

**ITN 21-0017 UCaaS and CCaaS  
Attachment A: Vendor Certification Form**

| Vendor Contact Information   |  |              |  |
|------------------------------|--|--------------|--|
| Vendor Name:                 |  |              |  |
| Vendor Mailing Address:      |  |              |  |
| City, State, Zip:            |  |              |  |
| Primary & Alternate Contacts |  |              |  |
| Primary Contact Person:      |  |              |  |
| E-Mail Address:              |  |              |  |
| Telephone:                   |  | Cell Number: |  |
| Alternate Contact Person:    |  |              |  |
| E-Mail Address:              |  |              |  |
| Telephone:                   |  | Cell Number: |  |
| Vendor Diversity Information |  |              |  |

On a voluntary basis, Vendors may check (X) the appropriate box(es) below to declare their diversity status. If declaring as a VBE or MBE below, provide the current certification from the applicable governmental entity (federal, state or local).

| Category & Description                                                                                                                                                                                                                                                                                 | Response                                                                                                                                             |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------|
| <u>Florida Business Enterprise (FBE)</u> . Vendor must have or maintain its primary corporate/home office in Florida.                                                                                                                                                                                  | Yes                                                                                                                                                  |
| <u>Florida Small Business Enterprise (FSBE)</u> . Vendor must have or maintain its primary corporate/home office in Florida and be a "small business" as defined by Section 288.703(6), Florida Statutes.                                                                                              | Yes                                                                                                                                                  |
| <u>Veteran Business Enterprise (VBE)</u> . Vendor must be a "certified veteran business enterprise" as defined by Section 295.187(3)(a), Florida Statutes, or have a comparable certification from another government entity (federal, state or local).                                                | Yes                                                                                                                                                  |
| <u>Minority Business Enterprise (MBE)</u> . Vendor must be a "certified minority business enterprise" as defined by Section 288.703(1), Florida Statutes, or have a comparable certification from another government entity (federal, state or local).<br><i>If applicable, select all that apply:</i> | <div align="center"> African American<br/><br/> Asian American<br/><br/> Hispanic American<br/><br/> Native American<br/><br/> American Woman </div> |

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**Conflicts of Interest**

Vendors must disclose whether they have any current or reasonably foreseeable conflict of interest involving Citizens by responding to each of the six statements in the boxes below.

- Select 'Yes' if a Potential Conflict of Interest exists or if you are uncertain whether a particular circumstance constitutes a Potential Conflict of Interest. ***If 'Yes' is selected, you must provide an explanation on a separate document and attach it to this form.***
- Select 'No' if a Potential Conflict of Interest does not exist.
- Select 'None Known' **only if** (i) it is unduly burdensome to discover the correct response for reasons such as Vendor's workforce is so large that it is unreasonable to ascertain whether any Potential Conflict of Interest exist, and (ii) you in fact have no knowledge of any Potential Conflict of Interest. ***If 'None Known' is selected, you must provide an explanation on a separate document and attach it to this form (the explanation must describe why it is unduly burdensome to answer Yes or No).***

| Potential Conflict of Interest                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                | Yes | No | None Known |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----|----|------------|
| 1. Employment by Vendor of a current Citizens employee or Board member, or Relative of a current Citizens employee or Board member.                                                                                                                                                                                                                                                                                                                                                                                                           |     |    |            |
| 2. Employment by Vendor of a former Citizens Senior Manager or Board member, or Relative of a former Citizens Senior Manager or Board member.                                                                                                                                                                                                                                                                                                                                                                                                 |     |    |            |
| 3. Direct or indirect ownership of Material Personal Financial interest in the Vendor by a Citizens employee, Board Member, or Relative of a Citizens employee or Board Member.                                                                                                                                                                                                                                                                                                                                                               |     |    |            |
| 4. A past, present, or foreseeable payment or provision of anything of value by Vendor to a Citizens employee, Board Member, or Relative of a Citizens employee or Board Member that could reasonably appear to influence the employee's or Board Member's official actions or judgement.                                                                                                                                                                                                                                                     |     |    |            |
| 5. An unfair competitive advantage exists in favor of Vendor with regard to a Citizens contract for which Vendor is competing. An unfair competitive advantage exists when the vendor competing for award of a contract obtained either: (i) access to information that is not available to the public and which would assist the vendor in obtaining the contract, or (ii) source selection information that is relevant to the contract but is not available to all competitors and that would assist the vendor in obtaining the contract. |     |    |            |
| 6. Vendor, through any affiliates, subsidiaries, or other ongoing business relationships, has a potential or actual conflict between services that may be provided by Vendor to Citizens and the activities of the affiliate, subsidiary, or ongoing business relationship.                                                                                                                                                                                                                                                                   |     |    |            |

**Definitions:**

**Relative** means father, mother, son, daughter, husband, wife, brother, sister, father-in-law, mother-in-law, son-in-law, or daughter-in-law.

**Senior Manager** means the President; a person employed as an executive who directly reports to the President; the Chief Internal Auditor; the Inspector General; and any other person designated by Florida law to be a Senior Manager of the corporation.

**Material Personal Financial Interest** in a Vendor means any position as owner, proprietor, manager, partner (active or silent), officer, director, shareholder or beneficiary of such Vendor. A material personal financial interest does not, in most instances, pertain to ownership of a limited number of shares in publicly held firms, shares owned through a mutual fund, or personal bank accounts. However, direct or indirect ownership of more than five (5) percent of the total assets or capital stock of a Vendor constitutes a material personal financial interest in such Vendor.

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**Responsible Vendor Review**

In accordance with Section 287.057, Florida Statutes, a contract pursuant to this Solicitation can only be awarded to a "responsible vendor." A responsible vendor means "a vendor who has the capability in all respects to fully perform the contract requirements and the integrity and reliability that will assure good faith performance." Section 287.012(25), Florida Statutes.

To assist in making this determination, Vendors responding to this Solicitation are required to fully and accurately answer each of the questions below. **For each "Yes" answer to questions 2.1 through 2.8, Vendors must provide a detailed written explanation and attach copies of any relevant documents cited in the explanation.** Answering "Yes" to questions 2.1 through 2.8 will not necessarily disqualify a Vendor from participating in this Solicitation. However, failure to provide additional information as requested by Citizens may disqualify a Vendor.

Citizens will base its determination of a Vendor's responsibility on: (a) information provided by Vendor in response to this form; (b) information provided elsewhere in a Vendor's response to the Solicitation (including financial information); and, (c) information obtained from independent research (including information Citizens obtains from the internet or from third parties).

Vendors shall provide immediate written notice to Citizens if, at any time prior to contract execution, a Vendor learns that the information provided in connection with this form was erroneous when submitted or has become erroneous by reason of changed circumstances.

Vendors must contact the Procurement Officer with any questions regarding this form.

1.1 Vendor's financial soundness will be evaluated separately as further described in the Solicitation.

**Within the last ten (10) years, in the State of Florida or any State or Federal jurisdiction has the Vendor or any of its officers, directors or owners:**

|     |                                                                                                                                                                                                                        |           |
|-----|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------|
| 2.1 | Been subject to a revocation, suspension, disbarment, administrative complaint, sanction, fine, adverse action, or disciplinary action relating to any business or professional permit, certification, and/or license? | Yes<br>No |
| 2.2 | Been suspended, debarred, or disqualified from any government contracting process or agreed to a voluntary exclusion from any government procurement process?                                                          | Yes<br>No |
| 2.3 | Been subject to a formal monitoring agreement or corrective action plan as part of a contract with a government entity?                                                                                                | Yes<br>No |
| 2.4 | Been subject to an indictment, administrative proceeding, civil action or judgment in connection with any government contract?                                                                                         | Yes<br>No |
| 2.5 | Had a government contract terminated for cause?                                                                                                                                                                        | Yes<br>No |
| 2.6 | Been convicted of a crime related to governmental or nongovernmental contracting?                                                                                                                                      | Yes<br>No |
| 2.7 | Been subject to a governmental investigation relating to alleged violation of any statutory or regulatory violation?                                                                                                   | Yes<br>No |

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|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 2.8                                                                                                                                                                                                                                                           | Had a judgment entered in a civil lawsuit based on an allegation of fraud?                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      | Yes<br><br>No                                                                                                                                                                                                                       |
| <b>Does the Vendor:</b>                                                                                                                                                                                                                                       |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |                                                                                                                                                                                                                                     |
| 3.1                                                                                                                                                                                                                                                           | Have the necessary organization, experience, accounting and operational controls, and professional and technical skills to meet its obligations under the proposed contract with Citizens, taking into consideration all existing commercial and governmental business commitments?                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             | Yes<br><br>No                                                                                                                                                                                                                       |
| 3.2                                                                                                                                                                                                                                                           | <p>Certify that it either: (1) is properly registered with the Florida Department of State (DOS) to transact business in Florida (provide document number); (2) will register with the DOS prior to entering into a contract resulting from this Solicitation; or, (3) is not and will not be required to register with the DOS?</p> <p>Florida Statutes provide that, under certain circumstances, a foreign (out of state) business entity may not need to obtain a Certificate of Authority from the DOS. If “(3)” is selected in response to the previous question, indicate the circumstance(s) that the Vendor is not required to register with the DOS: (a) the Vendor’s sales are made only through an independent contractors; (b) the Vendor’s sales are made only through interstate commerce; or, (c) the Vendor shall conduct an isolated transaction that is completed within 30 days and is not one in the course of repeated transactions of a like nature.</p> | <p>(1) Document #:<br/>_____</p> <p style="text-align: center;">(2)</p> <p style="text-align: center;">(3)</p> <p style="text-align: center;">(a)</p> <p style="text-align: center;">(b)</p> <p style="text-align: center;">(c)</p> |
| 3.3                                                                                                                                                                                                                                                           | Have a current SOC 2 Type 2 report? If Vendor does have a current report, Vendor will be expected to provide a copy of the report, as requested by Citizens, at a later point in the solicitation process.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      | Yes<br><br>No                                                                                                                                                                                                                       |
| 3.4                                                                                                                                                                                                                                                           | If the answer to 3.3 is No, have a current ISO 27001 attestation? If Vendor does have a current attestation, Vendor will be expected to provide a copy of the attestation, as requested by Citizens, at a later point in the solicitation process.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              | Yes<br><br>No                                                                                                                                                                                                                       |
| <b>If the answers to 3.3. and 3.4 are both No, Vendor may be required to complete Citizens IT Security Questionnaire, found on the last page of this attachment, and must submit the completed questionnaire as a part of Vendor’s solicitation response.</b> |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |                                                                                                                                                                                                                                     |
| <b>General Information:</b>                                                                                                                                                                                                                                   |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |                                                                                                                                                                                                                                     |
| 4.1                                                                                                                                                                                                                                                           | <p>USA Headquarters’ Address (if different than point of contact):</p> <p style="margin-left: 40px;">Street: _____</p> <p style="margin-left: 40px;">City / State / Zip: _____</p> <p>Year Founded (include mergers or acquisitions material to this date): _____</p> <p>Employer or Federal Identification Number (EIN / FEIN): _____</p> <p>DUNS Number - 9-digit identifier (leave blank if N/A): _____</p> <p>CAGE Code 5-digit identifier (leave blank if N/A): _____</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |                                                                                                                                                                                                                                     |
| 4.2                                                                                                                                                                                                                                                           | Do you have an active State Term Contract (STC), Alternate Contract Source (ACS) or General Services Administration (GSA) contract similar to the scope of services for this solicitation? If yes, provide an attachment with links to the contract(s).                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         | Yes<br><br>No                                                                                                                                                                                                                       |

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**Public Records**

All Vendor Proposals are subject to Florida public record laws. Citizens must disclose a requested record to the public with limited exceptions. Disclosure protections are restricted to information classified as confidential and/or exempt under Florida Statutes (Protected Records). Refer to Section 3.3 Public Records of the RFP for further guidance. **Select ONE of the below:**

|                                                                                                                                                                                                                                                                                                                                                                                             |  |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|
| Vendor <b>HAS NOT SUBMITTED</b> a redacted version of its Proposal. Therefore, Citizens may produce Vendor's full, complete, and non-redacted Proposal without notice to Vendor.                                                                                                                                                                                                            |  |
| Vendor asserts that a portion of its Proposal is confidential and/or exempt under Florida Public Records law. Therefore, Vendor <b>HAS SUBMITTED</b> a redacted version of its Proposal. This redacted version contains Vendor's entire Proposal. Vendor has only redacted the Protected Records. Citizens may produce this redacted version of Vendor's Proposal without notice to Vendor. |  |

**Authorized Representative Signature:** The statements and certifications in this Form must be signed by an authorized representative of the Vendor, named above, who has knowledge of Vendor's operations and personnel sufficient to in good faith provide necessary disclosures on behalf of the Vendor. **By affixing my signature to this form, I hereby state that (A) I am an authorized representative of the Vendor named above, (B) all of the information provided above is true and complete to the best of my knowledge, (C) I have read the entire solicitation and its attachments, and (D) my organization and its principals agree to abide by all of the terms and conditions of the solicitation.**

**Printed (Typed) Name:**

\_\_\_\_\_

**Title:**

\_\_\_\_\_

**Signature:**

\_\_\_\_\_

**Date:**

\_\_\_\_\_

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### Exhibit A: Solicitation IT Security Questionnaire

**Instructions:** If the answers to questions 3.3 and 3.4, of the Responsible Vendor Review Section of Attachment A are both 'No', Vendor is requested to complete the below Solicitation IT Security Questionnaire and submit the completed questionnaire as part of Vendor's solicitation response. This questionnaire will be reviewed by Citizens IT Security and Risk Office.

1. Provide a copy of your company's information security and data privacy policy, standards, and controls.
2. Provide a brief description of the industry standards or protocols (e.g., NIST 800-53) your company employs as a part of its information security and data privacy program.
3. Provide the name, title and contact information of the person who is responsible for information security and data privacy at your company.
4. Describe the nature of any data breach(es) for which statutory notice to impacted individuals was required, include the number of impacted individuals, and remediation efforts taken.
5. Describe your company's program to encrypt data.
6. Provide a description of how your company protects against unauthorized disclosures of data and to protect against malware.
7. Describe any open source, shareware, or freeware programs used by your company to deliver the services [or software].
8. Describe your company's process or procedure requiring company workers to report suspected or actual unauthorized access of data.
9. Describe the scope of the engagement and how often your company engages a third-party to validate your company's information security and data privacy program.
10. Describe your company's process or procedure to screen prospective and current workers and third parties (e.g., subcontractors).
11. Describe your company's process to ensure information security and data privacy controls as a part of the software development lifecycle.
12. Provide your company's business continuity / disaster recovery plan / business impact analysis and results for the most recent disaster recovery test.