts to identify, contact, and solicit viable BEP firms for the services required, that certain BEP firms did not respond or declined to submit proposals for the work, or any other documentation that helps demonstrate good faith efforts. Failure by the proposer to provide the required documentation or otherwise demonstrate good faith efforts will be taken into consideration by the University in its evaluation of the proposer's responsibility and responsiveness.

5.2.7 Financial Stability. Provide the audited financial statements for the last three fiscal years. Include the letter of opinion, balance sheet, schedules, and related auditor's notes.

5.2.8 Exceptions to Standard Contract. Submit any exceptions to the standard contract and include the rationale for taking the exception. If you are proposing alternate language, please include the language for consideration. Also, attach license and maintenance agreement(s), as appropriate.

5.2.9 Legal Actions. Provide a list of any pending litigation and include a brief description of the reason for legal action.

5.2.10 Conflict of Interest. Provide information regarding any real or potential conflict of interest. Failure to address any potential conflict of interest upfront may be cause for rejection of the proposal.

5.2.11 Forms and Certifications.

5.2.11.1 Execute and submit the Proposer's Certifications and Disclosures. The Proposer must complete and return the enclosed "PROPOSER'S CERTIFICATIONS DISCLOSURES" form along with their offer. In the event that further clarification is required on any of the information provided, the University reserves the right to make any necessary

communication with a Proposer for such purpose. Such communication, if made, may include a deadline by which time any necessary clarifying information must be submitted. Submit Appendix V.

5.2.11.2 Register and submit proof of the Board of Elections registration. All proposers are required to submit proof of Board of Elections registration. Failure to do so will result in the proposer being deemed non-responsive. Web Site: <https://berep.elections.il.gov>

5.2.11.3 Submit the IDHR number. All Proposals require this number or a statement by the proposer that a PC-1 Employer Report Form has been submitted to the IDHR prior to the proposal due date for the proposer to be eligible to propose an offer for this contract. Contact the Illinois Department of Human Rights, Public Contracts Unit, Suite 10-100, 100 West Randolph Street, Chicago, Illinois 60601, Area Code (312) 814-2431. Web Site: <http://www.state.il.us/dhr/index.htm>.

5.2.12 Contract. Submit two (2) originals of the completed and signed Contract. See Appendix VI.

- a. Each Contract submitted must bear an original signature and date.
- b. Complete the Articles pertaining to Contractor name and address, notification information, and taxpayer identification number.
- c. Clearly identify any exceptions to the terms and conditions of the Contract(s) by referencing the pertinent Article in a letter submitted with the signed Contracts. Provide rational objections to the Article. Such exceptions will be considered when evaluating the Proposer's response to this RFP.

5.2.13 Pricing Proposal. Submit your price proposal in a separate sealed envelope. The price proposal shall be submitted in the format provided. Submit one (1) original (clearly marked as "Original") and five (5) copies of the completed and signed Pricing Proposal (Appendix III) in a separate sealed envelope that is clearly marked with the RFP number and "Pricing Proposal." The response to Appendix III should include any supplemental or renewal option period pricing schedules.

5.3 Other:

Submit any information the Proposer deems pertinent to demonstrating its qualifications to perform the services being requested such as memberships in any professional associations.

6. INSTRUCTIONS TO PROPOSERS

6.1 Instructions

This RFP provides potential Proposers with sufficient information to enable them to prepare and submit proposals. This RFP also contains the instructions governing the submittal of a proposal and the materials to be included therein, including mandatory requirements, which must be met to be eligible for consideration, and other requirements to be met by each proposal. All proposals must be complete as to the information requested in this RFP in order to be considered responsive.

6.2 Availability of Documents

All State universities in Illinois publish their competitive bid, RFP, and other procurement notices, as well as award information, at: <http://www.procure.stateuniv.state.il.us>

Interested suppliers should note that, unless otherwise stated in the bid or RFP documents, there is no charge or fee to obtain a copy of or respond to documents posted for competitive solicitation. Suppliers intending to respond to any posted solicitation are encouraged to visit the web site above to insure that they have received a complete and current set of documents. Some procurement notices may provide a downloadable version of the pertinent documents and any amendments to them, available to suppliers after they have completed a simple registration process. Additionally, some notices may permit a supplier to submit a response to a posted requirement in an electronic format.

Any suppliers receiving a copy of procurement documents from a bid referral service and/or other third party is solely responsible for insuring that they have received all necessary procurement documentation, including amendments. The issuing University is not responsible for insuring that all or any procurement documentation is received by a supplier that is not appropriately registered with the issuing University.

6.3 Pre-proposal Conference

The University will hold a pre-proposal conference at 809 South Marshfield Ave. in Room 308, Chicago, IL at 10:00 AM on Tuesday, March 8, 2011. Representatives of the University will be present to answer any questions regarding the services requested or proposal procedures. Prospective Proposers must respond to Kimberly Piper at (312) 996-1856 or email at piper02@uic.edu on or before March 7, 2011 with firm name and number of attendees. A maximum of three (3) representatives from each firm may attend.

6.4 Access to the Pre-Proposal Conference

If special accommodations are required for Proposer to attend the Pre-Proposal Conference or the proposal opening, contact Kimberly Piper at (312-996-1856) or email piper02@uic.edu no later than three (3) days before the event.

6.5 Clarifications

Questions regarding this RFP are due in writing to Kimberly Piper (contact information on cover page) no later than March 10, 2011 by 12:00 noon, CST.

6.6 Delivery of Proposal Package

The Technical Proposal, including the Pricing Proposal, must be either delivered by hand or sent to the Purchasing Division through U.S. Mail or other available courier services to the address shown on the cover sheet of this RFP. Include the RFP number on any package delivered or sent to the University Purchasing Division and on any correspondence related to the Proposal. The Proposer remains responsible for insuring that its Proposal is received at the time, date, place, and office specified. UNIVERSITY assumes no responsibility for any Proposal not so received, regardless of whether the delay is caused by the U.S. Postal Service, the University Postal Delivery System, or some other act or circumstance. **Proposals received after the time specified in the RFP will not be considered. All Proposals received after the specified time will be returned unopened.**

If using an express delivery service, the package must be delivered to the designated building and office and not to the University Postal Delivery System or Central Receiving facilities. Packages delivered by express mail services to other locations might not be re-delivered in time to be considered.

6.7 Uniformity

To provide uniformity and to facilitate comparison of Proposals, all information submitted must clearly refer to the page number, section or other identifying reference in this RFP. All information submitted

must be noted in the same sequence as its appearance in this RFP. UNIVERSITY reserves the right to waive minor variances or irregularities.

6.8 Proposal Material

The Proposal material submitted in response to the RFP becomes the property of UNIVERSITY upon delivery to the Purchasing Division and is to be appended to any formal document which would further define or expand the Contractual relationship between UNIVERSITY and the Proposer. All of the material will be considered as part of this RFP.

6.9 Addenda

Should any proposer have questions concerning conditions and specifications, or find discrepancies in or omissions from the specifications, or be in doubt as to their meaning, they should notify the Purchasing Division no later than five (5) days prior to the opening and obtain clarification prior to submitting a solicitation. Such inquiries must reference the date of opening and UNIVERSITY bid or RFP number.

Any addenda issued to Proposers prior to the Proposal opening date shall include an addendum acknowledgement section. Since all addenda become a part of the Proposal, all addenda must be signed by an authorized Proposer representative and returned with the Proposal on or before the Proposal opening date. Failure to sign and return any and all addendum acknowledgements shall be grounds for rejection of the Proposal response.

Interpretations that change the terms, conditions, or specifications will be made in the form of an addendum to the solicitation by UNIVERSITY. If issued, University will post the addenda on the Higher Education Procurement Bulletin (www.procure.stateuniv.state.il.us/). In the event there are any conflicts between the general terms and conditions and any special terms and conditions, the special terms and conditions shall take precedence.

6.10 Proposal Modifications

Proposals submitted prior to the Proposal opening date may be modified or withdrawn only by written notice to UNIVERSITY. Such notice must be received by the Purchasing Division prior to the time designated for opening of the Proposal. Proposer may change or withdraw the Proposal at any time prior to Proposal opening; however, no oral modifications will be allowed. Only letters or other formal written requests for modifications or corrections of a previously submitted Proposal that are addressed in the same manner as the Proposal and that are received prior to the scheduled Proposal opening time will be accepted. The Proposal, when opened, will then be corrected in accordance with such written requests, provided that the written request is contained in a sealed envelope that is clearly marked with the RFP number and "Proposal Modification." No modifications of the Proposal will be accepted at any time after the Proposal opening date and time.

A withdrawn Proposal may be resubmitted up to the time designated for the receipt of Proposal provided that it is then fully in conformance with the requirements of the RFP.

6.11 Proposer's Responsibility for Services Proposed

The Proposer must thoroughly examine and will be held to have thoroughly examined and read the entire RFP document. Failure of Proposers fully to acquaint themselves with existing conditions or the amount of work involved will not be a basis for requesting extra compensation after the award of a Contract.

6.12 Errors and Omissions

The Proposer is expected to comply with the true intent of this RFP taken as a whole and shall not avail itself of any errors or omission to the detriment of the services. Should the Proposer suspect any error,

omission, or discrepancy in the specifications or instructions, the Proposer shall immediately notify UNIVERSITY in writing, and UNIVERSITY shall issue written instructions to be followed. The Proposer is responsible for the contents of its Proposals and for satisfying the requirements set forth in the RFP.

6.13 RFP Interpretation

Interpretation of the wording of this document shall be the responsibility of UNIVERSITY and that interpretation shall be final.

6.14 Confidentiality and Response Cost and Ownership

From the date of issuance of the RFP until the opening date, the Proposer must not make available or discuss its Proposal, or any part thereof, with any employee or agent of University. The Proposer is hereby warned that any part of its Proposal or any other material marked as confidential, proprietary, or trade secret, can only be protected to the extent permitted by Illinois Statutes.

6.15 Use of Subcontractors

If the Proposer intends to use Subcontractors to perform any portion of the work described in this RFP, the Proposal must clearly state so. The Proposer's response must include a description of which portion(s) of the work will be subcontracted out, the names and addresses of potential Subcontractors and the expected amount of money each will receive under the Contract.

6.16 Proposer's Disclosure of Financial Interests

The Proposer must complete and return the enclosed "VENDOR'S DISCLOSURE OF FINANCIAL INTERESTS" form along with their offer. In the event that further clarification is required on any of the information provided, UNIVERSITY reserves the right to make any necessary communication with a proposer for such purpose. Such communication, if made, may include a deadline by which time any necessary clarifying information must be submitted.

6.17 Illinois Department of Human Rights Number

All Proposals require this number or a statement by the Proposer that a PC-1 Employer Report Form has been submitted to the IDHR prior to the bid/proposal due date for the Proposer to be eligible to propose an offer for this contract. Contact the Illinois Department of Human Rights, Public Contracts Unit, Suite 10-100, 100 West Randolph Street, Chicago, Illinois 60601, Area Code (312) 814-2431. Web Site: <http://www.state.il.us/dhr/index.htm>.

6.18 Procurement Rules

All bidding, proposals, offers and procurement will be conducted in accordance with the Procurement Rules of the Chief Procurement Officer for Public Institutions of Higher Education, which have been adopted pursuant to the Illinois Procurement Code. All Proposers will be strictly held to these statutes and rules and they are considered incorporated herein by reference as if attached hereto. The Proposer remains solely responsible for insuring that its Proposal is received at the time, date, place, and office specified.

6.19 "No Bid" Requirement

If not submitting an offer, respond by returning this form, marking it "NO BID", and explain the reason. Repeated failure to quote without sufficient justification shall be cause for removal of the vendor name from the mailing list. NOTE: to qualify as proposer, vendor must submit a "NO BID", and it must be received no later than the stated opening date and hour.

6.20 University RFP Form

Please use our solicitation form for submitting your offer. Variations or exceptions from the specifications and general conditions should be shown on an accompanying "Exceptions to Specifications" section of your technical proposal. Such exceptions or deviations may be considered in evaluating the offers received. Any exception taken must be noted in the space provided within this solicitation to facilitate this requirement. Failure to comply with this condition may cause your offer to be considered "non-responsive."

6.21 University's Goals for Contracting with Minorities, Females, and Persons with Disabilities

In support of the Business Enterprise for Minority, Female and Persons with Disabilities Act (MAFBE; 30 ILCS 575 et seq., as amended) the University has established the goal of 20% of its contracts to be awarded to minority (11%), female (7%), and disabled (2%) businesses. The University encourages minority, female and disabled business enterprises to compete for and participate in University contracts. The goals can be met by means of contracts let directly to minority, female and disabled business firms by the University, or indirectly by the Proposer's ordering goods or services from minority, female and disabled firms when suppliers or subcontractors are needed to fulfill the Contract.

Information about the Proposer's MAFBE status must be included in the Illinois Public Higher Education Bidder Application Form (Appendix IV) as part of the submission. The Proposer, if awarded a Contract, agrees to notify the University of Illinois of changes to its status as a minority, female or disabled business enterprise within fifteen (15) business days of the occurrence of such a change.

The Proposer agrees to identify minority, female and disabled business firms providing the Proposer with goods or services in the fulfillment of the Contract requirements, and further agrees to report, upon request by the University, the dollar value of purchases made with these firms. Upon request, the University will provide a list of certified minority, female and disabled business firms that may be contacted to fulfill the requirements of this Contract.

6.22 Pricing

All price and cost information requested in this solicitation should be provided by the proposer. While price is a factor in the evaluation of responses received, the relevant importance of price may vary based on the nature of the purchase and the related significance of other criteria as may be expressed elsewhere in this solicitation. In evaluating price, University may give consideration to all cost factors relevant to determine the total final cost to University, including but not limited to: administrative cost of issuing multiple awards. University will be the sole determinant of the relevant and appropriate cost factors to be used in evaluating any Base or Alternate offers and/or Options.

6.23 Period of Firm Proposal

Prices for the proposed service must be kept firm for at least two hundred seventy (270) days after the last time specified for submission of Proposals. Firm Proposals for periods of less than this number of days may be considered non-responsive. The Proposer may specify a longer period of firm price than indicated here. If no period is indicated by the Proposer in the Proposal, the price will be firm until written notice to the contrary is received from the Proposer, unless otherwise specified in this RFP

6.24 Awards

University may, at its discretion evaluate all offers submitted on the basis of any Base or Alternate offers and/or Options indicated in this solicitation. University reserves the right to make the award on an all or none basis or split the award to multiple vendors based to the lowest responsible proposers meeting the

specifications, terms and conditions. If a split award is not acceptable to a Proposer, it must be so stated in the response.

6.25 University Rights

University reserves the right to reject any and all offers, to waive any informality in the offers and, unless otherwise specified by the Proposer, to accept any item in the offer. University also reserves the right to accept or reject all or part of your offer, in any combination that is economically advantageous to University.

APPENDIX I - REFERENCES

Provide references from established Universities, Government agencies and Companies (four preferred), other than the procuring agency, that can attest to your experience and ability to perform the contract subject of this RFP.

(1) University/Government Agency/Company (Name):	Contact Person Name: Address: Phone: E-mail Address:
Types of Supplies/Services Provided and Dates Provided/Contracted:	
(2) University/Government Agency/Company (Name):	Contact Person Name: Address: Phone: E-mail Address:
Types of Supplies/Services Provided and Dates Provided/Contracted:	
(3) University/Government Agency/Company (Name):	Contact Person Name: Address: Phone: E-mail Address:
Types of Supplies/Services Provided and Dates Provided/Contracted:	
(4) University/Government Agency/Company (Name):	Contact Person Name: Address: Phone: E-mail Address:
Types of Supplies/Services Provided and Dates Provided/Contracted:	

APPENDIX II- LEVEL OF COMMITMENT OF KEY PERSONNEL

COMMITMENT TO THIS PROJECT			OTHER PROJECTS		
NAME OF KEY PERSONNEL	ROLE	LEVEL OF COMMITMENT	NAME OF THE PROJECT	LEVEL OF COMMITMENT	EXPECTED COMPLETION DATE

APPENDIX III - PRICING PROPOSAL

1. METHOD AND RATE OF PAYMENT

This Appendix I and Proposer's response to it will be incorporated into the final Contract. University makes no guarantee that the services identified in this RFP will be required as of the dates or in the manner indicated.

The Proposer's cost should be responsive to the services contained in this section. However, in the event that additional services are required to achieve the necessary results, these additional needs should be cited and priced. Further, each respondent should identify the costs associated with services or items that are not required to satisfy the stated RFP requirements but are available (from the vendor or from a third party) to extend or enhance the proposed services.

The University is obligated neither to purchase the full services proposed by the vendor nor to enter into a "sole provider" agreement with any one respondent.

The University will prepare copy for ads and other materials (brochures, etc.) and perform any printing as required separately. These costs should not be included in your pricing proposal.

1.1 Labor Rates per Contractor Role

Solely for the purposes of evaluating the Proposal, please indicate the estimated number of hours and pricing that will be assigned for each staff member to provide the required services under this Request for Proposal in the tables below. The total number of estimated hours for consulting and technical services including design, planning and implementation for this project is 500. Please respond to only **500** hours.

On the indicated lines, please provide your Payroll Rate and Billable Rate for each category. The Payroll Rate is defined as the actual hourly rate your company pays each employee or contractor. The Billable Rate is the rate your company charges the University for services.

DESIGN AND CONSULTING					
Description	Estimated No. of Hours Assigned	Payroll Hourly Rate	Extended Rate (No. of Hours x Payroll Rate)	Billable Hourly Rate	Extended Rate (No. of Hours x Billable Rate)
Position/Title	_____	\$ _____	\$ _____	\$ _____	\$ _____
Position/Title	_____	\$ _____	\$ _____	\$ _____	\$ _____
Position/Title	_____	\$ _____	\$ _____	\$ _____	\$ _____
Position/Title	_____	\$ _____	\$ _____	\$ _____	\$ _____

Position/Title	_____	\$ _____	\$ _____	\$ _____	\$ _____
Position/Title	_____	\$ _____	\$ _____	\$ _____	\$ _____
Position/Title	_____	\$ _____	\$ _____	\$ _____	\$ _____
Position/Title	_____	\$ _____	\$ _____	\$ _____	\$ _____
Total Estimated Hours	_____	Total Estimated Billable Cost for Design and Consulting			\$ _____

1.2 Travel Expenses

Travel expenses within a 50-mile radius of the University of Illinois are not allowed. Other travel expenses will be reimbursed with prior approval at rates in accordance with Section 15 of the Business and Financial Policies and Procedures Manual of the University of Illinois Office Of Business and Financial Services, available at <http://www.obfs.uillinois.edu/manual/#s15>.

1.3 Total Price

a. Enter the total costs from table 1.1. for the estimated maximum price for which the Contractor will furnish the design and consulting as identified in this RFP for the initial contract period.		\$ _____
b. Enter the total number of estimated hours from table 1.1 here.	_____	
c. If travel expenses are allowed, enter the estimated number of trips to be made during the initial contract period.	_____	
d. If travel expenses are allowed, enter the total estimated travel expense for the initial contract period. *Use the rates indicated in 1.2 Travel Expenses above. Include a list of travel expenses to be used along with your Pricing Proposal.		\$ _____
e. Add the amounts in lines a. and d. above. This is the estimated maximum amount of the Contract that may result from this RFP.		\$ _____

Failure to Provide Pricing for Option Periods:

If you fail to provide pricing information for the requested option periods specified, any contract awarded to your firm will be limited to the initial term and cannot include any renewal options.

Conditions Under Which Options May be Renewed:

The University reserves the sole right to renew this agreement for any or all of the option periods specified based on continuing need and favorable market conditions, when in the best interest of the University. The University also reserves the right to exercise any of the renewal options early or to exercise more than one option at a time.

2. Renewal Options

The University desires an option to renew the Contract that may result from this RFP. Should Contractor make a renewal option offer, the University reserves the right to renew the Contract for the periods indicated below at the Proposal prices and stated conditions, contingent upon continuing need and availability of funds. Please indicate option offer(s) in the following table.

	Do you offer a renewal option?	If renewal option is offered, will prices remain firm for the option period?	If prices will not remain firm for the option periods, indicate the maximum percent increase or decrease.
Renewal, Year 1	☐ yes ☐ no	☐ yes ☐ no	+ _____% or - _____%
Renewal, Year 2	☐ yes ☐ no	☐ yes ☐ no	+ _____% or - _____%
Renewal, Year 3	☐ yes ☐ no	☐ yes ☐ no	+ _____% or - _____%

3. Signature

By signing this Proposal, the Proposer signifies agreement with and acceptance of all the terms, conditions and specifications shown in this RFP, signifies that this is an accurate estimate for providing the requested services, and agrees to hold the prices firm as required in the RFP. The Proposer signifies travel costs, if allowed in this RFP, are an accurate estimate. The person signing below represents and warrants that he/she has authority to bind his/her company.

Please complete all the information requested below:

Company name:	
Address:	
Telephone number:	
E-mail address:	
Signature:	
Name:	
	Typed or printed name of individual signing Proposal
Date:	

Appendix IV – Bidder's Application Form

Bidder Application Form

Illinois Public Higher Education (IPHE)

This requested information is required to accomplish the statutory purpose of the Illinois Procurement Code [30 ILCS 500].

Instructions: Please type or print. You must respond to all questions, sign the form, and submit it to the appropriate university. If your answer is "same," "not applicable," or "none," please write this to indicate no questions have been overlooked. It is your responsibility to notify the issuing university if the information in this application changes.

Today's date: _____ This application is: ☐ Initial application ☐ Revision of previously submitted application

Submit this completed form to the university closest to you or the university with whom you intend to do the most business. Check that university below:

☐ Director of Purchases Chicago State University 9501 King Drive Chicago, IL 60628-1598	☐ Director of Procurement Services Northern Illinois University B-113 Gilbert Hall DeKalb, IL 60115-2870	☐ Director of Purchases University of Illinois at Chicago Room 312 - M.A.B. (MC-560) 809 South Marshfield Chicago, IL 60612-7203
☐ Director of Purchases Eastern Illinois University Room 113 Old Main Charleston, IL 61920-3099	☐ Director of Purchasing Southern Illinois University Bldg 108 - Miles Hall Carbondale, IL 62901-6813	☐ Avenue Purchasing Office University of Illinois at Springfield One University Plaza MS BSB 106 Springfield, IL 62703-5407
☐ Purchasing Office Governors State University University Park, IL 60466-0975	☐ Director of Purchasing Southern Illinois University Box 1012 Edwardsville, IL 62026-1012	☐ Director of Purchases University of Illinois at Urbana-Champaign Purchasing Division 616 E. Green, Suite 212 Champaign, IL 61820-5752
☐ Director of Purchases 1220 Illinois State University Normal, IL 61790-1220	☐ Director of Procurement Services SIU Medical School P.O. Box 19605 Springfield, IL 62794-9605	☐ Director of Purchases Western Illinois University One University Circle Room 227 Sherman Hall Macomb, IL 61455-1390
☐ Director of Purchasing Purchasing Department Northeastern Illinois University 5500 North St. Louis Avenue Chicago, IL 60625-4699		

If you wish to be included on the bid list for other universities, copy this form and submit it to the other universities.

1. Legal name/address to which solicitations are to be mailed:	2. Address to which purchase orders are to be mailed, if different:
3. Address to which payment is to be mailed, if different:	4. Contact person: Phone number: 800 number: FAX number: E-mail:

5. If a division of a corporation, show name and address of parent company: State of incorporation _____	6. Years in business U.S. owned business: ☐ Yes ☐ No
---	---

7. Legal and tax status – I certify, under penalty of perjury, that I/we do business as a (check one only):

- | | |
|--|--|
| ☐ Individual | ☐ Real Estate Agent |
| ☐ Sole Proprietorship | ☐ Government Entity |
| ☐ Partnership | ☐ Tax Exempt Organizations (IRC 501 (a) only) |
| ☐ Corporation | ☐ Trust or Estate |
| ☐ Not-for-Profit Corporation | ☐ Limited Liability Corporation |
| ☐ Medical Health Care Services Provider Corp. | |

8. Enter your Taxpayer Identification Number (use Social Security Number if individual or sole proprietorship):

☐ FEIN _____ ☐ SSN _____

9. **Enter your Illinois Department of Human Rights (IDHR) number.** Failure to do so will delay the processing of your application. If your IDHR number is 89999-00-0 or lower, you must re-register with the Illinois Department of Human Rights.

IDHR Contractor Registration Number _____ ☐ Exempt

If you employ 15 or more individuals and wish to bid on State of Illinois contracts, IDHR requires that you file an Employers Report Form - Form PC-1 before bid opening. You may obtain a PC-1 form through IDHR at (312) 814-2431, TDD (312) 263-1579, or www.state.il.us/cms/purchase/download. All persons (or firms) employing 14 or fewer individuals at all times during the past 365 days are exempt from the IDHR requirement and should check the "Exempt" box above.

10. Is your firm authorized to do business in the State of Illinois, as well as locally, with all necessary business licenses?

☐ Yes ☐ No If no, please explain

11. Net worth of business:	12. Bank reference - name and address:
13. Total sales and receipts (include amounts for all affiliated businesses) for most recent fiscal year:	

14. Special Programs – Complete all of 14 (A – D).

The public higher education institutions of Illinois have various special programs that may be available to your company. Please check each category which applies, and complete the requested information. You may be requested to complete a more detailed form and provide additional documentation in order to ensure eligibility.

- ☐ **(A) Small business.** See 30 ILCS 500/45-45. To participate as a small business you must qualify under the following definition and criteria:

"Small business" means a business that is independently owned and operated and is not dominant in its field of operation (that is, it does not exercise a controlling or major influence in a kind of activity in which a number of business concerns are primarily engaged). To compute your size status, include your (and your affiliates') annual sales and receipts, subject to the following limitations:

Wholesale business – annual sales for the most recently completed fiscal year cannot exceed \$7,500,000. Submit a copy of the latest year's Federal and State income tax return page(s) showing total annual gross sales for the company and an Illinois address. If both a wholesaler and retailer, the combined wholesale and retail annual sales for the latest year of tax filing shall not exceed \$9 million. The retail component shall not exceed \$1.5 million and the wholesale component shall not exceed \$7.5 million. Businesses desiring to qualify under the combined status must also submit a notarized statement delineating the retail and wholesale dollar

components.

Retail business or business selling services – annual sales and receipts cannot exceed \$1,500,000

Submit a copy of the latest year's Federal and State income tax return page(s) showing total annual gross sales for the company and an Illinois address. If both a wholesaler and retailer, the combined wholesale and retail annual sales for the latest year of tax filing shall not exceed \$9 million. The retail component shall not exceed \$1.5 million and the wholesale component shall not exceed \$7.5 million. Businesses desiring to qualify under the combined status must also submit a notarized statement delineating the retail and wholesale dollar components.

Manufacturing business – cannot employ more than 250 persons

Submit a copy of the latest year's Federal or State income tax return page(s) showing an Illinois address and the latest year's form IL-W-3 (Illinois Annual Withholding Income Tax Return) showing the number of Forms W-2, W-2G, and 1099-R issued (denotes number of employees at the company). If a manufacturing business has been in existence for less than a full fiscal year, its average employment shall be calculated for the period through one month prior to the bid or proposal due date. In such cases, a notarized statement to that effect and proof of when the business came into existence shall be submitted.

Construction business – annual sales and receipts cannot exceed \$10,000,000

Submit a copy of the latest year's Federal and State income tax return page(s) showing total annual gross sales for the company and an Illinois address.

- ☐ **(B) Minority, Female, Person with Disability.** See 30 ILCS 575. To participate in this you must qualify under the following criteria and be certified by one of the following:

- ☐ DCMS (Department of Central Management Services) Business Enterprise Program
- ☐ CMBDC (Chicago Minority Business Development Council)
- ☐ IDOT (Illinois Department of Transportation)
- ☐ WBDC (Women's Business Development Center)

The business must be at least 51% owned and controlled by one or more individuals who are minority, female, or a person with disabilities. A business owned and controlled at least 51% by any combination of minorities, females, and persons with disabilities should be checked as a business owned and controlled by the eligible group that has the largest percentage of ownership. If this block is checked, also check each of the following which are applicable:

- ☐ African American
- ☐ Female
- ☐ Hispanic
- ☐ Asian American
- ☐ Native American/Alaskan
- ☐ Person with disability (must be severe mental or physical disabilities which substantially limit major life activities)

- ☐ **(C) Not-for-profit, U.S. tax exempt agency for the disabled.** You must qualify under Section 501 of the Internal Revenue Code. See 30 ILCS 575/2A4.1.

- ☐ **(D) State use – Not-for-profit agency for the severely handicapped.** Must meet requirements of U.S. Department of Labor and the Illinois Department of Rehabilitation Services. See 30 ILCS 500/45-35.
-

15. In compliance with the Illinois Procurement Code, state the name of each person or company having a beneficial interest of more than 7½% in the bidding enterprise and each person or company, who, together with spouse or minor children, has a beneficial interest of more than 15% in the bidding enterprise (attach additional sheets if necessary):

Name and Address	Percent Owned	Voting Percentage

If applicant is a corporation, please complete both columns:

Names of Corporate Officers	Names of Corporate Directors

16. List equipment, supplies, and/or services you can provide. Include brand and manufacturer names or other information that will help buyers to categorize your capabilities. (Additional items may be submitted on an attached sheet.) If the issuing university has provided a separate listing of equipment, supplies, and/or services, provide requested information and return it with this form. If the services available from your firm include professional and/or artistic services (see Item #17 for listing), and you wish to be pre-qualified so you can receive direct notification of opportunities, complete Items #17-24 of this application.

- 1.)
- 2.)
- 3.)
- 4.)

Fill out this section to pre-qualify as a provider of Professional and Artistic Services

If you do not offer such services, or do not wish to pre-qualify, proceed to Item #24.

Completing this section does not guarantee that you will be pre-qualified. Being pre-qualified does not guarantee that you will be awarded a contract. You do not need to be pre-qualified to respond to a solicitation (Illinois Procurement Code [30 ILCS 500/35-15]). Consult the universities' solicitations to determine specific qualification requirements for individual solicitations.

Automatic notification – Once you have been pre-qualified you will be entitled to receive an automatic notification of Procurement Bulletin solicitations for services for which you have pre-qualified **if** you have listed a FAX number and/or e-mail address as requested in Item #4.

Do not use this section to pre-qualify for construction or construction-related professional services. Contact the university with whom you wish to do business for information regarding specific requirements for these categories.

17. Please check the professional and artistic services for which you are requesting pre-qualification. For each service you check, provide the information requested in Items #17-23 of this application.

Accounting

- ☐ Accountant
- ☐ Auditor
- ☐ Billing Services
- ☐ Collection Services

Artistic

- ☐ Artist
- ☐ Entertainer
- ☐ Musician
- ☐ Sculptor

Clinical Psychology

- ☐ Psychotherapist
- ☐ Psychiatrist

Data Processing

- ☐ Consultant
- ☐ Network Design
- ☐ Programmer
- ☐ Systems Analyst

Dentistry

- ☐ Dentist
- ☐ Orthodontist
- ☐ Periodontist

Environmental/Land

- ☐ Cartographer
- ☐ Environmental Analyst
- ☐ Environmental Engineer
- ☐ Geologist
- ☐ Hydrologist
- ☐ Land Appraiser
- ☐ Land Use Planner
- ☐ Meteorologist
- ☐ Naturalist

Law

- ☐ Administrative Law Judge
- ☐ Arbitrator
- ☐ Attorney
- ☐ Court Reporting
- ☐ Hearing Officer
- ☐ Law Clerk
- ☐ Legal Services

Management/

Administrative Services

- ☐ Actuary
- ☐ Banking Services
- ☐ Consultant
- ☐ Economist
- ☐ Executive Search Services
- ☐ Investment Services
- ☐ Training and Development

Marketing And Media Services

- ☐ Audio and Video Production
- ☐ Commercial Photographer
- ☐ Editor
- ☐ Graphic Designer
- ☐ Media Consultant
- ☐ Public Relations

Medicine

- ☐ Audiologist
- ☐ Chiropractor
- ☐ Dietician
- ☐ Medical Transcriber
- ☐ Nurse
- ☐ Occupational Therapist
- ☐ Optometrist
- ☐ Orthopedist
- ☐ Pathologist
- ☐ Pharmacist
- ☐ Physical Therapist
- ☐ Physician
- ☐ Podiatrist
- ☐ Radiologist
- ☐ Surgeon
- ☐ Temporary Medical Staffing
- ☐ Veterinarian

Science/Research

- ☐ Archaeologist
- ☐ Biologist
- ☐ Botanist
- ☐ Chemist
- ☐ Educator
- ☐ Entomologist
- ☐ Historian
- ☐ Other

18. Licenses and/or professional registration – List names of each key person of the firm. If a requested service requires a licensed/registered practitioner, you may be required to provide a copy of such license/registration to the university before an award can be made or work begun.

Name	Capacity (Owner, Partner, Etc.)	Current Licenses/Registrations (Include Certificate # if Applicable)	License/ Registration Exp. Date

19. Work experience – List contracts for similar services that have been completed within the last five years:

Project	Location	Type of Service	Total Amount of Contract	Start/Completion Dates	Name/Phone # of Owner or Other Reference

20. Resumes of key personnel – Provide the requested information for key personnel who would be assigned to work on contracts awarded or who would, at a minimum, supervise such work.

Name and Title	Primary Responsibilities	Years Experience (This Firm/Other Firms)	Education (Institutions, Years, Degrees, Certificates)	Other Relevant Experience and/or Qualifications

21. Judgments and claims – Are there any judgments, claims, or suits pending or outstanding against you or your organization that could affect the ability to complete any contract awarded?

☐ Yes ☐ No

If yes, please explain:

22. Receivership – Have you or your organization filed for bankruptcy, receivership, or reorganization within the last five years?

☐ Yes ☐ No

If yes, please provide details:

23. Statutory qualifications – Are you or your organization disqualified, ineligible, suspended, or otherwise barred from receiving solicitations and/or awards from any State of Illinois university or agency or any agency of the Federal Government?

☐ Yes ☐ No

If yes, please provide details:

24. I understand that:

Information provided in this application may be audited by any State university or verified by other means.

Provision of information in this application does not relieve me from providing the same or additional information as required in a response to a solicitation.

Submittal of this application does not guarantee pre-qualification. Pre-qualification will be given only if I meet all statutory or regulatory requirements, including any that may not be listed in this application.

I must update significant information changes within a reasonable amount of time. Significant changes include, but are not limited to: change of legal status, TIN, ownership, name, address, as well as loss of licensure or registration, filing of bankruptcy, or suspension or debarment by any Federal, state, or local governmental agency.

Failure to provide accurate and reliable information required by this form may, in accordance with any and all applicable laws, result in penalties including, but not limited to, suspension or debarment from doing business with any university and termination of contracts, and loss of profits in appropriate cases.

Under penalty of perjury, I swear or affirm that:

The information provided in this application is true and correct as of the time of signing.

I have not been barred from contracting with a unit of State or local government as a result of a violation of Section 33-E or 33E-4 of the Criminal Code of 1961.

I, along with other officers and employees, have not been convicted of bribery nor attempted bribery of an officer or employee of the State of Illinois, nor have made an admission of guilt of such conduct that is a matter of record.

I am an equal opportunity employer and in compliance with the equal opportunity requirements of applicable state and federal laws.

Signature _____

Name (type or print) _____

Date _____

Title _____

APPENDIX V – PROPOSER’S CERTIFICATIONS AND DISCLOSURES

SUBCONTRACTORS: Vendor will or may use subcontractors ☐ Yes ☐ No

1. Vendor shall identify in this section the names and addresses of all subcontractors to be utilized by Vendor in the performance of the Contract, together with the anticipated amount of money each subcontractor is expected to receive pursuant to the Contract. For purposes of this section, “subcontractors” are those specifically hired to provide to the Vendor or another subcontractor some or all of the goods, services, property, remuneration, or other forms of consideration that are the subject of this Contract, including sublessees from a lessee of a State agency.
2. A copy of each subcontract issued pursuant to the Contract shall be provided to the State Purchasing Officer or Chief Procurement Officer within 20 days after the execution of the Contract or after execution of the subcontract, whichever is later. It is preferred that the subcontract be provided in PDF format and be sent to:

Buyer: Kimberly T. Piper

Address: 809 S. Marshfield Ave., 3rd Floor (M/C 560)

Phone: 1-312-996-1856

Email: piper02@uillinois.edu

3. If at any time during the term of the Contract, Vendor adds or changes any subcontractors, Vendor will be required to promptly notify, by written amendment to the Contract, the State Purchasing Officer or the Chief Procurement Officer (care of the person identified in 2. Above) of the names and addresses and the expected amount of money that each new or replaced subcontractor will receive pursuant to the Contract.
4. Any subcontracts entered into prior to award of the Contract are done at the Vendor’s and subcontractor’s risk.
5. All subcontracts must include the **Standard Qualifications, Certifications, & Disclosures Attachment**, completed by the subcontractor. Contractors should copy these forms from this contract document and insure they are included and provided as part of all subcontracts
6. List all subcontractor information including name, address, phone, email, and anticipated amount to be paid on the following page.

Subcontractors

[illegible]

(Make copies of this page if additional space is needed for reporting)

CERTIFICATIONS AND CONFLICTS

All subcontracts issued by Vendor under this Contract must include the Standard Qualifications, Certifications, Representations, and Disclosures Attachment.

If this is a multi-year contract, including the initial term and all optional renewals, Vendor shall reconfirm compliance with the following certifications by July 1 of each year that this contract remains in effect. All subcontractors shall reconfirm compliance with the Standard Qualifications, Certifications, Representations, and Disclosure Attachment.

Vendor certifies it is under no legal prohibition on contracting with the State of Illinois, has no known conflicts of interest and further specifically certifies that:

1. Vendor, its employees and subcontractors will comply with applicable provisions of the U.S. Civil Rights Act, Section 504 of the Federal Rehabilitation Act, the Americans with Disabilities Act (42 U.S.C. § 12101 et seq.) and applicable rules in performance under this Contract.
2. **This applies to individuals, sole proprietorships, partnerships and LLCs, but is not otherwise applicable.** Vendor is not in default on an educational loan (5 ILCS 385/3).
3. **This does not apply to contracts with the state universities.** Vendor (if an individual, sole proprietor, or partner) has informed the director of the Agency in writing if he/she was formerly employed by that agency and has received an early retirement incentive prior to 1993 under Section 14-108.3 or 16-133.3 of the Illinois Pension Code, 40 ILCS 5/14-108.3 and 40 ILCS 5/16-133.3, and acknowledges that contracts made without the appropriate filing with the Auditor General are not payable from the "contractual services" or other appropriation line items. Vendor has not received an early retirement incentive on or after 2002 under Section 14-108.3 or 16-133.3 of the Illinois Pension Code, 40 ILCS 5/14-108.3 and 40 ILCS 5/16-133.3, and acknowledges that contracts in violation of Section 15a of the State Finance Act are not payable from the "contractual services" or other appropriation line items (30 ILCS 105/15a).
4. Vendor is an existing legal entity, and **as applicable**: has obtained an assumed name certificate from the appropriate authority, is registered to conduct business in Illinois, and is in good standing with the Illinois Secretary of State (30 ILCS 500/1.15.80).
5. **This applies to service contracts and is otherwise not applicable.** Vendor certifies (i) that it will offer to assume the collective bargaining obligations of the prior employer, including any existing collective bargaining agreement with the bargaining representative of any existing collective bargaining unit or units performing substantially similar work to the services covered by the contract subject to its bid or offer, and (ii) that it shall offer employment to all employees currently employed in any existing bargaining unit performing substantially similar work that will be performed under this contract (30 ILCS 500/25-80). This certification does not apply to heating and air-conditioning, plumbing and electrical service contracts.
6. Vendor has not been convicted of bribing or attempting to bribe an officer or employee of the State of Illinois or any other State, nor has Vendor made an admission of guilt of such conduct that is a matter of record (30 ILCS 500/50-5).
7. If Vendor has been convicted of a felony, at least five years have passed after the date of completion of the sentence for such felony, unless no person held responsible by a prosecutor's office for the facts upon which the conviction was based continues to have any involvement with the business (30 ILCS 500/50-10).
8. If Vendor, or any officer, director, partner, or other managerial agent of Vendor, has been convicted 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, at least five years have passed since the date of the conviction. Vendor further certifies that it is not barred from being awarded a contract and acknowledges that the State shall declare the Contract void if this certification is false (30 ILCS 500/50-10.5).
9. Vendor and its affiliates are not delinquent in the payment of any debt to the State (or if delinquent has entered into a deferred payment plan to pay the debt), and Vendor and its affiliates acknowledge the State may declare the Contract void if this certification is false (30 ILCS 500/50-11) or if Vendor or an affiliate later becomes delinquent and has not entered into a deferred payment plan to pay off the debt (30 ILCS 500/50-60).
10. Vendor and all affiliates shall collect and remit Illinois Use Tax on all sales of tangible personal property into the State of Illinois in accordance with provisions of the Illinois Use Tax Act (30 ILCS 500/50-12) and acknowledges that failure to comply can result in the Contract being declared void.

11. Vendor certifies that it has not committed a willful or knowing violation of the Environmental Protection Act (relating to Civil Penalties under the Environmental Protection Act) within the last five years, and is therefore not barred from being awarded a contract. If the State later determines that this certification was falsely made by the Vendor, the Vendor acknowledges that the State may declare the Contract void (30 ILCS 500/50-14).
12. Vendor has not paid any money or valuable thing to induce any person to refrain from bidding on a State contract, nor has Vendor 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).
13. Vendor is not in violation of the "Revolving Door" section of the Illinois Procurement Code (30 ILCS 500/50-30).
14. Vendor will report to the Illinois Attorney General and the Chief Procurement Officer any suspected collusion or other anti-competitive practice among any bidders, offerors, contractors, proposers or employees of the State (30 ILCS 500/50-40, 50-45, 50-50).
15. In accordance with the Steel Products Procurement Act, steel products used or supplied in the performance of a contract for public works shall be manufactured or produced in the United States, unless the executive head of the procuring agency grants an exception (30 ILCS 565).
16. If Vendor employs 25 or more employees and this Contract is worth more than \$5,000, Vendor certifies that it will provide a drug free workplace in accordance with the requirements of the Illinois Drug-Free Workplace Act (30ILCS 580).
17. If Vendor is an individual and this Contract is worth more than \$5,000, Vendor shall not engage in the unlawful manufacture, distribution, dispensation, possession or use of a controlled substance during the performance of the Contract. (30 ILCS 580).
18. Neither Vendor nor any substantially owned affiliate is participating or shall participate in an international boycott in violation of the U.S. Export Administration Act of 1979 or the applicable regulations of the U.S. Department of Commerce. This certification applies to contracts that exceed \$10,000 (30 ILCS 582).
19. Vendor has not been convicted of the offense of bid rigging or bid rotating or any similar offense of any state or of the United States (720 ILCS 5/33 E-3, E-4).
20. Vendor certifies that it will comply with all applicable provisions of the Equal Opportunity Employment Clause at 44 Ill. Adm. Code 750, Appx. A, which forms a part of this Contract by reference. (775 ILCS 5/2-105).
21. Vendor does not pay dues to, or reimburse or subsidize payments by its employees for any dues or fees to any "discriminatory club" (775 ILCS 25/2).
22. Vendor complies with the State Prohibition of Goods from Forced Labor Act, and certifies that no foreign-made equipment, materials, or supplies furnished to the State under the Contract have been or will be produced in whole or in part by forced labor, or indentured labor under penal sanction (30 ILCS 583).
23. Vendor certifies 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 or any child under the age of 12 (30 ILCS 584).
24. Vendor certifies that it has not committed a willful or knowing violation of the Lead Poisoning Prevention Act (410 ILCS 45) and acknowledges that it is prohibited from doing business with the State until the violation is mitigated. (30 ILCS 500/50-14.5).
25. **This does not apply to contracts with the state universities.** Vendor warrants and certifies that it and, to the best of its knowledge, its subcontractors have and will comply with Executive Order No. 1 (2007). The Order generally prohibits vendors and subcontractors from hiring the then-serving Governor's family members to lobby procurement activities of the State, or any other unit of government in Illinois including local governments if that procurement may result in a contract valued at over \$25,000. The prohibition also applies to hiring for that same purpose any former State employee who had procurement authority at any time during the one-year period preceding the procurement lobbying activity.
26. **This applies to information technology contracts and is otherwise not applicable.** Vendor acknowledges that all information technology, including electronic information, software, systems and equipment, developed or provided under this Contract must be

accessible to individuals with disabilities to the greatest extent possible, in accordance with the Illinois Information Technology Accessibility Act Standards published at www.dhs.state.il.us/iitaa (30 ILCS 587).

27. Vendor has disclosed if required, on forms provided by the State, and agrees it is under a continuing obligation to disclose to the State, financial or other interests (public or private, direct or indirect) that may be a potential conflict of interest or that would prohibit Vendor from having or continuing the Contract. This includes, but is not limited to conflicts under the "Infrastructure Task Force Fee Prohibition" section of the State Finance Act (30 ILCS 105/8.40), Article 50 of the Illinois Procurement Code (30 ILCS 500/50), or those which may conflict in any manner with the Vendor's obligation under this Contract. Vendor shall not employ any person with a conflict to perform under this Contract. If any elected or appointed State officer or employee, or the spouse or minor child of same has any ownership or financial interest in the Vendor or the Contract, Vendor certifies it has disclosed that information to the State if required, on forms provided by the State, and any waiver of the conflict has been issued in accordance with applicable law and rule. A waiver is required if:

- a) the person intending to contract with the State, his/her spouse or child: (i) holds an elective office in Illinois; (ii) holds a seat in the Illinois General Assembly; (iii) is an officer or employee of the Capital Development Board or the Illinois Toll Highway Authority; or holds an appointed position or is employed in any of the offices or agencies of the State government and who receives compensation for such employment in excess of 60% of the salary of the Governor (currently \$106,447.20). (The conflict of interest threshold of 60% of the Governor's salary set forth in Section 50-13 does not apply to elective office holders, legislators, and officers or employees of the Capital Development Board or the Illinois Toll Highway Authority.);
- b) the contract is with a firm, partnership, association or corporation in which a person referenced in a) above receives more than 7.5% of the total distributable income or an amount in excess of the salary of the Governor (currently \$177,412.00).
- c) the contract is with a firm, partnership, association or corporation in which a person referenced in b) above, together with their spouse or minor child, receives more than 15% in the aggregate of the total distributable income or an amount in excess of 2 times the salary of the Governor (currently \$354,824.00) from the firm, partnership, association or corporation.

28. Vendor (as "business entity" under 30 ILCS 500/50-37), certifies that it will not make a prohibited political contribution.

29. In accordance with 30 ILCS 500/20-160, Vendor certifies that either:

☐ Vendor is not required to register as a business entity with the State Board of Elections.

Or

☐ Vendor has registered as a business entity with the State Board of Elections and acknowledges a continuing duty to update the registration as required by the Act. **A copy of the official certificate of registration as issued by the State Board of Elections is attached.**

30. Vendor will include these terms in any subcontract and acknowledges that the State may declare this Contract void without penalty or obligation to pay additional compensation if any certifications are false or if this Contract has been made in violation of the Procurement Code or any other law.

31. **Disclosure of Business in Iran:** You must respond to the following request for information. Failure to respond will disqualify your firm from consideration in this solicitation.

Within the 24 months before submission of the renewal offer the vendor, or any of its corporate parents or subsidiaries, has had business operations that involved contracts with or provision of supplies or services to

- (a) the Government of Iran;
- (b) companies in which the Government of Iran has any direct or indirect equity share;
- (c) consortiums or projects commissioned by the Government of Iran; or
- (d) companies involved in 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.

- ☐ NO, the above information does NOT apply to our firm.
- ☐ YES, the above information DOES apply to our firm. We understand that the participating University is required to notify the State Comptroller of this disclosure.

32. **Illinois Department of Human Rights (DHR) Public Contracts Number:** If Vendor has employed fifteen (15) or more full-time employees at any time during the term of this contract, then Vendor must have a current Public Contract Number or have proof of having submitted a completed application. If IPHEC cannot confirm compliance, it will not be able to consider the renewal offer. Please complete the appropriate sections below.

Name of Company (and D/B/A): _____

DHR Public Contracts Number: _____

Date of Expiration: _____

_____ (check if applicable) The number is not required as the company has employed 14 or less full-time employees during the 365-day period immediately preceding the renewal period.

33. The Vendor acknowledges that this Contract may be voided if any of the certifications made herein by the Vendor are false.
34. In the event of a conflict between these contract certifications and a purchase order these contract certifications shall control.

35. **This applies only if procuring university receives Medicare or Medicaid funding.** Contractor certifies that neither it nor any of its employees or subcontractors who may provide services pursuant to this Contract is currently subject of an investigation or proceeding to exclude it as a provider under Medicare or Medicaid or under any other federal or state health care program or under any third party insurance program, nor is it currently excluded or debarred from submitting claims to Medicare or Medicaid or to any other federal or state health care program or to any third party insurer. Contractor represents and warrants it has checked the U.S. General Service Administration's (GSA) Excluded Party Listing System (EPLS), which lists parties excluded from federal procurement and non-procurement programs. The EPLS website includes GSA/EPLS, the U.S. Department of Health and Human Services (HHS) Office of Inspector General's (OIG) List of Excluded Individuals/Entities (LEIE), and the Department of Treasury's (Treasury) Specially Designated Nationals (SDN) list. Contractor also represents and warrants it has checked the Illinois Department of Public Aid (IDPA) OIG Provider Sanctions list of individuals and entities excluded from state procurement with respect to Contractor's employees and agents. See the following websites: <http://epls.arnet.gov> and <http://www.state.il.us/agency/oig/search.asp>. University will terminate Contract without penalty to University if Contractor becomes excluded during life of this Contract.

36. The Contractor (and any Subcontractors) is required under 30 ILCS 500/20-65 to maintain, for a period of three (3) years after the later of the date of completion of this Contract or the date of final payment under the Contract, all books and records relating to the performance of the Contract and necessary to support amounts charged to the University under the Contract. The Contract and all books and records related to the Contract shall be available for review and audit by the University and the Illinois Auditor General. If this Contract is funded from contract/grant funds provided by the U.S. Government, the Contract, books, and records shall be available for review and audit by the Comptroller General of the U.S. and/or the Inspector General of the federal sponsoring agency. The Contractor agrees to cooperate fully with any audit and to provide full access to all relevant materials. Failure to maintain the required books and records shall establish a presumption in favor of the University for the recovery of any funds paid by the University under this Contract for which adequate books and records are not available.

By signing this form, the Vendor signifies agreement and compliance with the certifications and conditions identified in this document. I certify that the above information is accurate and complete:

Company name: _____

Address: _____

Telephone number: _____

Signature: _____
Printed name: _____
Date: _____

DISCLOSURES AND CONFLICTS OF INTEREST

Instructions: Vendor shall disclose financial interests, potential conflicts of interest and contract information identified in Sections 1, 2 and 3 below as a condition of receiving an award or contract (30 ILCS 500/50-13 and 50-35). Failure to fully disclose shall render the contract, bid, proposal, subcontract, or relationship voidable by the chief procurement officer if s/he deems it in the best interest of the State of Illinois and may be cause for barring from future contracts, bids, proposals, subcontracts, or relationships with the State.

- There are five sections to this form and each must be completed to meet full disclosure requirements.
- Note: The requested disclosures are a continuing obligation and must be promptly supplemented for accuracy throughout the process and throughout the term of the resultant contract if the bid/offer is awarded. As required by 30 ILCS 500/50-2, for multi-year contracts Vendors must submit these disclosures on an annual basis.

A publicly traded entity may submit its 10K disclosure in satisfaction of the disclosure requirements set forth in Section 1 below. HOWEVER, if a Vendor submits a 10K, they must still must complete Sections 2, 3, 4 and 5 and submit the disclosure form.

If the Vendor is a wholly owned subsidiary of a parent organization, separate disclosures must be made by the Vendor and the parent. For purposes of this form, a parent organization is any entity that owns 100% of the Vendor.

This disclosure information is submitted on behalf of (show official name of Vendor, and if applicable, D/B/A and parent):

Name of Vendor: _____

D/B/A (if used): _____

Name of any Parent Organization: _____

Section 1: Section 50-35 Disclosure of Financial Interest in the Vendor. (All Vendors must complete this section)

Vendors must complete subsection (a), (b) or (c) below. Please read the following subsections and complete the information requested.

A. If Vendor is a Publicly traded corporation subject to SEC reporting requirements

- Vendor shall submit their 10K disclosure (include proxy if referenced in 10k) in satisfaction of the financial and conflict of interest disclosure requirements set forth in subsections 50-35 (a) and (b) of the Procurement Code. The SEC 20f or 40f, supplemented with the names of those owning in excess of 5% and up to the ownership percentages disclosed in those submissions, may be accepted as being substantially equivalent to 10K.

Check here if submitting a 10k ☐, 20f ☐, or 40f ☐.

OR

B. If Vendor is a privately held corporation with more than 400 shareholders

- These Vendors may submit the information identified in 17 CFR 229.401 and list the names of any person or entity holding any ownership share in excess of 5% in satisfaction of the financial and conflict of interest disclosure requirements set forth in subsections 50-35 a and b of the Illinois Procurement Code.

OR

C. If Vendor is an individual, sole proprietorship, partnership or any other not qualified to use subsections (A) or (B), complete (i) and (ii) below as appropriate.

- For **each individual** having any of the following financial interests in the Vendor (or its parent), please mark each that apply and show the applicable name and address. Use a separate form for each individual.

1. Do you have an ownership share of greater than 5% of the offering entity or parent entity?
☐ Yes ☐ No
2. Do you have an ownership share of less than 5%, but which has a value greater than \$106,447.20?
☐ Yes ☐ No
3. Do you receive more than \$106,447.20 of the offering entity's or parent entity's distributive income? (Note: Distributive income is, for these purposes, any type of distribution of profits. An annual salary is not distributive income.)
☐ Yes ☐ No
4. Do you receive greater than 5% of the offering entity's or parent entity's total distributive income, but which is less than \$106,447.20?
☐ Yes ☐ No
5. If you responded yes to any of questions 1 – 4 above, please provide either the percentage or dollar amount of your ownership or _____ distributive share of income: _____. For partnerships with more than 50 partners, the percentage share of _____ ownership of each individual identified above may be shown in the following ranges (dollar value fields must also be completed when _____ applicable):
0.5% or less _____ >0.5 to 1.0% _____ >1.0 to 2.0% _____ >2.0 to 3.0 % _____ > 3.0 to 4.0% _____ %
>4.0 to 5.0% _____ and in additional 1% increments as appropriate _____ %
6. If you responded yes to any of the questions 1-4 above, please check the appropriate type of ownership/distributable income share:
Sole Proprietorship ☐ Stock ☐ Partnership ☐ Other (explain) _____
Name: _____
Address: _____

i. In relation to individuals identified above, indicate whether any of the following potential conflict of interest relationships apply. If "Yes," please describe each situation (label with appropriate letter) using the space at the end of this Section (attach additional pages as necessary). If no individual has been identified above, mark not applicable (N/A) here _____.

- | | |
|--|--|
| (a) State employment, currently or in the previous 3 years, including contractual employment of service directly with the individuals identified in Section 1 in their individual capacity unrelated to the Vendor contract. | Yes ☐ No ☐ |
| (b) State employment of 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 | Yes ☐ No ☐ |

excess of expenses incurred in the discharge of that office currently or in the previous 3 years.

- (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 registered with either the Secretary of State or the Federal Board of Elections. Yes ☐ No ☐
- (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 reelection 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 ☐

Section 2: Section 50-13 Conflicts of Interest (*All Vendors must complete this section*)

- (a) Prohibition. It is unlawful for any person holding an elective office in this State, holding a seat in the General Assembly, or appointed to or employed in any of the offices or agencies of State government and who receives compensation for such employment in excess of 60% of the salary of the Governor of the State of Illinois [\$106,447.20], or who is an officer or employee of the Capital Development Board or the Illinois Toll Highway Authority, or who is the spouse or minor child of any such person to have or acquire any contract, or any direct pecuniary interest in any contract therein, whether for stationery, printing, paper, or any services, materials, or supplies, that will be wholly or partially satisfied by the payment of funds appropriated by the General Assembly of the State of Illinois or in any contract of the Capital Development Board or the Illinois Toll Highway Authority.
- (b) Interests. It is unlawful for any firm, partnership, association, or corporation, in which any person listed in subsection (a) is entitled to receive (i) more than 7 1/2% of the total distributable income or (ii) an amount in excess of the salary of the Governor (\$177,412.00), to have or acquire any such contract or direct pecuniary interest therein.
- (c) Combined interests. It is unlawful for any firm, partnership, association, or corporation, in which any person listed in subsection (a) together with his or her spouse or minor children is entitled to receive (i) more than 15%, in the aggregate, of the total distributable income or (ii) an amount in excess of 2 times the salary of the Governor [\$354,824.00], to have or acquire any such contract or direct pecuniary interest therein.

Check One: ☐ No Conflicts Of Interest

☐ Potential Conflict of Interest (If checked, name each conflicted individual, the nature of the conflict, and the name of the State agency that is associated directly or indirectly with the conflicted individual.)

Section 3: Debarment/Legal Proceeding Disclosure (*All Vendors must complete this section*).

Each of the persons identified in Sections 1, 2 and 3 must each identify any of the following that occurred within the previous 10 years:

Debarment from contracting with any governmental entity Yes ☐ No ☐

Professional licensure discipline Yes ☐ No ☐

Bankruptcies Yes ☐ No ☐

Adverse civil judgments and administrative findings Yes ☐ No ☐

Criminal felony convictions Yes ☐ No ☐

If any of the above is checked yes, please identify with descriptive information the nature of the debarment and legal proceeding. The State reserves the right to request more information, should the information need further clarification.

Section 4: Disclosure of Business Operations with Iran *(All Vendors must complete this section).*

In accordance with 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.

A bid, offer, or proposal that does not include this disclosure shall not be considered responsive. We may consider this disclosure when evaluating the bid, offer, or proposal or awarding the contract.

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:

Section 5: Current and Pending Contracts *(All Vendors must complete this section).*

Does the Vendor have any contracts pending contracts, bids, proposals or other ongoing procurement relationships with units of State of Illinois government? Yes ☐ No ☐

If yes, please identify each contract, pending contract, bid, proposal and other ongoing procurement relationship it has with units of State of Illinois government by showing agency name and other descriptive information such as bid number, project title, purchase order number or contract reference number.

Section 6: Representative Lobbyist/Other Agent *(All Vendors must complete this section).*

Is the Vendor represented by or employ a lobbyist or other agent who is not identified under Sections 1 and 2 and who has communicated, is communicating, or may communicate with any State officer or employee concerning the bid, offer or contract?
Yes ☐ No ☐

If yes, please identify each agent / lobbyist, including name and address.

Costs/Fees/Compensation/Reimbursements related to assistance to obtain contract (describe):

Vendor certifies that none of these costs will be billed to the State in the event of contract award. Vendor must file this information with the Secretary of State.

This Disclosure is signed and made under penalty of perjury.

This Disclosure information is submitted on behalf of: _____
(Vendor/Subcontractor Name)

Name of Authorized Representative: _____

Title of Authorized Representative: _____

Signature of Authorized Representative: _____

Date: _____

STANDARD QUALIFICATIONS, CERTIFICATIONS, REPRESENTATIONS, & DISCLOSURES ATTACHMENT

For Subcontractors

Subcontractors shall, as a material requirement and condition of this contract, be and remain in compliance with this attachment.

If this is a multi-year subcontract, including the initial term and all optional renewals, subcontractor shall reconfirm compliance with this Attachment by July 1 of each year that this subcontract remains in effect.

Subcontractor shall obtain from all subsequent subcontractors a statement of compliance with these provisions.

Should Subcontractor or its subcontractors fail to be or remain in compliance, the subcontract may be void by operation of law or the subcontract may be voidable at the option of the state. Violation of certain provisions may also be a civil or criminal offense.

If any subsection is not applicable to this subcontract it shall be ignored and may be noted as not applicable without affecting the remaining subsections.

1. Subcontractor, its employees and subcontractors will comply with applicable provisions of the U.S. Civil Rights Act, Section 504 of the Federal Rehabilitation Act, the Americans with Disabilities Act (42 U.S.C. § 12101 et seq.) and applicable rules in performance under this subcontract.
2. **This applies to individuals, sole proprietorships, partnerships and LLCs, but is not otherwise applicable.** Subcontractor is not in default on an educational loan (5 ILCS 385/3).
3. **This does not apply to contracts with the state universities.** Subcontractor (if an individual, sole proprietor, or partner) has informed the director of the Agency in writing if he/she was formerly employed by that agency and has received an early retirement incentive prior to 1993 under Section 14-108.3 or 16-133.3 of the Illinois Pension Code, 40 ILCS 5/14-108.3 and 40 ILCS 5/16-133.3, and acknowledges that subcontracts made without the appropriate filing with the Auditor General are not payable from the "contractual services" or other appropriation line items. Subcontractor has not received an early retirement incentive on or after 2002 under Section 14-108.3 or 16-133.3 of the Illinois Pension Code, 40 ILCS 5/14-108.3 and 40 ILCS 5/16-133.3, and acknowledges that subcontracts in violation of Section 15a of the State Finance Act are not payable from the "contractual services" or other appropriation line items (30 ILCS 105/15a).
4. Subcontractor is an existing legal entity, and **as applicable**: has obtained an assumed name certificate from the appropriate authority, is registered to conduct business in Illinois, and is in good standing with the Illinois Secretary of State. (30 ILCS 500/1.15.80)
5. **This applies to service subcontracts and is otherwise not applicable.** To the extent there was a incumbent Subcontractor providing the services covered by this subcontract and the employees of that Subcontractor that provide those services are covered by a collective bargaining agreement, Subcontractor certifies (i) that it will offer to assume the collective bargaining obligations of the prior employer, including any existing collective bargaining agreement with the bargaining representative of any existing collective bargaining unit or units performing substantially similar work to the services covered by the subcontract subject to its bid or offer; and (ii) that it shall offer employment to all employees currently employed in any existing bargaining unit performing substantially similar work that will be performed under this subcontract (30 ILCS 500/25-80).
6. Subcontractor has not been convicted of bribing or attempting to bribe an officer or employee of the State of Illinois or any other State, nor has Subcontractor made an admission of guilt of such conduct that is a matter of record (30 ILCS 500/50-5).
7. If Subcontractor has been convicted of a felony, at least five years have passed after the date of completion of the sentence for such felony, unless no person held responsible by a prosecutor's office for the facts upon which the conviction was based continues to have any involvement with the business (30 ILCS 500/50-10).
8. If Subcontractor, or any officer, director, partner, or other managerial agent of Subcontractor, has been convicted 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, at least five years have passed since the date of the conviction. Subcontractor further certifies that it is not barred from being awarded a subcontract and acknowledges that the State shall declare the subcontract void if this certification is false (30 ILCS 500/50-10.5).

9. Subcontractor and its affiliates are not delinquent in the payment of any debt to the State (or if delinquent has entered into a deferred payment plan to pay the debt), and Subcontractor and its affiliates acknowledge the State may declare the subcontract void if this certification is false (30 ILCS 500/50-11) or if Subcontractor or an affiliate later becomes delinquent and has not entered into a deferred payment plan to pay off the debt (30 ILCS 500/50-60).
10. Subcontractor and all affiliates shall collect and remit Illinois Use Tax on all sales of tangible personal property into the State of Illinois in accordance with provisions of the Illinois Use Tax Act (30 ILCS 500/50-12) and acknowledges that failure to comply can result in the subcontract being declared void.
11. Subcontractor certifies that it has not committed a willful or knowing violation of the Environmental Protection Act (relating to Civil Penalties under the Environmental Protection Act) within the last five years, and is therefore not barred from being awarded a subcontract. If the State later determines that this certification was falsely made by the Subcontractor, the Subcontractor acknowledges that the State may declare the subcontract void (30 ILCS 500/50-14).
12. Subcontractor has not paid any money or valuable thing to induce any person to refrain from bidding on a State contract, nor has Subcontractor 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).
13. Subcontractor is not in violation of the "Revolving Door" section of the Illinois Procurement Code (30 ILCS 500/50-30).
14. Subcontractor certifies that it has not retained a person or entity to attempt to influence the outcome of a procurement decision for compensation contingent in whole or in part upon the decision or procurement (30 ILCS 500/50-38).
15. Subcontractor will report to the Illinois Attorney General and the Chief Procurement Officer any suspected collusion or other anti-competitive practice among any bidders, offerors, contractors, proposers or employees of the State (30 ILCS 500/50-40, 50-45, 50-50).
16. **This applies to subcontracts for public works or the maintenance thereof and is otherwise not applicable.** In accordance with the Steel Products Procurement Act, steel products used or supplied in the performance of a subcontract for public works shall be manufactured or produced in the United States, unless the executive head of the procuring agency grants an exception (30 ILCS 565).
17. Subcontractor will, pursuant to the Drug Free Workplace Act, provide a drug free workplace and Subcontractor and its employees shall not engage in the unlawful manufacture, distribution, dispensation, possession or use of a controlled substance during the performance of the subcontract. This certification applies to subcontracts of \$5000 or more with individuals and to entities with 25 or more employees (30 ILCS 580).
18. **This applies to subcontracts that exceed \$10,000 (30 ILCS 582) and is otherwise not applicable.** Neither Subcontractor nor any substantially owned affiliate is participating or shall participate in an international boycott in violation of the U.S. Export Administration Act of 1979 or the applicable regulations of the U.S. Department of Commerce.
19. Subcontractor has not been convicted of the offense of bid rigging or bid rotating or any similar offense of any state or of the United States (720 ILCS 5/33 E-3, E-4).
20. Subcontractor complies with the Illinois Department of Human Rights Act and rules applicable to public contracts, including equal employment opportunity, refraining from unlawful discrimination, and having written sexual harassment policies (775 ILCS 5/2-105).
21. Subcontractor does not pay dues to or reimburse or subsidize payments by its employees for any dues or fees to any "discriminatory club" (775 ILCS 25/2).
22. Subcontractor complies with the State Prohibition of Goods from Forced Labor Act, and certifies that no foreign-made equipment, materials, or supplies furnished to the State under the subcontract have been or will be produced in whole or in part by forced labor, or indentured labor under penal sanction (30 ILCS 583).
23. Subcontractor certifies that no foreign-made equipment, materials, or supplies furnished to the State under the subcontract have been produced in whole or in part by the labor or any child under the age of 12 (30 ILCS 584).

24. Subcontractor certifies that it is not in violation of Section 50-14.5 of the Illinois Procurement Code (30 ILCS 500/50-14.5) that states: "Owners of residential buildings who have committed a willful or knowing violation of the Lead Poisoning Prevention Act (410 ILCS 45) are prohibited from doing business with the State until the violation is mitigated".
25. **This does not apply to contracts with the state universities.** Subcontractor warrants and certifies that it and, to the best of its knowledge, its subcontractors have and will comply with Executive Order No. 1 (2007). The Order generally prohibits Subcontractors and subcontractors from hiring the then-serving Governor's family members to lobby procurement activities of the State, or any other unit of government in Illinois including local governments if that procurement may result in a contract valued at over \$25,000. This prohibition also applies to hiring for that same purpose any former State employee who had procurement authority at any time during the one-year period preceding the procurement lobbying activity.
26. **This applies to information technology subcontracts and is otherwise not applicable.** In accordance with Public Act 095-0307, all information technology, including electronic information, software, systems and equipment, developed or provided under this subcontract must comply with the applicable requirements of the Illinois Information Technology Accessibility Act Standards as published at www.dhs.state.il.us/itaa.
27. In compliance with Section 20-65 of the Illinois Procurement Code (30 ILCS 500/20-65), Subcontractor shall maintain books and records relating to the performance of the subcontract and necessary to support amounts charged to the State under the prime contract. Books and records, including information stored in databases or other computer systems, shall be maintained by the subcontractor for a period of three years from the later of final payment under the term of the subcontract or during the three year period thereafter. Books and records required to be maintained under this section shall be available for review or audit by representatives of the State, the Auditor General, the Executive Inspector General and other governmental entities with monitoring authority, upon reasonable notice and during normal business hours. Subcontractor shall cooperate fully with any such audit and with any investigation conducted by any of these entities. Failure to maintain books and records required by this section shall establish a presumption in favor of the State for the recovery of any funds paid by the State under the prime contract for which adequate books and records are not available to support the purported disbursement. Subcontractor shall not impose a charge for audit or examination of the Subcontractor's books and records. If federal funds are used to pay prime contract costs, the Subcontractor must retain its records for five years. Subcontractor shall take reasonable steps to insure that any of its subcontractors are in compliance with the requirements of this section.
28. Subcontractor has disclosed if required, on forms provided by the State, and agrees it is under a continuing obligation to disclose to the State, financial or other interests (public or private, direct or indirect) that may be a potential conflict of interest or which would prohibit Subcontractor from having or continuing the subcontract. This includes, but is not limited to conflicts under the "Infrastructure Task Force Fee Prohibition" section of the State Finance Act (30 ILCS 105/8.40), Article 50 of the Illinois Procurement Code (30 ILCS 500/50), or those which may conflict in any manner with the Subcontractor's obligation under this subcontract. Subcontractor shall not employ any person with a conflict to perform under this subcontract. If any elected or appointed State officer or employee, or the spouse or minor child of same has any ownership or financial interest in the Subcontractor or the subcontract, Subcontractor certifies it has disclosed that information to the State if required, on forms provided by the State. Subcontractor further certifies that the procuring agency has provided proof of waiver and filing with the Secretary of State and the Comptroller in accordance with applicable law and rule. A waiver is required if:
- a) the person intending to subcontract with the State, their spouse or child: (i) holds an elective office in Illinois; (ii) holds a seat in the Illinois General Assembly; (iii) is an officer or employee of the Capital Development Board or the Illinois Toll Highway Authority; or holds an appointed position or is employed in any of the offices or agencies of the State government and who receives compensation for such employment in excess of 60% of the salary of the Governor (currently \$106,447.20). (The conflict of interest threshold of 60% of the Governor's salary set forth in Section 50-13 does not apply to elective office holders, legislators, and officers or employees of the Capital Development Board or the Illinois Toll Highway Authority.);
 - b) the subcontract is with a firm, partnership, association or corporation in which a person referenced in a) above receives more than 7.5% of the total distributable income or an amount in excess of the salary of the Governor (currently \$177,412.00).
 - c) the subcontract is with a firm, partnership, association or corporation in which a person referenced in b) above, together with their spouse or minor child, receives more than 15% in the aggregate of the total distributable income or an amount in excess of 2 times the salary of the Governor (currently \$354,824.00) from the firm, partnership, association or corporation.

☐ Subcontractor certifies it has no conflicts of interest.
or

- ☐ Subcontractor certifies it has a potential conflict of interest. If checked, provide the following information:

Name of each conflicted individual: _____

Nature of the conflict: _____

Name of the State agency that is associated directly or indirectly with the conflicted individual: _____

Procuring agency has provided me with a copy of the conflicts waiver and proof of filing with SOS and Comptroller.

29. Subcontractor certifies that it has read, understands, and is in compliance with the registration requirements of the Elections Code (10 ILCS 5/9-35) and the restrictions on making political contributions and related requirements of the Illinois Procurement Code (30 ILCS 500/20-160 and 50-37). Subcontractor will not make a contribution that will violate. These requirements are effective for the duration of the term of office of the incumbent Governor or for a period of 2 years after the end of the subcontract term, whichever is longer.

30. In accordance with section 20-160 of the Illinois Procurement Code, Subcontractor certifies as applicable:

- ☐ Subcontractor is not required to register as a business entity with the State Board of Elections.

or

- ☐ Subcontractor has registered as a business entity with the State Board of Elections and acknowledges a continuing duty to update the registration as required by the Act. **A copy of the current valid certificate of registration issued by the State Board of Elections is attached.**

31. Use of lobbyist: Subcontractor acknowledges that it is required to disclose the hiring of any person required to register pursuant to the Illinois Lobbyist Registration Act (25 ILCS 170) in connection with this subcontract.

- ☐ Subcontractor has not hired any person required to register pursuant to the Illinois Lobbyist Registration Act in connection with this subcontract.

or

- ☐ Subcontractor has hired the following persons required to register pursuant to the Illinois Lobbyist Registration Act in connection with the subcontract:

Name and address of person: _____

All costs, fees, compensation, reimbursements and other remuneration paid to said person: _____

Subcontractor further certifies that it has not and will not, pursuant to this subcontract or otherwise, bill or otherwise cause the State of Illinois to pay for any of the lobbyist's costs, fees, compensation, reimbursement or other remuneration.

CONFLICT OF INTEREST DISCLOSURES (Subcontractors)

Instructions. Subcontractor shall disclose financial interests, potential conflicts of interest and subcontract information identified in Sections 1, 2 and 3 below as a condition of receiving an award or subcontract (30 ILCS 500/50-13 and 50-35). Failure to fully disclose shall render the subcontract, bid, proposal, subcontract, or relationship voidable by the chief procurement officer if s/he deems it in the best interest of the State of Illinois and may be cause for barring from future contracts, bids, proposals, subcontracts, or relationships with the State.

There are 5 sections to this form, and each must be completed in order to submit complete information.

Note: The requested disclosures are a continuing obligation and must be promptly supplemented for accuracy throughout the process and throughout the term of the subcontract if the bid or offer is successful. As required by 30 ILCS 500/50-2, Subcontractors must submit these disclosures on an annual basis.

A publicly traded entity may submit its 10K disclosure in satisfaction of the disclosure requirements set forth in both Sections 1 and 2 below. HOWEVER, if a Subcontractor submits a 10K, they must still must complete Sections 3, 4 and 5 and submit the disclosure form.

If the Subcontractor is a wholly owned subsidiary of a parent organization, separate disclosures must be made by the Subcontractor and the parent. For purposes of this form, a parent organization is any entity that owns 100% of the Subcontractor.

This disclosure information is submitted on behalf of (show official name of Subcontractor, and if applicable, D/B/A and parent):

Name of Subcontractor: _____

D/B/A (if used): _____

Name of any Parent Organization: _____

Section 1: Section 50-13 Conflicts of Interest

All Subcontractors must complete this section regardless of the dollar value of the subcontract or method of procurement. Even if you mark "No Conflict of Interests" you still need to complete Sections 2, 3, 4 and 5 of this form.

- (a) Prohibition. It is unlawful for any person holding an elective office in this State, holding a seat in the General Assembly, or appointed to or employed in any of the offices or agencies of State government and who receives compensation for such employment in excess of 60% of the salary of the Governor of the State of Illinois [\$106,447.20], or who is an officer or employee of the Capital Development Board or the Illinois Toll Highway Authority, or who is the spouse or minor child of any such person to have or acquire any subcontract, or any direct pecuniary interest in any subcontract therein, whether for stationery, printing, paper, or any services, materials, or supplies, that will be wholly or partially satisfied by the payment of funds appropriated by the General Assembly of the State of Illinois or in any subcontract of the Capital Development Board or the Illinois Toll Highway Authority.
- (b) Interests. It is unlawful for any firm, partnership, association, or corporation, in which any person listed in subsection (a) is entitled to receive (i) more than 7 1/2% of the total distributable income or (ii) an amount in excess of the salary of the Governor (\$177,412.00), to have or acquire any such subcontract or direct pecuniary interest therein.
- (c) Combined interests. It is unlawful for any firm, partnership, association, or corporation, in which any person listed in subsection (a) together with his or her spouse or minor children is entitled to receive (i) more than 15%, in the aggregate, of the total distributable income or (ii) an amount in excess of 2 times the salary of the Governor [\$354,824.00], to have or acquire any such subcontract or direct pecuniary interest therein.

Check One:

☐ No Conflicts Of Interest

☐ Potential Conflict of Interest (If checked, name each conflicted individual, the nature of the conflict, and the name of the State agency that is associated directly or indirectly with the conflicted individual.)

Section 50-35 Disclosure of Financial Interest in the Subcontractor.

Subcontractors must complete subsection (a), (b) or (c) below. Please read the following subsections and complete the information requested.

A. If Subcontractor is a Publicly traded corporation subject to SEC reporting requirements

- i. Subcontractor shall submit their 10K disclosure (include proxy if referenced in 10k) in satisfaction of the financial and conflict of interest disclosure requirements set forth in subsections 50-35 a and b of the Procurement Code. The SEC 20f or 40f, supplemented with the names of those owning in excess of 5% and up to the ownership percentages disclosed in those submissions, may be accepted as being substantially equivalent to 10K.

Check here if submitting a 10k ☐, 20f ☐, or 40f ☐.

- ii. Subcontractor shall identify each subcontract, pending subcontracts, bids, proposals and other ongoing procurement relationships it has with units of State of Illinois government by showing agency name and other descriptive information such as bid number, project title, purchase order number or subcontract reference number (Attach additional pages as necessary. Show "none" if appropriate).

OR

B. If Subcontractor is a privately held corporation with more than 400 shareholders

- iii. These Subcontractors may submit the information identified in 17 CFR 229.401 and list the names of any person or entity holding any ownership share in excess of 5% in satisfaction of the financial and conflict of interest disclosure requirements set forth in subsections 50-35 a and b of the Illinois Procurement Code.
- iv. Subcontractor shall identify each subcontract, pending subcontracts, bids, proposals and other ongoing procurement relationships it has with units of State of Illinois government by showing agency name and other descriptive information such as bid number, project title, purchase order number or subcontract reference number (Attach additional pages as necessary. Show "none" if appropriate).

OR

C. If Subcontractor is an individual, sole proprietorship, partnership or any other not qualified to use subsections (A) or (B), complete (i) and (ii) below as appropriate.

- v. For **each individual** having any of the following financial interests in the Subcontractor (or its parent), please mark each that apply and show the applicable name and address. Use a separate form for each individual.

1. Do you have an ownership share of greater than 5% of the offering entity or parent entity?

☐ Yes ☐ No

2. Do you have an ownership share of less than 5%, but which has a value greater than \$106,447.20?

☐ Yes ☐ No

3. Do you receive more than \$106,447.20 of the offering entity's or parent entity's distributive income? (Note: Distributive income is, for these purposes, any type of distribution of profits. An annual salary is not distributive income.)

☐ Yes ☐ No

4. Do you receive greater than 5% of the offering entity's or parent entity's total distributive income, but which is less than \$106,447.20?

☐ Yes ☐ No

5. If you responded yes to any of questions 1 – 4 above, please provide either the percentage* or dollar amount of your ownership or distributive share of income: _____

6. If you responded yes to any of the questions 1-4 above, please check the appropriate type of ownership/distributable income share:

Sole Proprietorship ☐ Stock ☐ Partnership ☐ Other (explain) _____

Name: _____

Address: _____

*For partnerships with more than 50 partners, the percentage share of ownership of each individual identified above may be shown in the following ranges (Dollar value fields must also be completed when applicable):

0.5% or less _____ >0.5 to 1.0% _____ >1.0 to 2.0% _____ >2.0 to 3.0 % _____ > 3.0 to 4.0% _____ %

>4.0 to 5.0% _____ and in additional 1% increments as appropriate _____ %

- vi. In relation to individuals identified in item I above, indicate whether any of the following potential conflict of interest relationships apply. If "Yes," please describe each situation (label with appropriate letter) using the space at end of this Section (attach additional pages as necessary). If no individual has been identified in c-1 above, mark not applicable (n/a) here _____.

(a) State employment, currently or in the previous 3 years, including contractual employment services directly with the individuals identified in Section 1 in their individual capacity unrelated the Subcontractor's contract. Yes ☐ No ☐

(b) State employment of spouse, father, mother, son, or daughter, including contractual employee 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, 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. Yes ☐ No ☐

government.

- (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 registered with either the Secretary of State or the Federal Board of Elections. Yes ☐ No ☐
- (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 reelection 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 ☐

OR

- ☐ I have determined that no individuals associated with this organization meet the criteria that would require the completion of Subsection ii.

Representative Lobbyist/Other Agent

Is the Subcontractor represented by or employ a lobbyist or other agent who is not identified under Sections 1 and 2 and who has communicated, is communicating, or may communicate with any State officer or employee concerning the bid, offer or subcontract?

Yes ☐ No ☐

If yes, please identify each agent / lobbyist, including name and address.

Debarment/Legal Proceeding Disclosure

Each of the persons identified in Sections 1, 2 and 3 must each identify any of the following that occurred within the previous 10 years:

- | | |
|--|--|
| Debarment from subcontracting with any governmental entity | Yes ☐ No ☐ |
| Professional licensure discipline | Yes ☐ No ☐ |
| Bankruptcies | Yes ☐ No ☐ |
| Adverse civil judgments and administrative findings | Yes ☐ No ☐ |
| Criminal felony convictions | Yes ☐ No ☐ |

If any of the above are checked yes, please identify with descriptive information the nature of the debarment and legal proceeding. The State reserves the right to request more information, should the information need further clarification.

Current and Pending Subcontracts

Does the Subcontractor have any subcontracts pending subcontracts, bids, proposals or other ongoing procurement relationships with units of State of Illinois government?

Yes ☐ No ☐

If yes, please identify each subcontract, pending subcontract, bid, proposal and other ongoing procurement relationship it has with units of State of Illinois government by showing agency name and other descriptive information such as bid number, project title, purchase order number or subcontract reference number.

TAXPAYER IDENTIFICATION NUMBER

I certify that:

1. The number shown on this form is my correct taxpayer identification number (or I am waiting for a number to be issued to me), and
2. I am not subject to backup withholding because: (a) I am exempt from backup withholding, or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding, and
3. I am a U.S. person (including a U.S. resident alien).
 - If you are an individual, enter your name and SSN as it appears on your Social Security Card.
 - If you are a sole proprietor, enter the owner's name on the name line followed by the name of the business and the owner's SSN or EIN.
 - If you are a single-member LLC that is disregarded as an entity separate from its owner, enter the owner's name on the name line and the d/b/a on the business name line and enter the owner's SSN or EIN.
 - If the LLC is a corporation or partnership, enter the entity's business name and EIN and for corporations, attach IRS acceptance letter (CP261 or CP277).
 - For all other entities, enter the name of the entity as used to apply for the entity's EIN and the EIN.

Taxpayer Identification Number:

Social Security Number _____

Or

Employer Identification Number _____

Legal Status (*check one*):

- | | |
|--|---|
| ☐ Individual | ☐ Governmental |
| ☐ Sole Proprietor | ☐ Nonresident alien |
| ☐ Partnership | ☐ Estate or trust |
| ☐ Legal Services Corporation | ☐ Pharmacy (Non-Corp.) |
| ☐ Tax-exempt | ☐ Pharmacy/Funeral Home/Cemetery (Corp.) |
| ☐ Corporation providing or billing
medical and/or health care services | ☐ Limited Liability Company (select applicable tax classification) |
| | ☐ D = disregarded entity |
| | ☐ C = corporation |
| ☐ Corporation NOT providing or billing
medical and/or health care services | ☐ P = partnership |

This Standard Qualifications, Certifications, Representations, & Disclosures Attachment is submitted on behalf of:

(Subcontractor Name)

Name of Authorized Representative: _____

Title of Authorized Representative: _____

Signature of Authorized Representative: _____

Date: _____

ATTACH BOARD OF ELECTIONS REGISTRATION CERTIFICATE TO THIS PAGE.

If you are not required to register, check here ☐

Proposer signature

By signing this proposal, the proposer signifies agreement with and acceptance of all the terms, conditions, and specifications shown in this RFP signifies that this is an accurate price for providing the requested services, and agrees to hold the prices firm as required in the RFP. The person signing below represents and warrants that he/she has authority to bind his/her company.

Please complete all the information requested below:

Company name _____

Address _____

Telephone number _____

Signature _____

Date _____

APPENDIX VI

CONTRACT

UNIVERSITY OF ILLINOIS

Chicago • Springfield • Urbana-Champaign

CONTRACT BETWEEN THE BOARD OF TRUSTEES OF THE UNIVERSITY OF ILLINOIS AND

Table of Contents

Article 1.	Introduction	1
Article 2.	Scope of Services	1
Article 3.	Effective Date and Duration of Contract.....	1
Article 4.	Termination	1
Article 5.	Notification.....	2
Article 6.	University Administration of Contract.....	2
Article 7.	Subcontractors.....	3
Article 8.	Compensation	3
Article 9.	Indemnification	4
Article 10.	Insurance.....	4
Article 11.	Bonding	6
Article 12.	Rights in Work Product.....	6
Article 13.	Certifications by Contractor	7
Article 14.	Medicare Access to Books and Records	11
Article 15.	Account Settlement Legal Action	11
Article 16.	Tax Status.....	11
Article 17.	General Provisions	12

CONTRACT BETWEEN
THE BOARD OF TRUSTEES OF THE UNIVERSITY OF ILLINOIS
AND

ARTICLE 1. INTRODUCTION

This Contract is made and entered into between The Board of Trustees of the University of Illinois, a public body, corporate and politic of the State of Illinois whose principal address is at Urbana, Illinois, on behalf of the Jane Addams College of Social Work (JACSW), hereinafter referred to as “University” and _____, doing business as a(an) _____ of the State _____ of _____ with _____ principal _____ address _____ at _____, hereinafter referred to as “Contractor.”

ARTICLE 2. SCOPE OF SERVICES

Contractor shall provide the services set forth herein.

2.01 Services to Be Performed

Services to be performed incorporate Appendix III of Request for Proposal (RFP) KTP025, the Contractor's reponse to RFP KTP025, and any applicable addenda.

2.02 Reports and Other Deliverables

Reports and other deliverables incorporate Appendix III of Request for Proposal (RFP) KTP025, the Contractor's reponse to RFP KTP025, and any applicable addenda.

ARTICLE 3. EFFECTIVE DATE AND DURATION OF CONTRACT

3.01 Term of Contract

The term of this Contract shall be for an initial two (2) year period from _____ through _____, or from the date of execution of this Contract, if later, unless terminated as provided herein or extended by amendment.

3.02 Renewal Options

This Contract is renewable at the option of University under the same terms and conditions for three (3) additional one (1) year periods.

ARTICLE 4. TERMINATION

4.01 Termination for Convenience

University may terminate this contract for convenience upon thirty (30) days prior written notice to Contractor. In the event of termination for convenience, Contractor shall be paid for services satisfactorily performed under this contract up to the effective date of termination.

4.02 Termination for Cause

University may cancel the Contract for breach, as determined by University, for items such as, but not limited to: failure to meet insurance requirements, failure to meet required performance or progress standards as described herein, or if the quality or level of service is unsatisfactory to University. This cause for breach may include any cessation or diminution of service which, in

the opinion of University, is not in its best interest or any failure to comply with the terms of the Contract.

University shall notify Contractor in writing of any Contract breach. Contractor shall remedy the breach within ten (10) calendar days. If the breach is not remedied in ten (10) calendar days, University may cancel the Contract by giving thirty (30) days notice in writing of its intention to cancel this Contract.

Should University breach any terms or provisions of the Contract, Contractor shall serve written notice on University setting forth the alleged breach and demanding compliance with the Contract. Unless within ten (10) calendar days after receiving such notice, the allegation shall be contested or such breach shall cease and arrangements be made for corrections, Contractor may cancel the Contract by giving thirty (30) days notice, in writing of its intention to cancel this Contract.

In the event of cancellation for breach, Contractor shall be paid only for work satisfactorily performed up to the date of cancellation.

In the event of early termination or cancellation for any cause, no payment for services performed will be made until and unless any necessary reports and/or deliverables have been provided.

ARTICLE 5. NOTIFICATION

All communications hereunder shall be in writing and shall be sent by registered or certified mail, return receipt requested, or by an overnight courier service to the persons listed below. A notice shall be deemed to have been given when received at the specified notification address. Include the Contract Number (or Purchase Order Number, if applicable) in any notifications.

Notices to University shall be sent to:

Greg Holden
Director of Communications
University of Illinois at Chicago
Jane Addams College of Social Work (M/C 309)
1040 W. Harrison St, Room 4117
Chicago, IL. 60647

Notices to Contractor shall be sent to:

ARTICLE 6. UNIVERSITY ADMINISTRATION OF CONTRACT

University Contract Representative named below shall be the University's authorized representative in all matters pertaining to procedures or the administration of the terms and conditions of this Contract. All matters of interpretation and/or approval shall be directed to the University Contract Representative who will be the primary point of contact and coordinate any necessary response.

For information purposes, a University Technical Representative may be indicated below. If listed, the University Technical Representative may be contacted directly by Contractor to discuss technical issues or schedules related to performance of duties and responsibilities in the Contract.

Any substantive changes to any term or condition or work to be performed under the Contract must be made in the form of an amendment to this Contract and signed by original signatories to this Contract.

University Contract Representative:
Kimberly T. Piper
Contract Coordinator
University of Illinois at Chicago
OBFS-Purchasing Division (M/C 560)
Chicago, IL. 60612
(312) 996-1856
Piper02@uillinois.edu

ARTICLE 7. SUBCONTRACTORS

If any Subcontractor is to be used in the performance of the services required under this Contract, Contractor has provided the name(s), address(es) and amount(s) expected to be paid to Subcontractor(s) and a description of which portion(s) of the work will be subcontracted out is listed below or in a separate Exhibit to this Contract.

Contractor may not use the services of other Contractors or Subcontractors not named herein without prior written permission of University. If at any time during the term of the Contract, a Contractor adds or changes any Subcontractor, Contractor shall promptly notify, in writing, University Contract Representative of the names and addresses and the expected payment each new or replaced Subcontractor will receive under the Contract.

ARTICLE 8. COMPENSATION

8.01 Rate of Compensation

Contractor shall receive compensation at the rate established in accordance to Appendix III of RFP KTP025, and Contractor's response to RFP KTP025 and any applicable addenda, for the period of this contract as compensation for all work and services performed. This fee is to include all secretarial, clerical, and similar incidental services. Reasonable expenses, including travel expenses, are not allowed under this contract.

8.02 Maximum Price

Maximum price for this Contract is the total compensation for the services specified in RFP KTP025, and Contractor's response to RFP KTP025.

8.03 Method of Payment

University agrees to pay Contractor no more frequently than monthly for services rendered for the contract period in accordance with the amounts specified in this Contract. The rate of payment will be monthly. Any applicable discount will be taken if payment is processed within the stated time. Payment of interest may be available if University fails to comply with the State Prompt Payment Act (30 Illinois Compiled Statutes 540).

University may withhold or, on account of subsequently discovered evidence, nullify the whole or a part of any invoice to such extent as University may deem necessary to protect University from loss on account of: a) Unsatisfactory work performed; b) Failure of Contractor to make required payments to Subcontractors; c) Damage to University property or related liability; or d) Incomplete, inaccurate, or unauthorized billing.

Contractor is responsible for completing the scope of work specified in this Contract. University may withhold final payment until all services, reports and/or other deliverables specified herein have been completed in a form satisfactory to University.

8.04 Method of Billing

To receive payment, Contractor must submit an appropriately itemized invoice to University for services performed and allowable expenses incurred. Invoices are to be sent in duplicate to Greg Holden. The Contract Number (or Purchase Order Number, if applicable) must be included on the invoice.

8.05 Increase in Wage Rates or in Materials or Equipment Costs

For the Contract period, it is understood and agreed that should there be any increase in wage rates or in the costs of materials or equipment, or in any other of Contractor's costs, or should Contractor be compelled to pay premium wages for overtime work during the term of this Contract or prior to completion of Contractor's work thereunder, Contractor shall absorb all such increased costs within and without addition to the contract sum.

8.06 Price Escalation

If University decides to exercise any right to renew the Contract, a revised price schedule will be included with the renewal. Cost increases or decreases shall be allowed only at the time of contract renewal.

The cost shall be increased or decreased by no more than a percentage equal to the percentage by which the United States Department of Labor Consumer Price Index (CPI) of the Chicago Area for wages for the month of March 2011, for all urban consumers (computed on the same basis and by the same methods as are used on the date thereof) shall exceed or be less than the index number published as aforesaid for the month in which the original Contract is signed.

8.07 Prevailing Wage

Pursuant to the Prevailing Wage Requirements of the Illinois Procurement Code, 30 ILCS 500/25-60, Contractor certifies that the wages to be paid to its employees are no less, and the fringe benefits and working conditions of employees are not less favorable, than those prevailing in the locality where the contract is to be performed in accordance with the Illinois Prevailing Wage Rates issued by the Illinois Department of Labor for that county.

ARTICLE 9. INDEMNIFICATION

Contractor shall indemnify and hold harmless University and University's agents, servants and employees from and against all loss, damage and expense which they may sustain or become liable for on account of injury to or death of persons, or on account of damage to or destruction of property resulting from the performance of work under the Contract by Contractor or its Subcontractors, or due to or arising in any manner from the wrongful act or negligence of Contractor or its Subcontractors or any employee of any of them.

ARTICLE 10. INSURANCE

Contractor shall cause a Certificate of Insurance to be issued showing the following required coverage in no less than the minimum coverage limits listed below. The insurance companies providing coverage must have a B+:VI or better rating in the current edition of Best's Key Rating Guide. Contractor must agree to maintain such insurance for the duration of the project or the term for which services will be rendered.

A. Worker's Compensation and Occupational Diseases Employer's Liability (Part B)	Illinois Statutory Limits \$500,000 per occurrence
B.	A minimum for each occurrence:
Commercial General Liability (occurrence coverage)	\$ 1,000,000
General Aggregate	\$ 2,000,000
Products – Completed Operation Aggregate	\$ 2,000,000
Personal and Advertising Injury	\$ 1,000,000
Fire Damage	\$ 100,000
C. Commercial Auto Liability, if applicable	A minimum for each occurrence:
Combined Single Limit	\$ 1,000,000
OR	
Bodily Injury	\$ 1,000,000
Property Damage	\$ 1,000,000

Additional insurance requirements for this contract are checked below:

- | | |
|--|----------------------------|
| ☐ Professional Liability – Specialty Errors and Omissions | \$ 1,000,000 per claim |
| | \$ 3,000,000 in aggregate |
| ☐ Professional Liability – Medical Malpractice | \$ 1,000,000 per claim |
| | \$ 3,000,000 in aggregate |
| ☐ Employee Dishonesty | \$ 150,000 each occurrence |

Umbrella liability insurance may be used to meet the general liability coverage limit requirements.

Subcontractors must comply with the same insurance coverage requirements as Contractor. Subcontractors shall submit the required Certificate of Insurance through the primary Contractor.

With respect to the required Commercial General Liability insurance, The Board of Trustees of the University of Illinois shall be named as an additional insured. In order to meet this requirement, the following wording should appear on any Certificate of Insurance provided: "The Board of Trustees of the University of Illinois is an additional insured for any liability incurred by University arising from the activities of Contractor and/or Subcontractor performing work on behalf of Contractor."

If Professional Liability is required, when any professional services are performed in connection with this Contract, Professional Liability for Contractor and its employees and agents shall be maintained to include coverage for errors, omissions, and negligent acts related to the rendering of such professional services with limits not less than \$1,000,000 per claim and \$3,000,000 in the aggregate. Coverage extensions shall include contractual liability. When policies are renewed or replaced, any retroactive date must coincide with, or precede commencement of services by Contractor or sub-contractor under this Contract. A claims-made policy that is replaced or not renewed must have an extended reporting period not less than two (2) years.

Contractor shall furnish any original Certificate(s) of Insurance evidencing the required coverage to be in force on the date of this Contract, and any renewal Certificate(s) of Insurance if coverage has an expiration or renewal date occurring during the term of this Contract to the University of Illinois, Purchasing Division, 809 S. Marshfield, m/c 560, Chicago, IL 60612. The receipt of any certificate does not constitute Contract by University that insurance requirements have been met. Failure of University to obtain certificates or other insurance evidence from the vendor/contractor shall not be deemed a waiver

by University. Failure to comply with insurance requirements may be regarded as a breach of contract terms.

ARTICLE 11. BONDING

Contractor is required to provide a Performance and Payment Bond or an irrevocable letter of credit in an amount equal to 0% of the maximum total cost of services stated herein. The Performance and Payment Bond shall be signed and sealed by an authorized representative of the bonding company and an authorized representative officer or representative officers of Contractor and shall be attached thereto. Facsimile signatures of company officers and facsimile seals will not be acceptable on the Bond or on the Power of Attorney forms. The Performance and Payment Bond must be submitted within ten (10) days of notification of award.

ARTICLE 12. RIGHTS IN WORK PRODUCT

12.01 Rights in Work Product

"Subject Work Product" as used herein means any and all tangible materials resulting from work first performed under this Contract including all data, documentation, reports or other information, including but not limited to computer programs, writings, sound recordings, pictorial reproduction, drawings, audio-visual materials, graphical representations, copyrights, patents, inventions or discoveries made within the scope of work, defined in scope of services.

12.02 Ownership Rights

Subject Work Product produced in the performance of this Contract shall be owned by University. Contractor represents that Subject Work Product shall be original and not infringing on any pre-existing third party rights. Contractor hereby assigns all right, title and interest in all Subject Work Product to University. Contractor understands the University shall have the exclusive right to use Subject Work Product for any purpose, including but not limited to use, reproduction, distribution, sale, licensing and sublicensing of the Subject Work Product and the development of derivative works based in whole or in part on the Subject Work Product, without further compensation to Contractor.

12.03 Pre-Existing Rights

University acknowledges that in the course of its performance under the Contract, Contractor may use products, software, materials and methodologies proprietary to Contractor ("Pre-existing Material"), and University agrees that it shall have or obtain no ownership rights in such Pre-existing Material. University acknowledges that Contractor provides similar services for a broad range of other clients and agrees that Contractor shall be free to work for other clients in matters that do not involve the use of any Subject Work Product.

Subject to the terms of this Contract, Contractor grants to University a royalty-free, nonexclusive, irrevocable, worldwide license to use, duplicate and disclose, in whole or in part, and to publish, translate, perform and otherwise utilize any such Pre-existing Material which is delivered to University.

Unless the prior written permission of University is obtained, Contractor shall not incorporate in Subject Work Product tangible or intangible property owned by third parties. If University permits third party property to be incorporated into subject Work Product, Contractor shall obtain for University, and others acting on its behalf, a royalty-free, nonexclusive, irrevocable, worldwide license to use, duplicate and disclose, in whole or in part, and to publish, translate, perform and otherwise utilize all such tangible and intangible property at no additional cost to University.

12.04 Use and Publication Restrictions on Contractor

Contractor will not publish, have published, disclose or otherwise disseminate any Subject Work Product except as may be approved in advance, in writing by University.

12.05 No Restrictive Markings

The Contractor shall not put any restrictive markings upon any Subject Work Product unless otherwise specified in this Contract.

12.06 Administrative Confidential Information

The Contractor shall not publish or otherwise disclose in any manner, except to the University and except matters of public record, any information or data obtained under this Contract from private individuals, organizations, or public agencies, whereby the information furnished by any particular person or establishment can be identified, except with the prior written consent of such person or establishment.

12.07 Patents - Inventions

Contractor agrees to furnish University promptly with complete information about any invention or discovery first made while directly working under this Contract. University shall have the sole power to determine whether or not a patent application shall be filed, and to determine the disposition of the title to and rights under any application or patent that may result. The judgment of University shall be accepted as final, and Contractor agrees to execute all documents and do all things necessary or proper to carry out the judgment of University.

12.08 University of Illinois Campus Guidelines for HTML and Graphics Logo Usage

Contractor must adhere to all guidelines provided for the use of the official local campus designation, logo, and HTML and Graphic/Logo usage for each campus of the University of Illinois. Included in the guidelines for each campus are the following:

For the Chicago campus, see: http://www.uic.edu/home/wdw/logos/uic_logos.shtml

For the Springfield campus, see: <http://www.uis.edu/mediaguides/style/> and see <http://www.uis.edu/webpolicy/guidelines.html>

For the Urbana-Champaign campus, see: <http://www.admin.uiuc.edu/cam/iii/iii-1.html> and See <http://www.admin.uiuc.edu/log>

For the University as a whole, see <http://www.uillinois.edu/our/graphicstandards/>

ARTICLE 13. CERTIFICATIONS BY CONTRACTOR

Willfully falsifying certifications or affirmations may subject Contractor to criminal penalties including fines and/or imprisonment. Contractor shall inform University immediately if it would no longer be able to make these certifications or representations at any time during the term hereof.

13.01 Delinquent Payments Certification

Contractor certifies that it, or any affiliate, is not barred from being awarded a contract under 30 ILCS 500. Section 50-11 prohibits a person from entering into a contract with a State agency 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. Section 50-12 prohibits a person from entering into a contract with a State agency if it, or any 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. Contractor further acknowledges that the contracting State agency may declare the contract void if this certification is false or if Contractor, or any affiliate, is determined to be delinquent in the payment of any debt to the State during the term of the contract.

13.02 Anti-bribery

Contractor certifies it is not barred under 30 Illinois Compiled Statutes 500/50-5 from contracting as a result of a conviction for or admission of bribery or attempted bribery of an officer or employee of the State of Illinois or any other state.

13.03 Loan Default

If Contractor is an individual, Contractor certifies pursuant to 5 Illinois Compiled Statutes 385 that he/she is not in default for a period of six (6) months or more in an amount of \$600 or more on the repayment of any educational loan guaranteed by the Illinois State Scholarship Commission made by an Illinois institution of higher education or any other loan made from public funds for the purpose of financing higher education.

13.04 Convicted of Felony

Contractor certifies that it is not barred pursuant to 30 Illinois Compiled Statutes 500/50-10 from conducting business with the State of Illinois or any agency as a result of being convicted of a felony.

13.05 Barred from Contracting

Contractor certifies that it has not been barred from contracting as a result of a conviction for bid-rigging or bid rotating under 720 Illinois Compiled Statutes 5/33E or a similar law of another state.

13.06 Drug Free Workplace

Contractor certifies that it is in compliance with the Drug Free Workplace Act (30 Illinois Compiled Statutes 580) as of the effective date of this Contract. The Drug Free Workplace Act requires, in part, that Contractors with twenty-five (25) or more employees certify and agree to take steps to ensure a drug-free workplace by informing employees of the dangers of drug abuse, of the availability of any treatment or assistance program, of prohibited activities and of sanctions that will be imposed for violations; and that individuals with contracts certify that they will not engage in the manufacture, distribution, dispensation, possession, or use of a controlled substance in the performance of the Contract.

13.07 International Boycott

Contractor certifies that pursuant to 30 Illinois Compiled Statutes 582 neither it nor any substantially 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 or the regulations of the U.S. Department of Commerce promulgated under that Act (Public Act 88-671).

13.08 Non-Discrimination and Equal Employment Opportunity

Contractor agrees to comply with applicable provisions of the Illinois Human Rights Act (775 Illinois Compiled Statutes 5), the U.S. Civil Rights Act, the Americans with Disabilities Act, Section 504 of the U.S. Rehabilitation Act and the rules applicable to each. The equal opportunity clause of Section 750.10 of the Illinois Department of Human Rights Rules is specifically incorporated herein. Contractor shall comply with Executive Order 11246, entitled "Equal Employment Opportunity", as amended by Executive Order 11375, and as supplemented by U.S. Department of Labor regulations (41 C.F.R. Chapter 60). Contractor agrees to incorporate this clause into all Subcontracts under this Contract.

13.09 Record Retention and Audits

30 Illinois Compiled Statutes 500/20-65 requires Contractor (and any Subcontractors) to maintain, for a period of three (3) years after the later of the date of completion of this Contract or the date of final payment under the Contract, all books and records relating to the performance of the Contract and necessary to support amounts charged to University under the Contract. The

Contract and all books and records related to the Contract shall be available for review and audit by University and the Illinois Auditor General. If this Contract is funded from contract/grant funds provided by the U.S. Government, the Contract, books, and records shall be available for review and audit by the Comptroller General of the U.S. and/or the Inspector General of the federal sponsoring agency. Contractor agrees to cooperate fully with any audit and to provide full access to all relevant materials. Failure to maintain the required books and records shall establish a presumption in favor of University for the recovery of any funds paid by University under this Contract for which adequate books and records are not available.

13.10 State-Appropriated Funds

If this Contract is funded from State of Illinois-appropriated funds, Contractor understands pursuant to 30 Illinois Compiled Statutes 500/20-60(b) that this Contract is subject to termination and cancellation without any penalty, accelerated payment, or other recoupment mechanism as provided herein in any fiscal year for which the Illinois General Assembly fails to make an appropriation to make payments under the terms of this Contract. In the event of termination for lack of appropriation, Contractor shall be paid for services performed under this Contract up to the effective date of termination.

13.11 Exclusions Party List Certification

Contractor certifies that neither it nor any of its employees or subcontractors who may provide services pursuant to this Contract is currently subject of an investigation or proceeding to exclude it as a provider under Medicare or Medicaid or under any other federal or state health care program or under any third party insurance program, nor is it currently excluded or debarred from submitting claims to Medicare or Medicaid or to any other federal or state health care program or to any third party insurer. Contractor represents and warrants it has checked the U. S. General Service Administration's (GSA) Excluded Party Listing System (EPLS), which lists parties excluded from federal procurement and non-procurement programs. The EPLS website includes GSA/EPLS, the U.S. Department of Health and Human Services (HHS) Office of Inspector General's (OIG) List of Excluded Individuals/Entities (LEIE), and the U.S. Department of Treasury's (Treasury) Specially Designated Nationals (SDN) list. Contractor also represents and warrants it has checked the Illinois Department of Public Aid (IDPA) OIG Provider Sanctions list of individuals and entities excluded from state procurement with respect to Contractor's employees and agents. See the following websites: <http://epls.arnet.gov> and <http://www.state.il.us/agency/oig/search.asp>. University will terminate contract without penalty to University if Contractor becomes excluded during life of this Contract.

13.12 Labor Certification

Contractor certifies in accordance with 30 ILCS 583/10 that no foreign made equipment, materials, or supplies furnished to the State under the contract have been produced in whole or in part by forced labor, convict labor, or indentured labor under penal sanction.

13.13 Child Labor Certification

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.

13.14 Felony Certification

Contractor certifies in accordance with 30 ILCS 500/50-10.5 that no officer, director, partner or other managerial agent of the contracting business has been convicted 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 for a period of five years prior to the date of the bid or contract. Contractor acknowledges that the contracting agency shall declare the contract void if this certification is false.

13.15 Environmental Certification

Contractor certifies in accordance with 30 ILCS 500/50-14 that it has not been found by a court or the Pollution Control Board to have committed a willful or knowing violation of the Civil Penalties of the Environmental Protection Act for a period of five years prior to the date of the bid or contract. Contractor acknowledges that the contracting agency shall declare the contract void if this certification is false.

13.16 State Board of Elections Registration (P.A. 95-971)

By acceptance of this award, the contractor certifies that either (1) it is not required to register as a business entity with the State Board of Elections pursuant to Section 20-160 of the Procurement Code (30 ILCS 500/20-160); or (2) (a) it has registered as a business entity with the State Board of Elections, (b) it has submitted a copy of the Certificate of Registration to the Chief Procurement Officer for Higher Education as specified at the Illinois Public Higher Education Procurement Bulletin website (<http://www.procure.stateuniv.state.il.us>), and (c) it acknowledges a continuing duty to update the registration. Any contracts entered into with contractor by the University are voidable under the Procurement Code if contractor fails to comply with the requirements of Section 20-160.

13.17 Illinois Technology Accessibility Act

As required by Illinois Public Act 095-0307, all information technology, including electronic information, software, systems, and equipment, developed or provided under this contract must comply with the applicable requirements of the Illinois Information Technology Accessibility Act Standards as posted at <http://www.dhs.state.il.us/iitaa> as of the date that this contract is executed.

13.18 Disclosure of Business in Iran

The Contractor certifies that it has complied with the disclosure requirement of Section 50-36 of the Illinois Procurement Code (30 ILCS 500/50-36) requiring companies seeking to do business with the University to make certain disclosures related to the conduct of business with the nation of Iran.

13.19 Federal Funding

If this Contract is federally funded, Contractor certifies that:

- a. It is not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any federal department or agency.
- b. It has not, within a three (3) year period preceding this Contract, been convicted of or had a civil judgment rendered against it for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or Local) transaction or Contract under a public transaction, violation of Federal or State Antitrust Statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statement of receiving stolen property.
- c. It is not presently indicted or criminally or civilly charged by a government entity (Federal, State, or Local) with commission of any of the offenses enumerated in Part b of this certification.
- d. It has not within a three (3) year period preceding this Contract had one or more public transactions (Federal, State or Local) terminated for cause or default.
- e. No Federal appropriated funds have been paid or will be paid by Contractor to any person for influencing or attempting to influence an officer or employee of any agency, a member of Congress, an officer or employee of Congress, or an employee of a member of Congress in

connection with this Federal Contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan or cooperative agreement.

- f. If any non-Federal funds have been paid or will be paid by Contractor to any person for influencing or attempting to influence an officer or employee of any agency, a member of Congress, an officer or employee of Congress, or an employee of a member of Congress in connection with this Federal Contract, grant, loan, or cooperative agreement, Contractor shall complete and submit Federal Standard Form "Disclosure Form to Report Lobbying", in accordance with its instructions.
- g. It shall require that the language of this certification be included in the award documents for all sub-awards at all tiers and that all sub-recipients shall certify accordingly.

ARTICLE 14. MEDICARE ACCESS TO BOOKS AND RECORDS

Contractor agrees to make available upon written request by the Secretary of Health and Human Services, the Comptroller General of the United States, or any of their duly authorized representatives this Contract and any books, documents and records necessary to verify the costs of services rendered under this Contract. Contractor further agrees to make said Contract, books, documents and records available until the expiration of four (4) years after the services are furnished under this Contract.

In the event Contractor subcontracts any or all of its duties under this Contract to another party and said Subcontract has a value or cost of \$10,000 or more over a twelve (12) month period, Contractor agrees that the Subcontract shall contain a clause requiring the Subcontractor to make available upon written request by the Secretary of Health & Human Services, the Comptroller General of the United States or any of their duly authorized representatives the Subcontract, books, documents and records of the Subcontractor that are necessary to verify the nature of the costs under Subcontract.

ARTICLE 15. ACCOUNT SETTLEMENT LEGAL ACTION

Contractor shall not settle or compromise any account, or initiate any form of legal action on University accounts placed for collection without prior written authority from University Office of University Counsel. In the event that approval for legal action is sought, Contractor will provide the name and address of the attorney who will be retained, and, if approved, cause the attorney to send a copy of all pleadings to University when filed in the case. Contractor will secure advance approval of University for specific amount of all court costs to be incurred. Contractor will advance all court costs. Contractor shall be reimbursed for the reasonable advances of court costs out the first monies collected from the debtor. No commission is payable on court costs.

ARTICLE 16. TAX STATUS

16.01 University

University is an instrumentality of the State of Illinois, and as such it is exempt from federal income tax under Section 115 of the Internal Revenue Code. The Internal Revenue Service also recognizes University as exempt from federal income tax under Section 501(c)(3). In addition, University is exempt from the following Illinois state and local taxes: Income Tax, Real Property Tax, Retailers' Occupation Tax, Service Occupation Tax, Use Tax and Service Use Tax. Certificates of exemption will be provided upon separate request.

ARTICLE 17. GENERAL PROVISIONS

17.01 Compliance with Laws

Contractor and/or its agents or employees agree to comply with all laws, statutes, regulations, rulings, or enactments of any governmental authority. Contractor shall obtain (at its own expense) from third parties, including state and local governments, all licenses and permissions necessary for the performance of the work.

17.02 Independent Contractor

Contractor shall independently perform all services specified in this Contract, except as provided herein. Contractor shall have sole control over the manner and means of providing the work and services performed under this Contract including the selection and use of any Subcontractors used in the performance of the required services. Contractor's relationship to University under this Contract shall be that of Independent Contractor. Contractor shall not be considered an agent or employee of University for any purpose. Contractor shall not hire University employees to perform any portion of the work or services provided for herein, including clerical, secretarial, and similar incidental services, except with the prior written approval of University.

17.03 Covenant Against Contingent Fees

Contractor warrants that no person or selling agency has been employed or retained to solicit or secure this Contract upon a contract or understanding for a commission, percentage, brokerage, or contingency fee, excepting bona-fide employees or bona-fide established commercial or selling agencies maintained by Contractor for purposes of securing business. For breach or violation of this warranty, University shall have the right to annul this Contract without liability, or, in its discretion, to deduct from the Contract price or consideration, or otherwise recover, the full amount of such commission, percentage, brokerage or contingent fee.

17.04 Delay

Neither party hereto shall be liable in damages for any delay or default in performing its respective obligations under this Contract if such delay or default is caused by conditions beyond its control. Such conditions include but are not limited to, acts of God, government restrictions, strikes, fires, floods, or work stoppages, or acts or failures to act of third parties. So long as any such delay or default continues, the party affected by the conditions beyond its control shall keep the other party at all times fully informed concerning the matters causing the delay or default and the prospects of their ending.

17.05 Confidentiality

Any information furnished by University shall be treated as confidential. Contractor shall not disclose information unless specifically authorized and required to do so by law. Contractor is hereby advised that any part of this contract or any materials provided by Contractor and marked as confidential, proprietary, or trade secret, can be protected only to the extent permitted by Illinois Statutes.

17.06 Use of Name

Neither party shall use the name of the other in any written material, including but not limited to brochures, letters, circulars, or advertisements for commercial purposes, without the prior written consent of the other. Contractor may be required to acknowledge sponsorship of work performed under this Contract.

17.07 University's Right of Inspection

University reserves the right to inspect and investigate thoroughly the establishment, facilities, equipment, business reputation, and other qualifications of Contractor and any of its Subcontractors throughout the life of the Contract.

17.08 University's Right to Have Work Executed

If Contractor should neglect to execute the work or any part or parts thereof diligently and properly or fail to perform any provision of the Contract, University, after ten (10) days' written notice to Contractor, may without prejudice to any other remedy it may have, make good such deficiencies and may deduct the cost thereof from the payment then or thereafter due Contractor.

17.09 Conflict of Interest

Contractor affirms that, to the best of its knowledge, there exists no actual or potential conflict between Contractor's family, business, or financial interests and its services under this Contract; and, in the event of change in either its private interests or services under this Contract, Contractor will raise with University any questions regarding possible conflict of interest which may arise as a result of such change.

17.10 Discrepancies and Omissions

Should anything which is necessary for a clear understanding of the work be omitted from the Contract documents, or should it appear that various instructions are in conflict, Contractor shall secure written instructions from University Contract Representative before proceeding with the work affected by such omissions or discrepancies.

17.11 Parking

University provides no free parking for Contractor, its employees, or its representatives. Contractors may contact University campus parking office for availability of parking in University's lots. All vehicles belonging to Contractor shall clearly display parking permits issued by University campus parking office.

17.12 Governing Laws

This Contract is to be governed and construed in accordance with the laws of the State of Illinois. For venue purposes, it is deemed that all obligations of the parties created hereunder are performed in Cook County, Illinois.

17.13 Waiver

The failure of either party hereto at any time or times to enforce any provision of this Contract shall in no way be construed to be a waiver of such provisions or to affect the validity of this Contract or any part hereof, or the right of either party thereafter to enforce each and every provision in accordance with the terms of this Contract.

17.14 Assignment

This Contract may not be assigned, in whole or in part, by either party without the prior written approval of the other party, except in connection with a merger or sale of all or substantially all of the assets of such party provided, however, that the obligations of such party under this Contract shall not be extinguished or otherwise affected by any such assignment.

17.15 Amendments

This Contract shall not be amended, modified, altered or changed except by mutual agreement confirmed in writing by each party to this Contract. Contractor agrees to waive any and all claims for adjustment in regard to any services performed without prior receipt of an appropriate written amendment.

17.16 Entire Contract

This Contract, attachments, and incorporated references shall constitute the entire Contract between the parties with respect to the subject matter herein and supersedes all prior communications and writings with respect to the content of said Contract. In case of any conflict between this Contract and any attachments or incorporated references, the terms of this Contract shall prevail. No modification, renewal, extension, or waiver of this Contract or of any of the

provisions of this Contract, shall be binding upon either Contractor or University unless reduced to writing and duly executed as provided for in the Contract.

APPROVAL AND EFFECTIVE DATE

This Contract shall not be binding until signed by all parties. The persons signing this contract represent and warrant that they have authority to bind their respective parties.

**The Board of Trustees of the
University of Illinois**

Contractor

By: _____
Walter K. Knorr, Comptroller

Signed

Date: _____

Type or print name

Attest: _____
Michele M. Thompson, Secretary

Title

Date: _____

**The following signatures are required on
Contracts of \$250,000.00 or more:**

Approved:

Michael J. Hogan, President
Chief Executive Officer

Thomas R. Bearrows, University Counsel
Chief Legal Counsel