



***Finance and Administrative Services***

18 North County Street – 9<sup>th</sup> Floor  
Waukegan, Illinois 60085-4355  
Phone 847 377-2992  
Fax 847 377-5889

DATE : August 16, 2018

TO : Barry Burton, County Administrator

FROM : Patrice Sutton, Chief Financial Officer  
RuthAnne K. Hall, Purchasing Agent

RE : Research regarding vendor disclosure practices within public sector procurement

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At the August 8, 2018 regular meeting of the Finance and Administrative Committee, a request was made for staff to research examples of vendor disclosure practices relative to campaign contributions and familial relationships in public sector procurement. This memo summarizes the findings to date.

Research has included a review of the practices and policies of the following jurisdictions:

- Neighboring counties of Cook, Kane, DuPage, McHenry and Will Counties were reviewed. It should be noted that all but Cook County are governed by the Illinois Compiled Statutes for Counties (55 ILCS/5); Cook County is provided its own separate chapter (55 ILCS/5-36).
- City of Lubbock, Texas
- State of Alabama
- Gross Ile Township Schools, Michigan
- St. Clair County Regional Office of Education, Michigan

**Lake County's Current Practice:**

The Lake County procurement process is a centralized function that is overseen by the Purchasing Division in the Department of Finance and Administrative Services for goods and services exceeding \$30,000 and professional services exceeding \$50,000. For Invitations for Bids, staff works directly with the operating department to develop specifications and vet the lowest responsive and responsible bidders in an open and public procurement process. For professional services, staff works directly with the operating department to develop the scope of work for the Request for Proposal (RFP) and convenes an interdepartmental evaluation committee to review the received proposals. As part of the review process for RFPs, proposals are submitted sealed and provided to the evaluation committee for review and ranking. Prior to receiving proposals,

the members of the evaluation team are requested to sign and return a confidentiality statement to acknowledge the confidential nature of the closed procurement.

Lake County does not require disclosure of campaign contributions as a part of the procurement process. With regard to familial relationships, Lake County's disclosure practice requires employees directly involved in the procurement process to identify any familial relationship with potential vendors seeking to do business with the County.

Involvement in the procurement process is defined in Article 12 of the Purchasing Ordinance – Ethics in Public Purchasing/Contracting which provides the following direction regarding employee conflict of interest/bias:

**12-104 EMPLOYEE CONFLICT OF INTEREST/BIAS**

- (1) County Employees shall not participate directly or indirectly or influence or attempt to influence any procurement, contract, purchase order or invoice decision when the county employee knows or has reason to know that:
  - (a) the county employee or any member of the county employee's immediate family has a financial interest related to the said procurement, contract, purchase order or invoice, decision or activity; or
  - (b) the county employee or a member of a county employee's immediate family is negotiating for or already has an arrangement concerning employment with an individual or organization involved in the said procurement, decision or activity.
- (2) County employees who discover an actual or potential conflict of interest, relative to a procurement, contract, purchase order, or invoice decision shall immediately disclose said conflict and file a written statement of disqualification with their department head or the Purchasing Agent and shall withdraw from further participation in the transaction.
- (3) County employees involved directly or indirectly in the procurement process shall not become contemporaneous employees of any person or organization with whom the county is contracting.
- (4) The Financial and Administrative Committee may grant a waiver from the employee conflict of interest provision (Section 11-104(2); Employee Conflict of Interest) or the contemporaneous employment provision (Section 11-104(3); Contemporaneous Employment Prohibited) upon making a written determination that:
  - (a) the contemporaneous employment or financial interest of the County employee has been publicly disclosed;
  - (b) the County employee will be able to perform his/her procurement functions without actual or apparent bias or favoritism; and
  - (c) the award will be in the best interests of the County.

The Lake County Purchasing Ordinance defines the conflict of interest as it relates to the employee's immediate family. The term immediate family is defined by Lake County's Ethics Ordinance (last amended May 9, 2017) as spouse, son, daughter, parent-in-law, or parent.

### Comparative Research:

The research conducted by Purchasing staff included contacting collar counties and review of publicly available disclosure forms. Findings of the research conducted to date are summarized in the table below.

	Political Campaign Contribution Disclosure	Familial Relationship Disclosure	Disclosure Form Required of Vendor	Disclosure Required by Employee	Exemptions from Vendor Disclosure
Lake County	No	Yes	No	Yes	
Cook County	No	Yes	Yes	Yes	
DuPage County	Yes	No	Yes	Yes	
Kane County	No	Yes	No	Yes	
McHenry County	No	Yes	No	Yes	
Will County	No	Yes	No	Yes	
State of Alabama	No	Yes	Yes	Yes	
Gross Ile Township Schools, MI	No	Yes	Yes	Yes	
St. Clair County Regional Office of Education, MI	No	Yes	Yes	Yes	
City of Lubbock, TX	No	Yes	Yes	Yes	publicly traded companies, institutions of higher education, state agencies, and electric and gas utilities

Based on the initial research, the following options have been identified regarding vendor disclosure practices:

Maintain Current Practices	<b>Enhance requirement for employee identification of familial connection with a vendor by:</b> <ul style="list-style-type: none"> <li>• Offer additional education for and training of staff throughout the bid and RFP process about the existing section of the Procurement Ordinance;</li> <li>• Amend the existing RFP Confidentiality Statement that all staff who serve as evaluators in the vendor selection process must sign to include language from the ethics section of the Procurement Ordinance to the existing RFP Confidentiality Statement.</li> </ul>
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Amend Current Practices	<b>Amend the Ethics and Procurement Ordinances</b> <ul style="list-style-type: none"> <li>• Require vendor disclosure of familial relationships through a vendor disclosure form with public procurements.</li> <li>• Require vendor disclosure of campaign contributions through a vendor disclosure form with public procurements</li> </ul> <b>Electronic Disclosure Submission and Access</b> <ul style="list-style-type: none"> <li>• Review technology options which enable the electronic filing of and electronic public access to vendor disclosures and return to Committee with information, cost estimates and potential timelines following additional research.</li> </ul>
Continue Research of Options and Models	<ul style="list-style-type: none"> <li>• Continue to research models and options pertaining to vendor disclosure of familial relationships and campaign contributions</li> </ul>

**Attachments:**

- Lake County's existing RFP Confidentiality Declaration form
- Sample Disclosure forms from other entities



**CONFIDENTIALITY DECLARATION OF**

RFP 18XXX – Name of RFP

1. I agree to notify the Procurement Agent in charge of the above-referenced solicitation if, at any time during this evaluation process, there is any change in circumstance that necessitates a change to the foregoing declarations;
2. I will preserve the confidentiality of any documents I receive in connection with the solicitation evaluation. As a participant in the solicitation evaluation, I will maintain the confidentiality of these documents during and after the solicitation evaluation process. I acknowledge that release of confidential information may lead to disciplinary action against me for making improper use of confidential material released by me. Furthermore, if applicable I agree to return the confidential documents to the Procurement Officer in charge of this solicitation at the end of the evaluation process so that the material can be disposed of in a proper manner; and
3. In participating in the solicitation evaluation, I will follow the “Evaluation Guidelines” Attached hereto

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Evaluator’s Signature:

Date

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Evaluator’s Printed Name:

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Evaluator’s Job Title:

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**PLEASE RETURN COMPLETED FORM TO:  
SBrines2@LAKECOUNTYIL.GOV**

## Evaluation Guidelines

Thank you for serving in this evaluation process. The evaluation is an essential part of the selection process leading to the award of a contract. Following is a list of items to assist you in your role as an evaluator. We hope you enjoy this experience!

Do	Don't
<ul style="list-style-type: none"><li>• Secure your offers for evaluation - these are confidential.</li><li>• Read each offer carefully.</li><li>• Evaluate in accord with the established criteria, qualification requirements, etc.</li><li>• Be sure you do not have any conflict of interest.</li><li>• Follow the numerical scoring system if applicable.</li><li>• Have a reasonable, rational, and consistent basis for your scores.</li><li>• Exercise independent judgment.</li><li>• Be on time and focused for evaluation team meetings.</li><li>• Follow through on your duties - meet time commitments and meeting schedules.</li><li>• Record legible comments on why points are awarded or not awarded.</li><li>• Direct questions from suppliers to the Procurement Officer.</li><li>• Ask questions at team meetings for clarification.</li></ul>	<ul style="list-style-type: none"><li>• Discuss the offer with others who are not a part of the evaluation process.</li><li>• Discuss the offer with team members outside of the evaluation process.</li><li>• Have any contact with offerers outside of the formal evaluation processes</li><li>• Disclose any information to anyone except members of your evaluation team or others approved to be included in the evaluation process.</li><li>• Reveal "confidential" information even after award.</li><li>• Conduct independent reference checks.</li><li>• Have pre-determined attitudes or opinions.</li></ul>

**Please Note: All offers are confidential information**



## COOK COUNTY BOARD OF ETHICS

69 W. WASHINGTON STREET, SUITE 3040

CHICAGO, ILLINOIS 60602

312/603-4304 Office 312/603-9988 Fax

### FAMILIAL RELATIONSHIP DISCLOSURE PROVISION

#### **Nepotism Disclosure Requirement:**

Doing a significant amount of business with the County requires that you disclose to the Board of Ethics the existence of any familial relationships with any County employee or any person holding elective office in the State of Illinois, the County, or in any municipality within the County. The Ethics Ordinance defines a significant amount of business for the purpose of this disclosure requirement as more than \$25,000 in aggregate County leases, contracts, purchases or sales in any calendar year.

If you are unsure of whether the business you do with the County or a County agency will cross this threshold, err on the side of caution by completing the attached familial disclosure form because, among other potential penalties, any person found guilty of failing to make a required disclosure or knowingly filing a false, misleading, or incomplete disclosure will be prohibited from doing any business with the County for a period of three years. The required disclosure should be filed with the Board of Ethics by January 1 of each calendar year in which you are doing business with the County and again with each bid/proposal/quotation to do business with Cook County. The Board of Ethics may assess a late filing fee of \$100 per day after an initial 30-day grace period.

The person that is doing business with the County must disclose his or her familial relationships. If the person on the County lease or contract or purchasing from or selling to the County is a business entity, then the business entity must disclose the familial relationships of the individuals who are and, during the year prior to doing business with the County, were:

- its board of directors,
- its officers,
- its employees or independent contractors responsible for the general administration of the entity,
- its agents authorized to execute documents on behalf of the entity, and
- its employees who directly engage or engaged in doing work with the County on behalf of the entity.

Do not hesitate to contact the Board of Ethics at (312) 603-4304 for assistance in determining the scope of any required familial relationship disclosure.

#### **Additional Definitions:**

*"Familial relationship"* means a person who is a spouse, domestic partner or civil union partner of a County employee or State, County or municipal official, or any person who is related to such an employee or official, whether by blood, marriage or adoption, as a:

- |           |                   |                |
|-----------|-------------------|----------------|
| ▪ Parent  | ▪ Grandparent     | ▪ Stepfather   |
| ▪ Child   | ▪ Grandchild      | ▪ Stepmother   |
| ▪ Brother | ▪ Father-in-law   | ▪ Stepson      |
| ▪ Sister  | ▪ Mother-in-law   | ▪ Stepdaughter |
| ▪ Aunt    | ▪ Son-in-law      | ▪ Stepbrother  |
| ▪ Uncle   | ▪ Daughter-in-law | ▪ Stepsister   |
| ▪ Niece   | ▪ Brother-in-law  | ▪ Half-brother |
| ▪ Nephew  | ▪ Sister-in-law   | ▪ Half-sister  |

**COOK COUNTY BOARD OF ETHICS  
FAMILIAL RELATIONSHIP DISCLOSURE FORM**

**A. PERSON DOING OR SEEKING TO DO BUSINESS WITH THE COUNTY**

Name of Person Doing Business with the County: \_\_\_\_\_

Address of Person Doing Business with the County: \_\_\_\_\_

Phone number of Person Doing Business with the County: \_\_\_\_\_

Email address of Person Doing Business with the County: \_\_\_\_\_

If Person Doing Business with the County is a Business Entity, provide the name, title and contact information for the individual completing this disclosure on behalf of the Person Doing Business with the County: \_\_\_\_\_

**B. DESCRIPTION OF BUSINESS WITH THE COUNTY**

*Append additional pages as needed and for each County lease, contract, purchase or sale sought and/or obtained during the calendar year of this disclosure (or the proceeding calendar year if disclosure is made on January 1), identify:*

The lease number, contract number, purchase order number, request for proposal number and/or request for qualification number associated with the business you are doing or seeking to do with the County: \_\_\_\_\_

The aggregate dollar value of the business you are doing or seeking to do with the County: \$ \_\_\_\_\_

The name, title and contact information for the County official(s) or employee(s) involved in negotiating the business you are doing or seeking to do with the County: \_\_\_\_\_

The name, title and contact information for the County official(s) or employee(s) involved in managing the business you are doing or seeking to do with the County: \_\_\_\_\_

**C. DISCLOSURE OF FAMILIAL RELATIONSHIPS WITH COUNTY EMPLOYEES OR STATE, COUNTY OR MUNICIPAL ELECTED OFFICIALS**

*Check the box that applies and provide related information where needed*

☐

The Person Doing Business with the County **is an individual** and there is **no familial relationship** between this individual and any Cook County employee or any person holding elective office in the State of Illinois, Cook County, or any municipality within Cook County.

☐

The Person Doing Business with the County **is a business entity** and there is **no familial relationship** between any member of this business entity's board of directors, officers, persons responsible for general administration of the business entity, agents authorized to execute documents on behalf of the business entity or employees directly engaged in contractual work with the County on behalf of the business entity, on the one hand, and any Cook County employee or any person holding elective office in the State of Illinois, Cook County, or any municipality within Cook County, on the other.



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The Person Doing Business with the County **is an individual** and **there is a familial relationship** between this individual and at least one Cook County employee and/or a person or persons holding elective office in the State of Illinois, Cook County, and/or any municipality within Cook County. **The familial relationships are as follows:**

Name of Individual Doing Business with the County	Name of Related County Employee or State, County or Municipal Elected Official	Title and Position of Related County Employee or State, County or Municipal Elected Official	Nature of Familial Relationship*
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

*If more space is needed, attach an additional sheet following the above format.*

☐

The Person Doing Business with the County **is a business entity** and **there is a familial relationship** between at least one member of this business entity's board of directors, officers, persons responsible for general administration of the business entity, agents authorized to execute documents on behalf of the business entity and/or employees directly engaged in contractual work with the County on behalf of the business entity, on the one hand, and at least one Cook County employee and/or a person holding elective office in the State of Illinois, Cook County, and/or any municipality within Cook County, on the other. **The familial relationships are as follows:**

Name of Member of Board of Director for Business Entity Doing Business with the County	Name of Related County Employee or State, County or Municipal Elected Official	Title and Position of Related County Employee or State, County or Municipal Elected Official	Nature of Familial Relationship*
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

Name of Officer for Business Entity Doing Business with the County	Name of Related County Employee or State, County or Municipal Elected Official	Title and Position of Related County Employee or State, County or Municipal Elected Official	Nature of Familial Relationship*
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

Name of Person Responsible for the General Administration of the Business Entity Doing Business with the County	Name of Related County Employee or State, County or Municipal Elected Official	Title and Position of Related County Employee or State, County or Municipal Elected Official	Nature of Familial Relationship*
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

Name of Agent Authorized to Execute Documents for Business Entity Doing Business with the County	Name of Related County Employee or State, County or Municipal Elected Official	Title and Position of Related County Employee or State, County or Municipal Elected Official	Nature of Familial Relationship*
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_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

Name of Employee of Business Entity Directly Engaged in Doing Business with the County	Name of Related County Employee or State, County or Municipal Elected Official	Title and Position of Related County Employee or State, County or Municipal Elected Official	Nature of Familial Relationship*
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_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

*If more space is needed, attach an additional sheet following the above format.*

**VERIFICATION:** To the best of my knowledge, the information I have provided on this disclosure form is accurate and complete. I acknowledge that an inaccurate or incomplete disclosure is punishable by law, including but not limited to fines and debarment.

\_\_\_\_\_  
Signature of Recipient

\_\_\_\_\_  
Date

**SUBMIT COMPLETED FORM TO:**

Cook County Board of Ethics  
69 West Washington Street, Suite 3040, Chicago, Illinois 60602  
Office (312) 603-4304 – Fax (312) 603-9988  
CookCounty.Ethics@cookcountyil.gov

\_\_\_\_\_  
\* Spouse, domestic partner, civil union partner or parent, child, sibling, aunt, uncle, niece, nephew, grandparent or grandchild by blood, marriage (*i.e.* in laws and step relations) or adoption.



## Required Vendor Disclosure Statement

Company Name:			
Company Contact:		Contact Phone:	
Bid/Contract/ PO:			

The DuPage County Procurement Ordinance requires the following written disclosures prior to award:

1. Every contractor, union, or vendor that is seeking or has previously obtained a contract, change orders to one (1) or more contracts, or two (2) or more individual contracts with the county resulting in an aggregate amount at or in excess **\$25,000**, shall provide to Procurement Services Division a written disclosure of all political campaign contributions made by such contractor, union, or vendor within the current and previous calendar year to any incumbent county board member, county board chairman, or countywide elected official whose office the contract to be awarded will benefit. The contractor, union or vendor shall update such disclosure annually during the term of a multi-year contract and prior to any change order or renewal requiring approval by the county board. For purposes of this disclosure requirement, "contractor or vendor" includes owners, officers, managers, lobbyists, agents, consultants, bond counsel and underwriters counsel, subcontractors and corporate entities under the control of the contracting person, and political action committees to which the contracting person has made contributions.

I have made the following campaign contributions within the current and previous calendar year:

If no contributions have been made enter "NONE" below:

Recipient	Donor	Description (e.g., cash, type of item, in-kind service, etc.)	Amount/Value	Date Made

Attach additional sheets if necessary. Sign each added sheet and number each page \_\_\_ (#) of \_\_\_ (total pages).

2. All contractors and vendors who have obtained or are seeking contracts with the county shall disclose the names and contact information of their lobbyists, agents and representatives and all individuals who are or will be having contact with county officers or employees in relation to the contract or bid and shall update such disclosure with any changes that may occur.

Lobbyists, Agents And Representatives And All Individuals Who Are Or Will Be Having Contact With County Officers Or Employees In Relation To The Contract Or Bid	Telephone	Email

A contractor or vendor that knowingly violates these disclosure requirements is subject to penalties which may include, but are not limited to, the immediate cancellation of the contract and possible disbarment from future county contracts.

Continuing disclosure is required, and I agree to update this disclosure form as follows:

- If information changes, within five (5) days of change, or prior to county action, whichever is sooner
- 30 days prior to the optional renewal of any contract
- Annual disclosure for multi-year contracts on the anniversary of said contract
- With any request for change order except those issued by the county for administrative adjustments.

The full text of the county's ethics and procurement policies and ordinances are available at <http://www.dupageco.org/CountyBoard/Policies/>

I hereby acknowledge that I have received, have read, and understand these requirements.

Authorized Signature

Printed Name

Title

Date

Page 1 of

Failure to complete and return this form may result in delay or cancellation of the County's Contractual Obligation.



# State of Alabama Disclosure Statement

(Required by Act 2001-955)

ENTITY COMPLETING FORM

ADDRESS

CITY, STATE, ZIP

TELEPHONE NUMBER

( )

STATE AGENCY/DEPARTMENT THAT WILL RECEIVE GOODS, SERVICES, OR IS RESPONSIBLE FOR GRANT AWARD

ADDRESS

CITY, STATE, ZIP

TELEPHONE NUMBER

( )

This form is provided with:

☐

Contract

☐

Proposal

☐

Request for Proposal

☐

Invitation to Bid

☐

Grant Proposal

Have you or any of your partners, divisions, or any related business units previously performed work or provided goods to any State Agency/Department in the current or last fiscal year?

☐

Yes

☐

No

If yes, identify below the State Agency/Department that received the goods or services, the type(s) of goods or services previously provided, and the amount received for the provision of such goods or services.

STATE AGENCY/DEPARTMENT	TYPE OF GOODS/SERVICES	AMOUNT RECEIVED
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Have you or any of your partners, divisions, or any related business units previously applied and received any grants from any State Agency/Department in the current or last fiscal year?

☐

Yes

☐

No

If yes, identify the State Agency/Department that awarded the grant, the date such grant was awarded, and the amount of the grant.

STATE AGENCY/DEPARTMENT	DATE GRANT AWARDED	AMOUNT OF GRANT
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1. List below the name(s) and address(es) of all public officials/public employees with whom you, members of your immediate family, or any of your employees have a family relationship and who may directly personally benefit financially from the proposed transaction. Identify the State Department/Agency for which the public officials/public employees work. (Attach additional sheets if necessary.)

NAME OF PUBLIC OFFICIAL/EMPLOYEE	ADDRESS	STATE DEPARTMENT/AGENCY
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## **Vendor Disclosure Statement Information and Instructions**

Act 2001-955 requires the disclosure statement to be completed and filed with all proposals, bids, contracts, or grant proposals to the State of Alabama in excess of \$5,000. The disclosure statement is not required for contracts for gas, water, and electric services where no competition exists, or where rates are fixed by law or ordinance. In circumstances where a contract is awarded by competitive bid, the disclosure statement shall be required only from the person receiving the contract and shall be submitted within ten (10) days of the award.

A copy of the disclosure statement shall be filed with the awarding entity and the Department of Examiners of Public Accounts and if it pertains to a state contract, a copy shall be submitted to the Contract Review Permanent Legislative Oversight Committee. The address for the Department of Examiners of Public Accounts is as follows: 50 N. Ripley Street, Room 3201, Montgomery, Alabama 36130-2101. If the disclosure statement is filed with a contract, the awarding entity should include a copy with the contract when it is presented to the Contract Review Permanent Legislative Oversight Committee.

The State of Alabama shall not enter into any contract or appropriate any public funds with any person who refuses to provide information required by Act 2001-955.

Pursuant to Act 2001-955, any person who knowingly provides misleading or incorrect information on the disclosure statement shall be subject to a civil penalty of ten percent (10%) of the amount of the transaction, not to exceed \$10,000.00. Also, the contract or grant shall be voidable by the awarding entity.

### **Definitions as Provided in Act 2001-955**

**Family Member of a Public Employee** - The spouse or a dependent of the public employee.

**Family Member of a Public Official** - The spouse, a dependent, an adult child and his or her spouse, a parent, a spouse's parents, a sibling and his or her spouse, of the public official.

**Family Relationship** - A person has a family relationship with a public official or public employee if the person is a family member of the public official or public employee.

**Person** - An individual, firm, partnership, association, joint venture, cooperative, or corporation, or any other group or combination acting in concert.

**Public Official and Public Employee** - These terms shall have the same meanings ascribed to them in Sections 36-25-1(23) and 36-25-1(24), Code of Alabama 1975, (see below) except for the purposes of the disclosure requirements of this act, the terms shall only include persons in a position to influence the awarding of a grant or contract who are affiliated with the awarding entity. Notwithstanding the foregoing, these terms shall also include the Governor, Lieutenant Governor, members of the cabinet of the Governor, and members of the Legislature.

Section 36-25-1(23), Code of Alabama 1975, defines a public employee as any person employed at the state, county or municipal level of government or their instrumentalities, including governmental corporations and authorities, but excluding employees of hospitals or other health care corporations including contract employees of those hospitals or other health care corporations, who is paid in whole or in part from state, county, or municipal funds. For purposes of this chapter, a public employee does not include a person employed on a part-time basis whose employment is limited to providing professional services other than lobbying, the compensation for which constitutes less than 50 percent of the part-time employee's income.

Section 36-25-1(24), Code of Alabama 1975, defines a public official as any person elected to public office, whether or not that person has taken office, by the vote of the people at state, county, or municipal level of government or their instrumentalities, including governmental corporations, and any person appointed to a position at the state, county, or municipal level of government or their instrumentalities, including governmental corporations. For purposes of this chapter, a public official includes the chairs and vice-chairs or the equivalent offices of each state political party as defined in Section 17-16-2, Code of Alabama 1975.

### **Instructions**

Complete all lines as indicated. If an item does not apply, denote N/A (not applicable). If you cannot include required information in the space provided, attach additional sheets as necessary.

The form must be signed, dated, and notarized prior to submission.

2. List below the name(s) and address(es) of all family members of public officials/public employees with whom you, members of your immediate family, or any of your employees have a family relationship and who may directly personally benefit financially from the proposed transaction. Identify the public officials/public employees and State Department/Agency for which the public officials/public employees work. (Attach additional sheets if necessary.)

NAME OF FAMILY MEMBER	ADDRESS	NAME OF PUBLIC OFFICIAL/ PUBLIC EMPLOYEE	STATE DEPARTMENT/ AGENCY WHERE EMPLOYED

If you identified individuals in items one and/or two above, describe in detail below the direct financial benefit to be gained by the public officials, public employees, and/or their family members as the result of the contract, proposal, request for proposal, invitation to bid, or grant proposal. (Attach additional sheets if necessary.)

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Describe in detail below any indirect financial benefits to be gained by any public official, public employee, and/or family members of the public official or public employee as the result of the contract, proposal, request for proposal, invitation to bid, or grant proposal. (Attach additional sheets if necessary.)

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List below the name(s) and address(es) of all paid consultants and/or lobbyists utilized to obtain the contract, proposal, request for proposal, invitation to bid, or grant proposal:

NAME OF PAID CONSULTANT/LOBBYIST	ADDRESS

***By signing below, I certify under oath and penalty of perjury that all statements on or attached to this form are true and correct to the best of my knowledge. I further understand that a civil penalty of ten percent (10%) of the amount of the transaction, not to exceed \$10,000.00, is applied for knowingly providing incorrect or misleading information.***

Signature	Date
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Notary's Signature	Date	Date Notary Expires
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*Act 2001-955 requires the disclosure statement to be completed and filed with all proposals, bids, contracts, or grant proposals to the State of Alabama in excess of \$5,000.*

## BID DISCLOSURE STATEMENT – FAMILIAL RELATIONSHIP

Pursuant to MCL 380.1267, a sworn and notarized statement disclosing any familial relationship that exists between the owner or any employee of the bidder and any member of Grosse Ile Township School Board or the Grosse Ile Township School Superintendent must be accompanied with the bid. **Bids without this disclosure statement will not be accepted.**

The members of the Grosse Ile Township Board are: \_\_\_\_\_, \_\_\_\_\_,  
\_\_\_\_\_, \_\_\_\_\_, \_\_\_\_\_, \_\_\_\_\_,  
\_\_\_\_\_

The Grosse Ile Township School Superintendent is: \_\_\_\_\_

☐ The following are the familial relationships:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

☐ There are no familial relationships.

STATE OF MICHIGAN                    )  
  ) ss  
COUNTY OF \_\_\_\_\_)

The undersigned, authorized representative of bidder (insert name) \_\_\_\_\_  
\_\_\_\_\_ does hereby acknowledge that bidder  
has read the foregoing disclosure statement and the statements herein contained are true.

\_\_\_\_\_  
Signature of Bidder Representative

\_\_\_\_\_  
Print Name

\_\_\_\_\_  
Title

Subscribed and sworn to before me this \_\_\_\_\_ day of \_\_\_\_\_, \_\_\_\_\_

\_\_\_\_\_  
Notary Public, \_\_\_\_\_ County, Michigan

My Commission expires: \_\_\_\_ / \_\_\_\_ / \_\_\_\_



REGIONAL EDUCATIONAL SERVICE AGENCY

499 Range Road, PO Box 1500  
Marysville, MI 48040  
(810) 364-8990 | (810) 364-7474 Fax  
www.sccresa.org

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## Disclosure Document - Affidavit of Vendor's Familial Relationship

The undersigned, the owner, authorized official, or board members of \_\_\_\_\_  
(the "Bidder"), pursuant to the disclosure requirement provided in the St. Clair County Regional Educational Service Agency ("RESA") request for proposal, hereby represent and warrant, except as provided below, that no familial or business relationship exists between the undersigned or any of its principals or employees and the identified members of RESA staff and any member of the RESA board of education (**members listed below**) or the superintendent of St. Clair County RESA, Kevin D. Miller, Ph.D.

**RESA board of education members:** Marshall J. Campbell, Michael P. McCartan, Harold J. Burns, Janet L. Clayton, and Jeffrey L. Wine.

Identified RESA staff members: \_\_\_\_\_  
\_\_\_\_\_

**List any familial/business relationships: use additional sheet if needed**  
**(This relationship does not remove you from consideration.)**

**Bidder:** \_\_\_\_\_

**By:** \_\_\_\_\_

**Its:** \_\_\_\_\_

STATE OF \_\_\_\_\_  
COUNTY OF \_\_\_\_\_

This instrument was acknowledged before me on the \_\_\_\_\_ day of \_\_\_\_\_ 20 \_\_\_\_\_,

\_\_\_\_\_  
(Print Name)

\_\_\_\_\_  
(Signature)

Notary Public Commission Expires: \_\_\_\_\_

Acting in the County of: \_\_\_\_\_

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# CONFLICT OF INTEREST QUESTIONNAIRE

For vendor doing business with local governmental entity

FORM CIQ

This questionnaire reflects changes made to the law by H.B. 23, 84th Leg., Regular Session.

This questionnaire is being filed in accordance with Chapter 176, Local Government Code, by a vendor who has a business relationship as defined by Section 176.001(1-a) with a local governmental entity and the vendor meets requirements under Section 176.006(a).

By law this questionnaire must be filed with the records administrator of the local governmental entity not later than the 7th business day after the date the vendor becomes aware of facts that require the statement to be filed. See Section 176.006(a-1), Local Government Code.

A vendor commits an offense if the vendor knowingly violates Section 176.006, Local Government Code. An offense under this section is a misdemeanor.

## OFFICE USE ONLY

Date Received

1 Name of vendor who has a business relationship with local governmental entity.

2 ☐ Check this box if you are filing an update to a previously filed questionnaire. (The law requires that you file an updated completed questionnaire with the appropriate filing authority not later than the 7th business day after the date on which you became aware that the originally filed questionnaire was incomplete or inaccurate.)

3 Name of local government officer about whom the information is being disclosed.

\_\_\_\_\_  
Name of Officer

4 Describe each employment or other business relationship with the local government officer, or a family member of the officer, as described by Section 176.003(a)(2)(A). Also describe any family relationship with the local government officer. Complete subparts A and B for each employment or business relationship described. Attach additional pages to this Form CIQ as necessary.

A. Is the local government officer or a family member of the officer receiving or likely to receive taxable income, other than investment income, from the vendor?

☐ Yes

☐ No

B. Is the vendor receiving or likely to receive taxable income, other than investment income, from or at the direction of the local government officer or a family member of the officer AND the taxable income is not received from the local governmental entity?

☐ Yes

☐ No

5 Describe each employment or business relationship that the vendor named in Section 1 maintains with a corporation or other business entity with respect to which the local government officer serves as an officer or director, or holds an ownership interest of one percent or more.

6 ☐ Check this box if the vendor has given the local government officer or a family member of the officer one or more gifts as described in Section 176.003(a)(2)(B), excluding gifts described in Section 176.003(a-1).

7

\_\_\_\_\_  
Signature of vendor doing business with the governmental entity

\_\_\_\_\_  
Date

## **CONFLICT OF INTEREST QUESTIONNAIRE**

### **For vendor doing business with local governmental entity**

A complete copy of Chapter 176 of the Local Government Code may be found at <http://www.statutes.legis.state.tx.us/Docs/LG/htm/LG.176.htm>. For easy reference, below are some of the sections cited on this form.

**Local Government Code § 176.001(1-a):** "Business relationship" means a connection between two or more parties based on commercial activity of one of the parties. The term does not include a connection based on:

- (A) a transaction that is subject to rate or fee regulation by a federal, state, or local governmental entity or an agency of a federal, state, or local governmental entity;
- (B) a transaction conducted at a price and subject to terms available to the public; or
- (C) a purchase or lease of goods or services from a person that is chartered by a state or federal agency and that is subject to regular examination by, and reporting to, that agency.

**Local Government Code § 176.003(a)(2)(A) and (B):**

- (a) A local government officer shall file a conflicts disclosure statement with respect to a vendor if:

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- (2) the vendor:

(A) has an employment or other business relationship with the local government officer or a family member of the officer that results in the officer or family member receiving taxable income, other than investment income, that exceeds \$2,500 during the 12-month period preceding the date that the officer becomes aware that

- (i) a contract between the local governmental entity and vendor has been executed;
- or

- (ii) the local governmental entity is considering entering into a contract with the vendor;

(B) has given to the local government officer or a family member of the officer one or more gifts that have an aggregate value of more than \$100 in the 12-month period preceding the date the officer becomes aware that:

- (i) a contract between the local governmental entity and vendor has been executed; or
- (ii) the local governmental entity is considering entering into a contract with the vendor.

**Local Government Code § 176.006(a) and (a-1)**

- (a) A vendor shall file a completed conflict of interest questionnaire if the vendor has a business relationship with a local governmental entity and:

(1) has an employment or other business relationship with a local government officer of that local governmental entity, or a family member of the officer, described by Section 176.003(a)(2)(A);

(2) has given a local government officer of that local governmental entity, or a family member of the officer, one or more gifts with the aggregate value specified by Section 176.003(a)(2)(B), excluding any gift described by Section 176.003(a-1); or

(3) has a family relationship with a local government officer of that local governmental entity.

- (a-1) The completed conflict of interest questionnaire must be filed with the appropriate records administrator not later than the seventh business day after the later of:

- (1) the date that the vendor:

(A) begins discussions or negotiations to enter into a contract with the local governmental entity; or

(B) submits to the local governmental entity an application, response to a request for proposals or bids, correspondence, or another writing related to a potential contract with the local governmental entity; or

- (2) the date the vendor becomes aware:

(A) of an employment or other business relationship with a local government officer, or a family member of the officer, described by Subsection (a);

(B) that the vendor has given one or more gifts described by Subsection (a); or

(C) of a family relationship with a local government officer.