



OFFICE OF THE ILLINOIS STATE TREASURER  
**MICHAEL W. FRERICHS**

**Request for Proposals**  
Automated Teller Machine Services-State  
Agencies  
370-500-17-009  
April 17, 2017

Proposals due by 2:00 p.m. CT on May 12, 2017

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

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Office of the Illinois State Treasurer  
Request for Proposals  
Automated Teller Machine Services for Multiple State Agencies  
370-500-17-009

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## **I. OVERVIEW**

The Office of the Illinois State Treasurer (“Treasurer”) is issuing this Request for Proposals (“RFP”) for Automated Teller Machine (ATM) Services – State Agencies to provide employees and visitors to various State of Illinois Agencies (“Agency” or “Agencies”) convenient access to ATM services on a year-round basis and for special events. Specifically, such ATM services include the installation, branding, cash management, cash delivery, technical support, customer service, and maintenance of ATMs located at multiple Agency facilities. Vendors and financial institutions that submit Proposals (“Respondent”) shall submit their Proposals by 2:00 p.m. CT on May 12, 2017.

The Treasurer seeks a Contractor with an efficient and cost effective ATM services process. The winning Respondent (“Contractor”) must be authorized to do business in Illinois and have a presence in Illinois. In addition, if Respondent is a financial institution, then Respondent must also be an Illinois bank or a national bank with a presence in Illinois and be a member of the Federal Reserve System with access to all services as a member bank, and qualify as a depository of public funds. At the time the Contractor submits its Proposal, or prior to that time, if required by law, the Contractor must have all required licenses, bonding, facilities, equipment and trained personnel necessary to perform the work specified in this RFP. Finally, the Contractor must have a minimum of five (5) years of experience performing the services being sought by this RFP.

The Contractor shall enter into a contract with the Treasurer (“Agreement”) for an initial term of four (4) years. Upon expiration of this term, the Treasurer may elect to extend the Agreement for additional periods of time, not to exceed a total of ten (10) years, including the initial four (4) years.

## **II. BACKGROUND**

Section 7 of the State Treasurer Act, 15 ILCS 505, requires the State Treasurer to receive and safeguard the revenues and all other public moneys of the State as well as all moneys authorized by law to be paid to the Treasurer. Section 18 of the State Treasurer Act, 15 ILCS 505, and its implementing regulations, 74 Ill. Adm. Code 600, provide the Treasurer with the authority to enter into written agreements with financial institutions or operators for the provision of ATM services at State office buildings, State parks, State tourism centers, and State fairs in the cities of Springfield and DuQuoin.

Pursuant to this authority, the Treasurer enters into written agreements with the authorities having jurisdiction over the property where the services are intended to be provided. These agreements include, among other terms, the quantity of machines to be located at the property and the location of the service or machine. It is pursuant to this authority that the Treasurer maintains an ATM contract on the State’s behalf.

### **III. SCOPE OF WORK**

The Contractor shall provide the Treasurer the services set forth in this Section III (collectively, the “Services”) in accordance with applicable State and federal laws, rules, and regulations:

#### **A. Operational Services**

1. Provide and pay for the purchase, delivery, installation, maintenance, site preparation, and any aesthetic changes to the site or location for ATMs in any State office building, State tourism center, State park, or State fairground. The List of Current Participating State Agencies, attached hereto as Appendix A, provides the listing of current participating Agencies and their locations.
2. Provide continuous operation of the ATMs for special events and year-round Agency locations.
3. Ensure that no ATM is inoperable for more than twenty-four (24) consecutive hours.
4. Provide ATM accessibility twenty-four (24) hours per day or as business hours permit.
5. Provide all necessary maintenance and cash-loading services for the ATMs.
6. Provide for the security of the ATMs and on a regular schedule, review the security arrangements of the ATMs.
7. Issue a certification to the Treasurer that the security arrangements related to the ATMs are adequate and continuous.
8. Remove the ATMs and restore the site where the ATMs were located, at its own expense.
9. On a daily basis, service the ATMs to balance transactions and extract deposits.
10. Monitor the ATMs’ cash flow from a remote location, and, as needed, replenish the ATMs with sufficient cash.
11. Replenish the ATMs based upon the cash needs of the Agencies according to a schedule.
12. Provide ATMs that meet with the Treasurer’s prior approval, and that include the following capabilities: withdrawal of cash from checking or savings accounts held at any financial institution; transfer funds between accounts; inquire on the balance of both checking and savings accounts; deposit funds into checking or savings at any financial institution; and produce a time and date stamped receipt describing the location of the ATM and the transaction for all transactions.

13. Ensure that all ATMs meet all applicable accessibility requirements, including, but not limited to the accessibility requirements set forth in the Americans with Disabilities Act, as amended by the ADA Amendments Act of 2008 (42 U.S.C. 12101), the Americans with Disabilities Act Accessibility Guidelines, the Illinois Environmental Barriers Act, (410 ILCS 25) and the Illinois Accessibility Code (71 Ill. Adm. Code Part 400) (“Accessibility Requirements”).
14. Monitor any changes in the Accessibility Requirements and update the ATMs in order to ensure compliance with the Accessibility Requirements.

**B. Administrative Services**

1. Provide the Treasurer with monthly and special event transaction and ATM issue reports.
2. Provide a primary contact for the Services, direct access to the Contractor's staff, and emergency contact phone numbers.
3. Process transactions on a secure communication network at Contractor's own expense, and pay for all communication fees and expenses.
4. Pay the Treasurer a fee per surchargeable transaction and provide a surcharge amount as directed by the Treasurer per transaction.
5. Provide an accounting of the transaction counts for all ATMs to the Treasurer on a monthly basis and remit the Treasurer's portion of the surcharge on a monthly basis.
6. Provide comprehensive transaction reporting, which shall include, but not be limited to, the ATM location, the number of transactions, the dollar amount of each transaction and any chargebacks, for all ATMs, on a monthly basis and during and at the close of special events.
7. Provide comprehensive technical reporting, which shall include, but not be limited to, service interruptions, hardware issue, machine replacement, audit logs, cash delivery, customer service calls, and resolutions of any issues for all ATMs, on a monthly basis and during and at the close of special events.
8. Secure insurance coverage of the ATMs with types and limits of insurance as approved by the Treasurer; such insurance coverage shall be with a sound, reliable insurance company with an above average Best's rating and shall remain in effect throughout the contract term and any renewal periods.
9. Pay any power fees if requested by the Agency and approved in advance by the Treasurer.
10. Provide customer service for all ATMs including a call center that is available for customer inquiries and procedures for contacting customers if their bank card becomes lost in the ATM.

11. Prominently display on all ATMs a customer service contact number for issues or questions that arise pertaining to a transaction, including hours of availability.
12. Include only signage or branding on the ATMs that is pre-approved in writing by the Treasurer.
13. Limit ATM services to financial institutions that meet the following criteria: (a) are authorized to do business in Illinois; (b) are an Illinois bank or a national bank with a presence in Illinois; (c) are a member of the Federal Reserve System with access to all services as a member bank; and (d) have a current CRA rating of satisfactory or outstanding and IDC rating of 75 or greater.

## **IV. PROPOSAL**

### **A. Proposal Format**

1. Cover Page – The cover page shall provide the name, physical address, e-mail address, and telephone number of the person(s) available for contact regarding the Proposal. Such person(s) must be authorized to make representations on behalf of the Respondent.
2. Table of Contents – Please list the sections in Respondent's Proposal and their corresponding page numbers.
3. Introduction – Include any introductory remarks, not to exceed three (3) pages, deemed appropriate. Briefly discuss such topics as the Respondent's background, management, facilities, staffing, related experience, and financial stability.
4. Scope of Work – Respondent shall provide a brief five (5) page narrative, describing the general conceptual approach Respondent would take to provide the Services and any other information Respondent believes is relevant. Emphasis should be on clarity, brevity and completeness of the response.
5. Answers to Questions – Respondent must respond to all of the questions presented in Section IV.B of this RFP. Respondent's answers must include the headings (e.g. "Background") and be numbered in the order provided in Section IV.B.
6. Service Team – Provide an organizational chart, biographies, and resumes for the proposed Service team, including research staff and support staff. Please identify the primary contact person and describe the role of each key person.
7. Subcontractors – Provide a list of the subcontractor(s) Respondent will use for the Services, if any, and the general type of work to be performed by each subcontractor.
8. State Certifications and Disclosures – Respondent and any subcontractor(s) must submit the following three (3) fully executed documents: Illinois State Treasurer Certifications, Disclosures Financial Interest and Potential Conflicts of Interest (Disclosure Form A),

and the Disclosures Other Contract and Procurement Related Information (Disclosure Form B).

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

Proposals must be submitted in a sealed envelope or package bearing the title "Automated Teller Machine Services - State Agencies Proposal for the Office of the Illinois State Treasurer" and the Respondent's name and address. The package must include one (1) original and five (5) copies of the Proposal. A separate envelope must contain one (1) original and five (5) copies of the Cost Proposal. If confidentiality of any information is asserted, one (1) Redacted Copy should be provided in an additional separate envelope. In addition, please provide five (5) electronic copies of the Proposal, five (5) separate electronic copies of the Cost Proposal, and, if confidentiality of any information is asserted, one (1) electronic Redacted Copy. Each electronic Proposal copy, each electronic Cost Proposal copy and, if submitted, the Redacted Copy shall be on a separate thumb drive.

## **B. Questions to be Addressed in the Proposal**

Respondents shall provide answers to the following questions:

### Background and Experience

1. Provide a brief overview of the Respondent. Describe Respondent's corporate structure, including holding and parent companies, corporate affiliates, its legal form, and all locations.
2. Certify whether since January 1, 2015, Respondent or its officer(s) or principal(s), acting within the scope of their employment, have been found liable or have been subject to a consent order as a result of any publicly disclosed enforcement action or other regulatory proceeding by any of the following entities, including any divisions thereof: the Securities and Exchange Commission, Department of Justice, Consumer Financial Protection Bureau, U.S. Department of the Treasury, Federal Deposit Insurance Corporation, or the Federal Reserve System.
3. Since January 1, 2015, has Respondent or any of its officers or principals, acting within the scope of their employment, been subject to any enforcement actions by any of the following entities, including any divisions thereof: Securities and Exchange Commission, Department of Justice, Consumer Financial Protection Bureau, U.S. Department of the

Treasury, Federal Deposit Insurance Corporation, or the Federal Reserve System? If so, provide a detailed explanation.

4. Has Respondent been a party to any lawsuit from January 1, 2015 to present? If so, please provide a detailed explanation.
5. Has Respondent experienced any data breach or loss of personal, financial or other data considered private or confidential since January 1, 2015? If so, provide details and what steps were taken to address the issue both in the short term related to the specific breach/loss and also in the longer term to prevent such a breach/loss from happening again.
6. Discuss Respondent's corporate governance compliance practices.
7. Describe Respondent's risk management practices and internal controls to ensure adherence to applicable federal and state laws, regulatory agency guidance, and industry best practices.
8. Describe any changes in Respondent's ownership or management structure since January 1, 2015. Will these changes have any impact on Respondent's ability to provide the Services during the expected term of the Agreement?
9. If subcontractors are utilized, explain why the subcontractor's functions cannot be performed by the Respondent.
10. Provide Respondent's current IDC Financial Publishing, Inc, ("IDC") and Community Reinvestment Act ("CRA") rating.
11. Provide ratings from two (2) rating agencies, registered with the Securities Exchange Commission as a Nationally Recognized Statistical Rating Organization ("NRSRO"). Include ratings for senior debt, subordinated debt, and long-term deposits, if available.
12. Provide the number of ATMs Respondent manages and installs on an annual basis.
13. Provide contact information for three (3) client references. References must be entities to which Respondent provided services most similar to the Services.
14. Does Respondent currently have or has Respondent had in the past ten (10) years any contracts that contain services similar to the Services with respect to size, scope, and complexity? For each contract, provide the following information:
  - a. The entity for which Respondent is providing or has provided services and a brief description of such entity;
  - b. The contract term; and

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

#### Equipment Information

15. Provide a detailed description of all the ATM types that will be made available to the Agencies for year round placement and special events, including both indoor and outdoor locations. In addition provide the following information as it pertains to each ATM type: note capacity, card reader, model number, year, machine dimensions, screen dimensions, and features, including any additional features not listed.
16. Provide a detailed description of the ATM installation process for both indoor and outdoor locations, for year-round and special events, including the repair of any damages that are incurred at the Agency site.
17. What is the maximum number of ATMs that Respondent can make available for a special event and how much advance notice does the Respondent require prior to a special event in order to install ATMs?
18. Provide a detailed description of the electrical requirements for both the indoor and outdoor ATMs.
19. Provide a detailed description of the security measures that will be in place for both indoor and outdoor ATMs.
20. Provide a detailed description of the insurance coverage that the Respondent has in place for its ATMs, including but not limited to identification of the insurance provider(s), risk coverage, levels, limits, deductibles, and expiration dates.
21. Provide a detailed description of the communication requirements for both the indoor and outdoor ATMs.
22. Provide a detailed description of how Respondent's ATMs meet all Accessibility Requirements. In addition, describe in detail the Respondent's procedures for monitoring changes to all Accessibility Requirements and subsequently applying any necessary updates to the ATMs.

23. Provide a detailed description of the Respondent's data security for the ATMs.
24. Provide a detailed description of the Respondent's national and regional network affiliations.
25. Describe Respondent's procedures for identifying and addressing issues related to maintenance and service of the ATMs including the replacement of damaged machines.
26. Does the Respondent have any special needs for machine installation? Provide a detailed description of Respondent's procedures for machine installation, identifying any special needs relevant to installation.
27. Provide a proposed schedule for the implementation of the Services. The implementation schedule should be comprehensive, including all phases necessary to implement the Services as described herein and tentative dates.

#### Cash Management and Funding

28. Identify all bill denominations that will be available in the ATMs and the maximum dollar amount that can be dispensed in a single transaction.
29. Provide a detailed description of the card types that will be accepted.
30. Describe the Respondent's process for monitoring and forecasting the daily cash availability in the ATMs and the procedures for replenishing the cash. Identify the method of delivery of the cash and whether the delivery will be provided by a third party vendor.
31. Does the Respondent use a third party ATM cash vault service, and if so, provide the details.

#### Customer Service

32. Describe Respondent's ATM customer service, including, but not limited to, hours of availability by telephone and the response time to customer inquiries including procedures for contacting customers if their card is lost using the ATM.
33. Describe how the Respondent will provide and display to the ATM users a customer service contact number for issues or questions that arise pertaining to their transaction, including hours of availability.
34. Describe the Respondent's procedures for monitoring the ATMs and specify all components that are monitored.

### Reporting

35. Discuss Respondent's internal recordkeeping system for recording financial transactions.
36. Discuss and provide a sample of the Respondent's monthly comprehensive transaction reporting, including, but not limited to, the ATM location, the number of transactions, the dollar amount of each transaction and any chargebacks. In addition provide similar transaction reporting information during and at the close of a special event.
37. Describe and provide a sample of the Respondent's monthly comprehensive reporting, including, but not limited to, service interruptions, hardware issues, machine replacement, audit logs, cash delivery, and customer service calls. Resolution of the issue(s) should also be included in these reports. In addition, provide a sample of a report during and at the close of a special event.
38. Describe the Respondent's method of delivery for all reports, including electronic formats and website accessibility.

### Branding

39. Discuss Respondent's branding and signage programs.
40. Confirm the Respondent agrees that all signage shall be subject to the pre-approval of the Agency and/or the Treasurer.
41. Provide examples of completed branding programs for ATMs.
42. Discuss Respondent's process for selecting participating financial institutions and for notifying current financial institutions of the Respondent's taking over as the new ATM service provider. Also describe how Respondent will confirm whether current financial institutions wish to continue to participate in the ATM services, following Respondent becoming the new ATM service provider. In addition, confirm that only financial institutions that meet the following criteria will be allowed to participate: (a) are authorized to do business in Illinois; (b) are an Illinois bank or a national bank with a presence in Illinois; (c) are a member of the Federal Reserve System with access to all services as a member bank; and (d) have a current CRA rating of satisfactory or outstanding and IDC rating of 75 or greater.

### Diversity

43. If publicly owned, please provide the number and percentage of members of the Respondent's governance board who are female, minority, military veterans, or persons with disabilities. Please cite with supporting data.
44. If privately owned, is the Respondent or its affiliates female, minority, persons with disabilities, or veteran-owned or managed? For purposes of this RFP, "female, minority,

persons with disabilities, or veteran owned or managed” shall mean being owned or managed by 51% or more of a combination of female, minority, persons with disabilities, or military veteran. Please provide the number and percentage of Respondent’s owners who are female, minority, military veterans, or persons with disabilities. Please cite with supporting data.

45. Please provide the number and percentage of Respondent’s senior executive leaders (i.e. partner, president, COO, managing director, or other senior executives) who are female, minority, military veterans, or persons with disabilities. Please cite with supporting data.
46. Please provide the number and percentage of Respondent’s staff (i.e. all full-time and part-time employees) who are female, minority, military veterans, or persons with disabilities. Please cite with supporting data.
47. What is the percentage of Respondent’s intended use of subcontractors for this project, if any, that are female, minority, persons with disabilities, or veteran-owned or managed? Please cite with supporting data.

#### Corporate Responsibility – Environmental, Social and Governance Practices

48. Please note any policies, practices, and/or business strategies the Respondent has in place to address long-term environmental risks and opportunities that may impact long-term sustainability.
49. Please highlight any policies, practices, or resources that the Respondent has in place to retain and enhance the human capital at the firm.
50. Please explain how the Respondent fosters a corporate governance structure that mitigates business risks and enhances business operations.
51. Please highlight any activities, projects, or services the Respondent administers to alleviate societal issues and enhance its commitment to corporate social responsibility. Please cite with supporting data.

#### Illinois Presence

52. Is the Respondent incorporated in Illinois? Please provide the physical address and website of the Respondent’s headquarters and all Illinois branch offices.
53. Please note how many full-time employees are located at the Respondent’s headquarters and all Illinois branch offices.
54. Please describe what presence the Respondent has in the State of Illinois. Such “presence” can be demonstrated by noting (a) the number and (b) the percentage of the Respondent’s full-time employees who spend more than half their time in Illinois and have physical offices or a principal place of business located in Illinois.

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

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

### C. Cost Proposal

For the Cost Proposal, Respondent shall provide the proposed surcharge fee per transaction and the proposed commission per surcharge transaction. Commission payments will be remitted to the Treasurer on a monthly basis.

## V. RFP SCHEDULE AND PROCESS

This Section provides the schedule and process for this RFP.

### A. RFP Schedule

The following is the schedule for this RFP:

Date	Event
April 17, 2017	RFP published on the Treasurer's website.
April 25, 2017	All Respondent questions due by 2:00 p.m. CT.
May 3, 2017	Responses to all questions posted on the Treasurer's website by 4:00 p.m. CT.
May 12, 2017	Proposals due at 2:00 p.m. CT.
May 22-23, 2017	Interviews and site visits, if any, with final candidates.
May 26, 2017	If applicable, best and final offer due by 2:00 p.m. CT.
May 31, 2017	Notification of award and begin negotiation of Agreement.

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

### B. Contact Information

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

Respondents should submit questions about the intent or content of this RFP and request clarification of any and all procedures used for this procurement prior to the submission of a

Proposal. Respondents must submit their questions in writing by e-mail to the CPO, Jim Underwood, at [junderwood@illinoistreasurer.gov](mailto:junderwood@illinoistreasurer.gov) by 2:00 p.m. CT on April 25, 2017.

### C. Proposal Submittal

All Proposals must be submitted by mail or messenger to the following address, no later than 2:00 p.m. CT on May 12, 2017:

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

### D. RFP Process

#### 1. Internet/E-mail Communications

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

#### 2. Oral Communications

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

#### 3. Amendments

If it is necessary to amend this RFP, the Treasurer will post any amendments on its website at [www.illinoistreasurer.gov](http://www.illinoistreasurer.gov).

#### 4. Respondent's Costs

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

#### 5. Withdrawal of Proposal

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

#### 6. Modification of Proposal

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

**7. Proposal is a firm offer**

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

**8. Proposal is State Property**

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

**9. Proposal is Part of a Public Procurement File**

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

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

**10. CPO May Cancel RFP**

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

**11. Additional Information**

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

## **VI. EVALUATION PROCESS AND CRITERIA**

This Section explains how the Treasurer will evaluate the Proposals.

### **A. Mandatory Requirements**

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

1. Submit Proposal and accompanying Cost Proposal by 2:00 p.m. CT on May 12, 2017;
2. In Respondent's Proposal, provide all of the sections and the information required for each section as set forth in Section IV.A of this RFP;
3. Provide the Cost Proposal in a separately sealed envelope and on a separate electronic storage device;
4. Be authorized to transact business in Illinois for all of the Services and have a presence in Illinois.
5. If Respondent is a financial institution, in addition they must be an Illinois bank or a national bank with a presence in Illinois;
6. If Respondent is a financial institution, they must be a member of the Federal Reserve System and have access to all services as a member bank. Qualify as a depository for public funds.
7. Be established with all required licenses, bonding, facilities, equipment and trained personnel necessary to perform the work as specified in this RFP at the time of this RFP, or prior to that time, if required by law. The Treasurer reserves the right to require proof of said requirements within ten (10) calendar days from the date of receipt of the Respondent's Proposal;
8. Have a minimum of five (5) years of experience performing services that are considered identical or similar in nature to the Services; and
9. Since January 1, 2015, Respondent or its officer(s) or principal(s), acting within the scope of their employment, have not been found liable or have not been subject to a consent order as a result of any publicly disclosed enforcement action or other regulatory proceeding by any of the following entities, including any divisions thereof: the Securities and Exchange Commission, Department of Justice, Consumer Financial Protection Bureau, U.S. Department of the Treasury, Federal Deposit Insurance Corporation, or the Federal Reserve System.

## B. Scoring

Evaluation Factor	Maximum Number of Points Possible
Background and Experience	20
Qualified Services	45
Diversity	10
Corporate Responsibility	10
Illinois Presence	10
Cost Proposal	10
Interview, if applicable	5
<b>TOTAL</b>	<b>110</b>

## C. Determining Scores

### 1. Background and Experience

Scoring will be based on Respondent's demonstrated talent and experience of assigned personnel. The breadth and depth of similar engagements will be considered. The evaluation will also include reference checks regarding the Respondent's work for other clients who received or are receiving services similar to those required by this RFP.

### 2. Quality of Services

Respondent's ability to perform the Services will be evaluated based on the answers Respondent provides in the Scope of Work and Answers to the Questions sections of the Proposal.

### 3. Diversity

Respondent's diversity score will be scored based on the answers the Respondent provides to the diversity questions in Section IV.B.43 through 47 of this RFP. The Evaluation Team shall award a higher diversity score to Respondents (including subcontractors) that are female, minority, person with disabilities, or veteran owned or managed. Having a higher percentage of subcontractors that are female, minority, person with disabilities, or veteran owned or managed shall also result in higher scores.

### 4. Corporate Responsibility

Respondent's corporate responsibility shall be scored based on the answers Respondent provides to questions IV.B.48 through 51.

**5. Illinois Presence**

Respondent's Illinois presence shall be scored based on the answers Respondent provides to questions IV.B.52 through 56. Respondents with a principal place of business in Illinois and a higher percentage of employees in Illinois shall receive higher scores.

**6. Cost Proposal**

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

**7. Interview**

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

**D. Evaluation Process**

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

**VII. CONTRACTUAL TERMS**

The Contractor shall agree to each contractual provision set forth in this Section.

**A. Contractual Responsibility**

Contractor will be contractually responsible for all services provided. By responding to the RFP, Contractor expressly agrees to the contractual requirements herein. Contractor shall at all times provide services in a commercially reasonable manner.

**B. Governing Law**

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

**C. Term of Agreement**

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

## **D. Termination**

### **1. Termination without Cause**

The Treasurer may elect to terminate the Agreement at any time upon thirty (30) calendar days' notice. Upon termination, the Treasurer will pay for work satisfactorily completed prior to the date of termination.

### **2. Termination for Cause**

Notwithstanding any language to the contrary, the Agreement may be terminated by the Treasurer or CPO under any of the following circumstances:

- a. Contractor fails to furnish satisfactory performance within the time specified;
- b. Contractor fails to perform any of the provisions of the Agreement or so fails to make progress so as to endanger the performance of the Agreement in accordance with its terms;
- c. Any services provided under the Agreement are rejected and are not promptly correctly by the Contractor or repeatedly rejected even though Contractor offers to correct services promptly;
- d. There is sufficient evidence to show that fraud, collusion, conspiracy, or other unlawful means were used to obtain the Agreement;
- e. Contractor is guilty of misrepresentation in connection with another contract for services to the State;
- f. Contractor is adjudged bankrupt or enters into a general assignment for the benefit of its creditors or receivership due to insolvency;
- g. Change in federal or State law or rules, or the Contractor's, or Treasurer's policies that would frustrate the purpose of the Agreement;
- h. Contractor disregards laws and ordinances, rules, or instructions of the Treasurer or his agents, acts in violation of any provision of the Agreement, or acts in conflict of any statutory or constitutional provision of the State of Illinois or the United States;
- i. Contractor commits any other breach of the Agreement or commits other unlawful acts; or
- j. Contractor provides notice pursuant to Section VII.R or fails to provide such notice.

Prior to terminating the Agreement for cause, the Treasurer shall issue a written warning that outlines the remedial action necessary to bring the Contractor into conformance with the Agreement. If such remedial action is not completed to the satisfaction of the Treasurer within thirty (30) business days, a second written warning may be issued. If satisfactory action is not taken by Contractor within five (5) business days of the date of the second written warning, the

Agreement may be cancelled and the Treasurer may recover any and all damages involved with the transition to a new vendor including incidental and consequential damages. Failure by the Treasurer to issue a warning or cancel this Agreement does not waive any of the Treasurer's rights to issue subsequent warnings.

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

## **E. Work Product**

### **1. Ownership of work product.**

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

### **2. Return of Work Product**

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

## **F. State Furnished Property**

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

## **G. Internal Controls**

If applicable and upon request, the Contractor shall provide the Treasurer with a copy of the most recent Annual Report or Form 10-K of its parent holding company, which shall include the attestation of the company's independent registered accounting firm regarding the company's internal control over financial reporting.

## **H. Back-up Facilities**

Upon execution of the Agreement, the Contractor and its subcontractor(s), if applicable shall provide the Treasurer a summary of their disaster recovery plan, back-up plan, and testing schedule.

## **I. Liability**

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

#### **J. Indemnification**

The Contractor shall indemnify and hold the Treasurer harmless from and against any and all losses, including but not limited to, losses due to the Contractor's negligent acts or omissions or willful misconduct of Contractor, its employees, or its agents. Contractor has a duty to select, with due diligence, all other entities that shall be necessary to implement the Agreement. Contractor shall establish and enforce reasonable procedures to assure the Treasurer of the performance by all other entities of the services necessary to implement this Agreement.

#### **K. Subcontractors**

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

#### **L. Record Retention and Audit**

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

#### **M. Confidentiality and Security Requirements**

##### **1. Confidential Information**

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

- a. Information already known or independently developed by the recipient;
- b. Information required to be released by law;

- c. Information in the public domain through no wrongful act of the recipient; and
  - d. Information received from a third party who was free to disclose it.
2. **Use of Confidential Information by Employees and Agents of Contractor**  
The requirement of confidentiality under this Agreement also applies to the employees and agents of the Contractor. The Contractor shall use its best efforts to ensure that its employees and agents adhere to the confidentiality requirements set forth herein. Use by and disclosure to employees and agents of Confidential Information to the extent necessary to carry out the terms and purposes of this Agreement is acceptable.
3. **Protection of Confidential Information**  
The Contractor represents, warrants, and covenants that it has implemented and will maintain an information security program reasonably designed to protect Confidential Information, including customer information, which program includes administrative, technical, and physical safeguards to ensure the security and confidentiality of all customer information, to protect against anticipated threats or hazards to the security or integrity of such customer information, and to protect against unauthorized access to or use of such customer information.
4. **Privacy Policy**  
Contractor will comply with any applicable federal or state laws or regulations, as well as any privacy policy developed by the Treasurer. Contractor further agrees to establish, maintain, and comply with a privacy policy with respect to the Project that meets the requirements of applicable law.

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

## **N. Successor and Assignment**

Each term and provision of the Agreement is binding and enforceable against and inures to the benefit of any successors of the Treasurer and any successors of Contractor, but neither this Agreement nor any of the rights or obligations under the Agreement may be transferred or assigned by a financial institution without the Treasurer's prior written consent. Any attempt by Contractor or subcontractor, if applicable, to transfer or assign any rights or obligations related to the Agreement without the prior written consent of the Treasurer shall render this Agreement voidable by the Treasurer. The Treasurer may unilaterally bind any successor of the Contractor to the terms and conditions of the Agreement.

## **O. Reporting and Testing**

Following execution of the Agreement, the Contractor must provide a complete sample of all reports requested in section IV.B. The Contractor must also provide the Treasurer access to the Contractor's online website, if applicable, for the purpose of testing the exporting of information

into the following formats: PDF, CSV, and TXT. The Treasurer must receive all reports prior to execution of the Agreement.

**P. Continuation of Services**

The Contractor shall guarantee performance of the Services and agree to perform all Services in an efficient and professional manner. The Contractor's obligations and responsibilities pursuant to the Agreement shall not be affected in the event of personnel problems, strike by employees, work stoppages, and other employee-related events. The Contractor is responsible for and shall provide commercially reasonable backup systems and shall review the adequacy of those systems with the Treasurer upon request. The prevention of such business interruption shall be the sole responsibility of the Contractor, and the Contractor shall immediately notify the Treasurer in the event such business interruption takes place. The Contractor shall be liable for any losses or damages sustained by the Treasurer due, in whole or in part, to the Contractor's failure to provide reasonable backup systems.

**Q. Certifications**

The Contractor shall certify the following:

1. That the Contractor has the full legal right, power, and authority to execute and deliver the Agreement and to perform its obligations pursuant to the Agreement with no other corporate action on the part of the Contractor or its stockholders being necessary, and that the Agreement has been duly and validly executed and delivered by the Contractor, thereby constituting a legal, valid, and binding obligation of the Contractor, enforceable against the Contractor in accordance with its terms;
2. That the execution and delivery by the Contractor of the Agreement, the performance by Contractor of its duties and obligations thereunder, and the consummation of the transactions contemplated do not result in any of the following:
  - a. Conflict with or result in a violation or breach of any of the terms, conditions, or provisions of the charter or by-laws of Contractor;
  - b. Conflict with or result in a violation or breach of any term or provision of a) any law, rule, regulation, judgment, decree, order, or injunction applicable to the Contractor or any of its assets and properties or b) any agreement binding on or affecting the Contractor or any of its properties; or
  - c. Conflict with or result in a violation or breach of, or constitute (with or without notice or lapse of time or both) a default under any material agreement to which the Contractor is a party, or any material obligation or responsibility which the Contractor has to any third party.
3. That there is no action, suit, investigation, or proceeding pending or, to the best knowledge of the Contractor, threatened against the Contractor before any court, arbitrator, or administrative or governmental body that might result in any material adverse change in the operations of the Contractor or which might materially and

adversely affect the ability of the Contractor to perform the Services or otherwise comply with its obligations under the Agreement.

#### **R. Notice**

The Contractor hereby agrees to give the Treasurer notice if at any point during the term of this Agreement, Contractor or its officer(s) or principal(s), acting within the scope of their employment, are found liable or become subject to a consent order as a result of any publicly disclosed enforcement action or other regulatory proceeding by any of the following entities, including any divisions thereof: the Securities and Exchange Commission, Department of Justice, Consumer Financial Protection Bureau, U.S. Department of the Treasury, Federal Deposit Insurance Corporation, or the Federal Reserve System. The Contractor shall provide the Treasurer such notice within ten (10) business days of when Contractor knows or reasonably should have known of the liability or consent order. Contractor's delivery of notice pursuant to this Section or failure to provide the required notice shall give the Treasurer reason to terminate the Agreement for cause.

#### **S. Most Favorable Terms**

If more favorable terms are granted by the Contractor to any similar governmental agency in any state in a contemporaneous agreement under the same or similar financial terms and circumstances for comparable services, the more favorable terms will be applicable under the Agreement.

#### **T. Change of Law or Policy**

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

#### **U. Modification of the Agreement**

The Services to be provided under the Agreement shall be subject to modification and supplementation only upon the written agreement of the duly authorized representatives of the contracting parties. No modification of the terms of the Agreement shall be made that would materially change the delivery of service, unless such changes are mutually agreed by and between the Treasurer and the Contractor and shall be incorporated in written amendments to the Agreement, processed through and approved by the Treasurer.

#### **V. State Certifications/Disclosures**

The Agreement will incorporate Contractor's fully executed State Certifications and Disclosure Forms.

## Appendix A

### List of Current Participating State Agencies

- **Illinois Department of Agriculture** – State Fairgrounds, Springfield, IL 62794
  - 1 year-round machine
  - 10-20 machines during the Illinois State Fair
  - Potential for machines during the DuQuoin State Fair
- **Illinois Department of Revenue** – 100 W. Jefferson Street, Springfield, IL 62702
  - 1 year-round machine
- **Abraham Lincoln Presidential Library & Museum** – 212 N. Sixth St., Springfield, IL 62701
  - 1 year-round machine
- **Illinois Secretary of State** – 2<sup>nd</sup> Street and Edwards Street, Springfield, IL 62756 and 2701 S. Dirksen Parkway, Springfield, IL 62723
  - 1 year-round machine at each location
- **Illinois Department of Military Affairs** – 1301 N. MacArthur Blvd., Springfield, IL 62702
  - 2 year-round machines
- **Department of Natural Resources** – 1 Natural Resources Way, Springfield, IL 62702
  - 1 year-round machine
- **Illinois State Toll Highway Authority** – 2700 Ogden Ave., Downers Grove, IL 60515
  - 1 year-round machine
- **Illinois Student Assistance Commission** – 1755 Lake Cook Rd., Deerfield, IL 60015
  - 1 year round machine
- **Illinois State Treasurer's Office** – State Capitol Building, 401 S. Second Street, Springfield, IL 62706
  - 1 year-round machine

## **Appendix B**

### **ILLINOIS STATE TREASURER CERTIFICATIONS**

\_\_\_\_\_  
following certifications:

#### **1.0 ANTI-BRIBERY.**

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

#### **2.0 BID-RIGGING/BID-ROTATING.**

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

#### **3.0 DRUG FREE WORKPLACE.**

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

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

- a. Publishing a statement:
  - i. Notifying employees that the unlawful manufacture, distribution, dispensation, possession or use of a controlled substance, including cannabis, is prohibited in the grantee's or contractor's workplace.
  - ii. Specifying the actions that will be taken against employees for violation of such prohibition.
  - iii. Notifying the employee that, as a condition of employment on such contract or grant, the employee will:
    - a. abide by the terms of the statement; and

- b. notify the employer of any criminal drug statute conviction for a violation occurring in the workplace no later than five (5) days after such conviction.
- b. Establishing a drug free awareness program to inform employees about:
  - i. the dangers of drug abuse in the workplace;
  - ii. CONTRACTOR's policy of maintaining a drug free workplace;
  - iii. any available drug counseling, rehabilitation, and employee assistance programs; and
  - iv. the penalties that may be imposed upon an employee for drug violations.
- c. Providing a copy of the statement required by Section (a) to each employee engaging in the performance of the contract or grant and to post the statement in a prominent place in the workplace.
- d. Notifying the Treasurer's Office within ten (10) days after receiving notice under part (b) of paragraph (iii) of Section (a) above from an employee or otherwise receiving actual notice of such conviction.
- e. Imposing a sanction on, or requiring the satisfactory participation in drug abuse assistance or rehabilitation program by, an employee who is so convicted, as required by Section 5 of the Drug Free Workplace Act.
- f. Assisting employees in selecting a course of action in the event of drug counseling, treatment, and rehabilitation is required and indicating that a trained referral team is in place.
- g. Making a good faith effort to continue to maintain a drug free workplace through implementation of the Drug Free Workplace Act.

#### **4.0 U.S. EXPORT ACT.**

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

#### **5.0 NON-DISCRIMINATION.**

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

## **6.0 AMERICANS WITH DISABILITIES ACT.**

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

## **7.0 ILLINOIS HUMAN RIGHTS ACT.**

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

## **8.0 FELONY.**

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

## **9.0 FORMER EMPLOYMENT.**

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

## **10.0 INDUCEMENT.**

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

## **11.0 REVOLVING DOOR PROHIBITION.**

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

## **12.0 REPORTING ANTICOMPETITIVE PRACTICES.**

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

## **13.0 DISCRIMINATORY CLUB.**

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

## **14.0 TAXPAYER IDENTIFICATION NUMBER AND LEGAL STATUS OF CONTRACTOR.**

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

- |   |  |
|---|--|
| <input type="checkbox"/> Individual                           | <input type="checkbox"/> Government Entity   |
| <input type="checkbox"/> Sole Proprietor                      | <input type="checkbox"/> Nonresident alien   |
| <input type="checkbox"/> Partnership/Legal Corporation        | <input type="checkbox"/> Estate or trust   |
| <input type="checkbox"/> Tax Exempt                           | <input type="checkbox"/> Pharmacy (Non-Corp.)  |
| <input type="checkbox"/> Corporation providing or billing     | <input type="checkbox"/> Pharmacy/Funeral  |
| Home/Cemetery   |  |
| <input type="checkbox"/> medical and/or health care services  | <input type="checkbox"/> (Corp.)   |
| <input type="checkbox"/> Corporation NOT providing or billing | <input type="checkbox"/> Limited Liability Company                                   |
| (select)  |  |
| <input type="checkbox"/> medical and/or health care services  | applicable tax classification.)  |
| <input type="checkbox"/> Other: _____                         | <input type="checkbox"/> C = corporation<br><input type="checkbox"/> P = partnership |

## **15.0 LICENSE; AUTHORIZED BIDDER OR OFFEROR**

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

## **16.0 APPROPRIATION.**

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

## **17.0 RECORDS RETENTION; RIGHT TO AUDIT.**

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

## **18.0 CONFLICTS OF INTEREST.**

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

## **19.0 LATE PAYMENTS.**

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

## **20.0 LIABILITY.**

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

## **21.0 DEBT DELINQUENCY.**

CONTRACTOR certifies that it, or any affiliate, is not barred from being awarded a contract or subcontract under section 50-11 of the Illinois Procurement Code (30 ILCS 500/50-11). Section 50-11 prohibits a contractor from entering into a contract with the Treasurer's

Office if it knows or should know that it, or any affiliate, is delinquent in the payment of any debt to the State as defined by the Debt Collection Board. CONTRACTOR further acknowledges that the Treasurer's Office may declare the Agreement void if this certification is false or if CONTRACTOR or any affiliate is determined to be delinquent in payment of any debt during the term of the Agreement.

## **22.0 EDUCATIONAL LOAN DEFAULT.**

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

## **23.0 FORCE MAJEURE.**

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

## **24.0 ANTITRUST ASSIGNMENT.**

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

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

CONTRACTOR certifies that it is not barred from being awarded a contract under the State Prohibition of Goods from Forced Labor Act (30 ILCS 583). Section 10 of the State Prohibition of Goods from Forced Labor Act prohibits a contractor from entering into a contract with the Treasurer's Office if that contractor knew that the foreign-made equipment, materials, or supplies furnished to the State were produced in whole or part by forced labor, convict labor, or indentured labor under penal sanction. CONTRACTOR further acknowledges that the Treasurer's Office may declare the Agreement void if this certification is false or if CONTRACTOR is determined to have known that the foreign-made equipment, materials, or supplies furnished to the State during the term of the Agreement were produced in whole or part by forced labor, convict labor, or indentured labor under penal sanction.

## **26.0 PROHIBITION OF GOODS FROM CHILD LABOR.**

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

## **27.0 SARBANES-OXLEY ACT AND ILLINOIS SECURITIES LAW**

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

## **28.0 DISPUTES.**

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

## **29.0 THIRD-PARTY PAYMENTS.**

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

## **30.0 MOST FAVORABLE TERMS.**

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

## **31.0 BOARD OF ELECTIONS REGISTRATION**

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

(or)

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

## **32.0 COLLECTION AND REMITTANCE OF ILLINOIS USE TAX**

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

## **33.0 ENVIRONMENTAL PROTECTION ACT VIOLATIONS**

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

## **34.0 LEAD POISONING PREVENTION ACT VIOLATIONS**

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

## **35.0 BOND ISSUANCES**

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

## **36.0 POLITICAL CONTRIBUTIONS**

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

## **37.0 LOBBYING RESTRICTIONS**

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

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

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

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

(2) the company has, on or after August 5, 1996, made an investment of \$20 million or more, or any combination of investments of at least \$10 million each that in the aggregate equals or exceeds \$20 million in any 12- month period that directly or significantly contributes to the enhancement of Iran’s ability to develop petroleum resources of Iran.

You must check one of the following items and if item 2 is checked you must also make the necessary disclosure:

- There are no business operations that must be disclosed to comply with the above cited law.  
 The following business operations are disclosed to comply with the above cited law:

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**CONTRACTOR**

By: \_\_\_\_\_  
Signature

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Name

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Title

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Date

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

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

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

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

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

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

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

Ownership exceeding 5%   
Ownership value exceeding \$106,447.20   
Distributive Income Share exceeding 5%   
Distributive Income Share exceeding \$106,447.20

Name: \_\_\_\_\_

Address: \_\_\_\_\_  
\_\_\_\_\_

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

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

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

If the proportionate share of ownership exceeds 5% or the value of the ownership interest exceeds \$106,447.20, show either.

The percent of ownership  %  
or  
The value of the ownership interest \$

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

- |    |  |           |          |
|----|--|-----------|----------|
| a. | State employment, currently or in the previous 3 years, including contractual employment of services   | Yes _____ | No _____ |
| b. | State employment for spouse, father, mother, son, or daughter, including contractual employment for services in the previous 2 years.  | Yes _____ | No _____ |
| c. | Elective status; the holding of elective office of the State of Illinois, the government of the United States, any unit of local government authorized by the Constitution of the State of Illinois, or the statutes of the State of Illinois currently or in the previous 3 years.  | Yes _____ | No _____ |
| d. | Relationship to anyone holding elective office currently or in the previous 2 years; spouse, father, mother, son, or daughter.   | Yes _____ | No _____ |
| e. | Appointive office; the holding of any appointive government office of the State of Illinois, the United States of America, or any unit of local government authorized by the Constitution of the State of Illinois or the statutes of the State of Illinois, which office entitles the holder to compensation in excess of expenses incurred in the discharge of that office currently or in the previous 3 years. | Yes _____ | No _____ |
| f. | Relationship to anyone holding appointive office currently or in the previous 2 years; spouse, father, mother, son, or daughter.   | Yes _____ | No _____ |
| g. | Employment, currently or in the previous 3 years, as or by any registered lobbyist of the State government.  | Yes _____ | No _____ |
| h. | Relationship to anyone who is or was a registered lobbyist in the previous 2 years; spouse, father, mother, son, or daughter.  | Yes _____ | No _____ |
| i. | Compensated employment, currently or in the previous 3 years, by any registered election or re-election committee registered with the Secretary of State or any county clerk in the State of Illinois, or any political action committee with either the Secretary of State or the Federal Board of Elections.   | 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 re-election committee registered with the Secretary of State or any county clerk in the State of Illinois, or any political action committee registered with either the Secretary of State or the Federal Board of Elections.

	Yes	No
	_____	_____

This disclosure is submitted on behalf of

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(Name of Contractor/Offeror)

Official authorized to sign on behalf of contractor/offeror:

Name (printed) \_\_\_\_\_ Title \_\_\_\_\_

Signature \_\_\_\_\_ Date \_\_\_\_\_

## **DISCLOSURES**

### **OTHER CONTRACT AND PROCUREMENT RELATED INFORMATION (Disclosure Form B)**

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

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

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

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

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

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

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

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

This disclosure is submitted on behalf of \_\_\_\_\_  
(Name of Contractor/Offeror)

Official authorized to sign on behalf of contractor/offeror:

Name (printed) \_\_\_\_\_ Title \_\_\_\_\_

Signature \_\_\_\_\_ Date \_\_\_\_\_