

Attachment 4
CERTIFICATION/DISCLOSURE LETTER

Alterations to this document are prohibited.

[Date]

Steve Dawson, Issuing Officer
Office of the Chief Information Officer
200 E. Grand Ave.
Des Moines, IA 50309
steve.dawson@iowa.gov

Re: RFP #0720-701-01 — PROPOSAL CERTIFICATIONS

Dear Mr. Dawson:

I certify that the contents of the Proposal submitted on behalf of [Name of Respondent] _____ (Respondent) in response to the **Iowa Department of Revenue** (“Agency”) for **RFP #0720-701-01** for IV&V Services are true and accurate. I also certify that Respondent has not knowingly made any false statements in its Proposal.

Part I — Certification of Independence

I certify that I am a representative of Respondent expressly authorized to make the following certifications on behalf of Respondent. By submitting a Proposal in response to the RFP, I certify on behalf of Respondent the following:

1. The Proposal has been developed independently, without consultation, communication, or agreement with any employee or consultant to the Agency or with any person serving as a member of the evaluation committee.
2. The Proposal has been developed independently, without consultation, communication, or agreement with any other Respondent or parties for the purpose of restricting competition.
3. Unless otherwise required by law, the information found in the Proposal has not been and will not be knowingly disclosed, directly or indirectly, prior to Agency's issuance of the Notice of Intent to Award the Contract.
4. No attempt has been made or should be made by Respondent to induce any other Respondent to submit or not to submit a Proposal for the purpose of restricting competition.
5. No relationship exists or will exist during the Contract period between Respondent and the Agency or any other State agency that interferes with fair competition or constitutes a conflict of interest.

Part II — Certification Regarding Registration, Collection, and Remission of Sales and Use Tax

Pursuant to Iowa Code sections 423.2 and 423.5, a retailer in Iowa or a retailer maintaining a business in Iowa that enters into a contract with a State agency must register, collect, and remit Iowa sales tax and Iowa use tax levied under Iowa Code chapter 423 on all sales of tangible personal property, specified digital products, and enumerated services. The Code also requires Respondents to certify their compliance with sales tax registration, collection, and remission requirements and provides potential consequences if the certification is false or fraudulent.

By submitting a Proposal in response to the (RFP), Respondent certifies the following (check the applicable box):

- Respondent is registered with the Agency, collects, and remits Iowa sales and use taxes as required by Iowa Code chapter 423; or
- Respondent is not a “retailer” or a “retailer maintaining a place of business in this State” as those terms are defined in Iowa Code subsections 423.1(47) and (48).

Part III — Certification/Disclosure of Criminal, Regulatory, and Performance Background

The undersigned hereby certifies that, to the best of their knowledge, neither Respondent nor any of its principals, officers, directors, shareholders, partners and managerial and supervisory personnel who should be involved in the performance of the Contract [check all applicable boxes]:

- are presently or have been debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by a federal agency or State agency;
- have within a three (3) year period preceding this Proposal been convicted of, or had a civil judgment rendered against them for:
 - commission of fraud, a criminal offense in connection with obtaining, attempting to obtain, or performing a public (federal, state, or local) transaction or contract under a public transaction, violation of antitrust statutes, etc.;
 - commission of embezzlement, theft, forgery, falsification or destruction of records, making false statements, or receiving stolen property, etc.;
- are presently indicted for or criminally or civilly charged by a government entity (federal, state, or local) with the commission of any of the offenses enumerated in this certification;
- have, within a three (3) year period preceding this Proposal, had one or more public transactions (federal, state, or local) terminated for cause;
- have had any damages or penalties assessed against or dispute resolution settlements entered into by Respondent under any existing or past contracts for goods and/or services similar to those sought pursuant to the RFP.
- are presently involved in any litigation or threatened litigation, administrative or regulatory proceedings, or similar matters.
- are the subject of any past or current litigation, findings in any past litigation, or findings of noncompliance under federal or state law that may impact in any way its ability to fulfill the requirements and specifications sought pursuant to the RFP.

If you were unable to check any of the above boxes, provide additional information about the circumstances surrounding your inability to check the applicable box in the space provided below. Include additional pages with further explanation if the space provided below is not sufficient.

Part IV — Certification/Disclosure of Financial Condition

The undersigned hereby certifies that [check all applicable boxes/supply all requested information]:

- Respondent is in sound financial condition and, if applicable, has received an unqualified audit opinion for the latest audit of its financial statements.
Date of latest audit: _____
- Respondent has no outstanding liabilities, including tax and judgment liens, to the Internal Revenue Service or any other government entity.
- Respondent is current in all amounts due for payments of federal and state taxes required.
- Respondent has not, in the last three (3) years, undergone a sale or change of control of Respondent, including its business or substantially all its assets.

If you were unable to check any of the above boxes, provide additional information about the circumstances surrounding your inability to check the applicable box in the space provided below. Include additional pages with further explanation if the space provided below is not sufficient. Additionally, if your answers are based on any information of or related to any companies acquired by Respondent in the last three (3) years, include a description of how those companies' financial histories/stability have been incorporated into your above certifications, and describe how any liabilities you may have incurred in connection with any acquisition affect your company's overall financial stability.

These certifications/disclosures are a material representation of fact upon which the Agency has relied upon in determining which Respondent to award a Contract and in entering into a subsequent Contract. If it is later determined that Respondent knowingly rendered an erroneous certification or provided false, misleading, or incorrect information in this certification/disclosure, in addition to other remedies available, the Agency may reject the Proposal, declare Respondent's Proposal or resulting Contract void,

terminate any subsequent Contract, or pursue available remedies including suspension, debarment, or damages for breach of contract.

The above certifications/disclosures are a continuing requirement of Respondent. Respondent shall provide written notification to the Agency of any such matter commencing or occurring after submission of a Proposal, and with respect to the successful Respondent, following execution of the Contract.

The Agency reserves the right to perform a criminal history check and background investigation(s) of Respondent, its officers, directors, shareholders, partners, and managerial and supervisory personnel who should be involved in the performance of the Contract in verifying the accuracy of the contents of this certification/disclosure and in determining whether Respondent is a Responsible Respondent. Failure to provide full or accurate information may result in disqualification.

Signature

Date

Printed Name

Title

[This Certification must be signed by an individual authorized to speak for/bind Respondent]