

**TO: Members**

**FROM: Kerrie Stillman**  
**Executive Director**

**DATE: February 14, 2024**

**RE: Spending Authorization for E-Filing Call Center**

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With EFDMS fully operational in 2024, the Commission will be working with nearly 40,000 reporting individuals who have an annual filing requirement due July 1. A majority of filers (approximately 22,500) are local filers who were required, in past years, to file with their local Supervisors of Elections (SOE). Many local filers would contact their SOE's for assistance with their disclosure because that office was the filing location for their forms. This year, there will be more than 35,000 state and local employees and officials filing electronically for the first time and all Form 1 and Form 6 disclosures will be filed with the Commission.

As a part of implementing the customer service component of e-filing, we recognized the need for additional staffing to handle the call volume concerning any login issues and common Form 1 questions encountered in EFDMS. There are a few significant challenges the Commission faces in planning for customer service assistance: we do not have call volume metrics for local filers, we need staffing flexibility to know when we may need to add staff to meet demand, and we must acquire the technology required to handle major call volume increases for a partial year.

In December, the Commission worked with the Purchasing Office and General Counsel for the Office of Legislative Services to develop a Request for Information (RFI). The RFI was sent to 3 Florida companies for response. Based on the RFI process, we then sent an RFQ to the 3 companies.

Two companies submitted timely responses to the RFQ and interviews were scheduled with the RFQ review team that consisted of members of the Commission staff, as well as the CIO from the House, Senate, and the Office of Legislative Services. Prior to the scheduled interviews, one company withdrew.

The remaining company, Alight Solutions, (Alight) was interviewed by the team and then Steve and I engaged in additional conversations with Matthew Lahey, Alight's representative, regarding pricing and other details involved with the project. The RFI, RFQ, and Alight's responses are attached.

Alight's team is highly-skilled and experienced in implementing successful call centers. They currently have state contracts in Florida with the State Board of Administration and the Department of Management Services.

The review team is confident in Alight's ability to successfully implement the Call Center for e-filing, with 8 representatives located in Florida and 2 bi-lingual representatives located in Puerto Rico. Their team will also consist of a Project Manager to oversee the Call Center staff and technology required to implement the project.

Given the challenges associated with launching this year, coupled with limited time period for the contractual engagement and caliber of call center representatives required for the project, as well as the technical requirements, the total cost of our project based on a start date of April 8, 2024, and completion date of July 31, 2024, the total cost would be \$413,800. If we need to keep the 10 representatives until September 5, 2024, to account for the filing grace period, the expected cost would be \$533,800.

My spending authority is limited to \$10,000. I ask the Commission's approval make the expenditure, using carryforward funds, once we have fully negotiated contract details.

**REQUEST FOR INFORMATION**  
**RFI #947**  
**FOR**  
**THE FLORIDA LEGISLATURE**  
**CUSTOMER SERVICE CALL CENTER**

Responses to be received by the  
Florida Legislature  
Office of Legislative Services  
Purchasing Office

**At 3:00 p.m., December 4, 2023**

Name of Company \_\_\_\_\_

Address \_\_\_\_\_

City \_\_\_\_\_ State \_\_\_\_\_ Zip Code \_\_\_\_\_

Point of Contact \_\_\_\_\_

Title: \_\_\_\_\_

Telephone Number (\_\_\_\_\_) \_\_\_\_\_

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

Website URL: \_\_\_\_\_

## **TABLE OF CONTENTS**

<b><u>Section</u></b>	<b><u>Description</u></b>	<b><u>Page Number</u></b>
I.	Introduction	3
II.	Purpose	3
III.	RFI Coordinator	3
IV.	Questions and Answers	4
V.	Calendar of Events	4
VI.	Goal for Services	4
VII.	Response Requirements	6
VIII.	Response Submission	8
IX.	Presentations	8
X.	Changes to the RFI	8
XI.	Confidential, Proprietary or Trade Secret Information	8
XII.	Respondent Cost	9
XIII.	Special Accommodations	9



## **REQUEST FOR INFORMATION (RFI) #947 CUSTOMER SERVICE CALL CENTER**

### **I. INTRODUCTION**

The Florida Legislature (Legislature), Office of Legislative Services (OLS) on behalf of the Commission on Ethics (Commission) is issuing this Request for Information (RFI) to obtain industry information regarding a Customer Service Call Center (Call Center) that would field questions and inquiries regarding a new Electronic Financial Disclosure Management System (EFDMS) that now requires individuals to use an online filing system in lieu of the paper filing system. The EFDMS program is administered by the Commission and will be used by public officers and employees at the state and local level to file their required financial disclosure forms electronically. The Call Center will help users navigate the system, while working closely with Commission staff members.

This is an RFI as defined in section 287.012(22), *Florida Statutes*, for planning purposes only. This is not a competitive solicitation for offers and will not result in a contract. This RFI does not create any obligation on the part of the Commission.

### **II. PURPOSE**

The purpose of this RFI is to gather information, research information and to gain an understanding of the techniques, processes and methods related to the Call Center. A Vendor's response to the RFI is not an offer. Vendors submitting a response (Respondents) to the RFI are not prohibited from responding to any related subsequent solicitation.

The Commission may use responses to this RFI to prepare a competitive solicitation, a formal quote request and/or as the basis for any subsequent Vendor meetings.

### **III. RFI COORDINATOR**

The RFI Coordinator is the sole point of contact for information regarding this RFI from the date of release of the RFI until the RFI is closed, which will be notified to all Respondents.

All communication concerning this RFI must be directed **by email only** to the RFI Coordinator of the Office of Legislative Services (OLS) Purchasing Office listed below.

**Please do not contact the RFI Coordinator by phone.** There should be no oral communications with OLS or any legislative or Commission employee during the RFI process and any such oral communication will be considered unofficial and nonbinding on the Legislature or the Commission.

The RFP Coordinator is:  
Theresa Dollar  
Office of Legislative Services, Purchasing Office  
dollar.theresa@leg.state.fl.us

#### IV. QUESTIONS AND ANSWERS

Questions for additional information or clarification may be submitted in writing to the RFI Coordinator **by email only** and received no later than the deadline in the Calendar of Events, herein. Written answers to all questions will be provided by email to all Vendors as indicated in the Calendar of Events.

All questions shall indicate the following in the subject line of the email:

##### **QUESTIONS RFI 947 – Customer Service Call Center**

Questions must be submitted in the following format:

Question #	RFI Section #	Question

#### V. CALENDAR OF EVENTS

Listed below are the important actions and dates/times by which the actions must be taken or completed. All listed times are EST in Tallahassee, Florida. Any change or modification to this calendar, modifications to this RFI, or other important notices will be sent by email to all Vendors.

Date	Time	Action
November 17, 2023		Release of RFI
November 27, 2023	5:00PM	Questions Due
November 29, 2023		Anticipated date for responses to written questions
December 4, 2023	3:00PM	Responses Due

#### VI. GOALS FOR SERVICES

The Commission is seeking information regarding the selection and implementation for a Call Center that would provide timely, professional, efficient, and effective customer service to individuals who have questions about the Commission's new EFDMS process. The Call Center should be able to handle an influx of callers that will steadily increase as a filing deadline approaches. Call Center employees would not be located in the Commission office in Tallahassee and must be a Florida-based company.

The Call Center will provide services to the nearly 40,000 financial disclosure individual filers (Filers) in Florida, assisting Florida's public officers and employees so that they can timely file their required financial disclosure forms in the EFDMS.

Previously all Filers used a paper filing process for their financial disclosure form filing requirements with roughly 23,000 Filers filing *\*Form 1* and its related forms with the 67 local Supervisors of Elections in Florida, and roughly 2,600 Filers filing *\*Form 6*, including roughly another 14,000 Filers filing *Form 1*.

In 2023, *Form 6* Filers began filing electronically in EFDMS. It was a very smooth process and the system performed well. Commission staff members handled all disclosure related calls for the filing of *Form 6* and *Form 1* Filers. Commission staff members also handled calls from local Filers, although anecdotally, the local Supervisors of Elections fielded calls from local Filers in their counties.

Beginning in 2024, *all* Filers will be required to file electronically in the Commission's EFDMS. State and local *Form 1* Filers will register and file electronically in EFDMS for the first time and the local Supervisors of Elections will no longer play a role in the process.

Disclosure Filers include all state and local elected officials, some appointed officials at the state level and local level, as well as certain state and local employees. The Commission anticipates that a small number of Filers will primarily speak Spanish. Most disclosure Filers will be familiar with the paper process, having completed their disclosure forms in previous years.

\*A paper *Form 6* Full and Public Disclosure of Financial interests is included herein as Exhibit A, and *Form 1* Statement of Financial Interests, as well as form instructions are included herein as Exhibit B.

The Commission is requesting information about a Call Center solution for the (approximate) time period of April 2, 2024 through September 6, 2024, which will operate during traditional business hours, Monday-Friday (8:00am to 5:00pm EST), excluding holidays, providing professional, efficient, and effective telephone encounters for Filers who have questions about the Commission's EFDMS process, including but not limited to the following:

#### **Level 1 Calls - Basic**

- Why am I required to file this form?
- How do I log in?
  - Username/Password reset.
  - Record email address.
  - Registration invitations
- How to be removed from the list of persons required to file?

#### **Level 2 Calls - Intermediate**

- Questions about system navigation.
- Questions about how to upload pdf documents as a part of their disclosure form.
- Specific/basic questions about completing the CE *Form 1* Statement of Financial Interests.
  - Questions/Answers for issues addressed in instructions and FAQ
- Logging of Filer communications in EFDMS.

- Recording Filer issues and system issues in the Commission's ticketing system for follow up by Commission staff.

### **Level 3 Calls - Advanced**

- Routing complex calls to the staff of the Commission – any questions beyond e-form navigation and issues mentioned above.
  - Glitches/system abnormalities

Calls may take 10-12 minutes on average, start to finish (including calls logging into EFDMS, as well as the issue-tracking system, if follow-up is needed).

Notices of the filing requirement will be emailed to Filers in mid-April 2024. With the receipt of the filing requirement email, Filers will begin to call with questions. Inquiries related to the notices will likely trail off and then pick back up in mid-May 2024, and continue to increase throughout the month of June 2024. A majority of the forms are filed in the month of June. The Commission expects an increase in call volume when the notices go out, then the call volume should decrease until the beginning of June 2024 through July 1, 2024, when there is an average of 1,000 forms filed each weekday. The Commission does not have specific call volume data for the period from June 1 – July 1, but estimated call volumes average 100-200 calls per day during that time and increase the last week of June as the deadline approaches. These estimates do not reflect the increases in the number of calls expected now that all Filers will file in the Commission's EFDMS during 2024.

## **VII. RESPONSE REQUIREMENTS**

Please keep in mind that both technical and nontechnical staff at the Commission will be reviewing information submitted in response to this RFI. As such, please craft your responses in a plain, clear, and concise manner. Please organize responses as follows:

### **A. Company Information**

A completed and signed Contractor's Information Coversheet (page 1) of this RFI, including

1. Company Area(s) of Expertise
2. Length of time Company has been in existence including company ownership details
3. Company Business Model

### **B. Service Summary**

1. Provide a general description of the services available in the industry that are necessary for implementation.
2. Describe your services, and clearly identify all aspect of services for successful implementation.
3. Describe your process when removal/transfer of staff may be necessary.

4. Identify any business intelligence and reporting capabilities that are part of your services, and could be used to help us improve customer service to Filers.
5. Explain the requirements and responsibilities for the services to be fully functional and produce a successful outcome. Include a description of best practices used to train, implement, and maintain good customer service staff.
6. Explain the common outcomes as well as potential issues and concerns relating to your services that clients have experienced.
7. Provide examples of satisfied customers resulting from use of your services.

**C. Vendor's Implementation Approach**

1. Provide information regarding the average amount of time the Commission can expect project implementation. This amount of time should include from a possible Award of Services to full implementation of the services.
2. Explain the common outcomes and well as potential issues and concerns relating to implementation users have experienced.
3. Provide high-level observations of potential problems/risks that the Commission may encounter during this project. Include risk mitigation strategies that similar organizations have successfully implemented.
4. Provide three (3) or more examples of where your services have been operational within the last five (5) years and describe the industries, business environments, and if possible, include client names.
5. Please estimate the number of the Commission's full time employees (FTE) that could be required to help with implementation. Estimates can be stated as an approximate number of FTEs. Please describe the skills, a task description, and percentage of their time involved.
6. Describe how your company would implement services and balance risk/problems, including timelines necessary for hiring and training employees (including bilingual), supervision/management, quality control, and plans for scaling according to demand.

**D. Additional Information**

1. What differentiates your company's services from what other companies provide.
2. How does your company respond to customer calls, questions, or problems.
3. Identify other organizations that are currently using your company's services.

**E. Financial Information**

1. Provide a general pricing structure and an explanation of how costs are typically invoiced for the services that your company provides.
2. Other important considerations affecting cost.

## **VIII. RESPONSE SUBMISSION**

Any submitted material is subject to the Public Records Act, section 119.07 of the Florida Statutes.

1. Responses should address each request and questions in Section VII., point by point.
2. Responses shall be submitted via email only to the RFI Coordinator.
3. Responses shall be submitted in a pdf.
4. Additionally, a redacted copy, if applicable (please see section XI).

## **IX. PRESENTATIONS**

After the Legislature's RFI Coordinator receives responses to this RFI, and at the sole discretion of the Commission, one or more Respondents may be selected to demonstrate to the Commission the Respondent's services relating to the information submitted in the RFI response. The purpose is to learn about the most current Call Center solutions that are available.

## **X. CHANGES TO THE RFI**

Any change or modification to the RFI, or other important notices will be accomplished by an addenda to the RFI and provided to all Vendors by email.

## **XI. CONFIDENTIAL, PROPRIETY OR TRADE SECRETS**

All electronic and written communications pertaining to this RFI, whether sent from or received by the Legislature's RFI Coordinator, are subject to public. If a Respondent considers any portion of the documents, data or records submitted in response to this RFI to be confidential, proprietary, trade secret or otherwise not subject to disclosure pursuant to Chapter 119, Florida Statutes, the Florida Constitution or other authority, Respondents must mark the document as "Confidential" and simultaneously provide the Legislature's RFI Coordinator with a separate redacted copy of its response and briefly describe in writing the grounds for claiming exemption from the public records law, including the specific statutory citation for such exemption. This redacted copy shall contain the RFI name, number, and the name of the Respondent on the cover, and shall be clearly titled "Redacted Copy." The Redacted Copy shall be provided to the Legislature's RFI Coordinator at the same time the Respondent submits the RFI documents, data or records to the Legislature's RFI Coordinator. The Redacted Copy should only redact those portions of material that the Respondent claims are confidential, proprietary, trade secret or otherwise not subject to disclosure.

In the event of a request for public records pursuant to Chapter 119, Florida Statutes, the Florida Constitution or other authority, to which documents that are marked as confidential are responsive, the Legislature's RFI Coordinator will provide the Redacted Copy to the requester. If a requester asserts a right to the Confidential Information, the Legislature's RFI Coordinator will notify the Respondent such an assertion has been made. It is the Respondent's responsibility to assert that the information in question is exempt from disclosure under chapter 119 or other applicable law. If the Legislature's RFI Coordinator becomes subject to a demand for discovery or disclosure of the Confidential Information of the Respondent in a legal proceeding, the

Legislature's RFI Coordinator shall give the Respondent prompt notice of the demand prior to releasing the information (unless otherwise prohibited by applicable law). The Respondent shall be responsible for defending its determination that the redacted portions of its response are confidential, proprietary, trade secret, or otherwise not subject to disclosure.

By submitting a reply, the Respondent agrees to protect, defend, and indemnify the Legislature and Commission for any and all claims arising from or relating to the Respondent's determination that the redacted portions of its reply are confidential, proprietary, trade secret, or otherwise not subject to disclosure. If Respondent fails to submit a redacted copy of information it claims is confidential, the Legislature and Commission is authorized to produce the entire documents, data, or records submitted to the Legislature in answer to a public records request for these records.

## **XII. RESPONDENTS COST**

Respondents are responsible for all costs associated with the preparation, submission, and any potential meeting to discuss this RFI. The Commission will not be responsible for any Respondents related costs associated with responding to this request.

## **XIII. SPECIAL ACCOMMODATIONS**

Any person requiring a special accommodation because of disability should call the Purchasing Office at (850) 717-0310 at least five (5) work days prior to potential presentation date. If you are hearing or speech impaired, please contact the Purchasing Office by using the Florida Relay Service, which can be reached at 1-800-955-8771 (TDD).

**EXHIBIT A**  
**Form 6**

<b>FORM 6</b>	<b>FULL AND PUBLIC DISCLOSURE OF FINANCIAL INTERESTS</b>	<b>2021</b>												
Please print or type your name, mailing address, agency name, and position below:		<b>FOR OFFICE USE ONLY:</b>												
LAST NAME — FIRST NAME — MIDDLE NAME:														
MAILING ADDRESS:														
CITY : ZIP : COUNTY :														
NAME OF AGENCY :														
NAME OF OFFICE OR POSITION HELD OR SOUGHT :														
CHECK IF THIS IS A FILING BY A CANDIDATE <input type="checkbox"/>														
<b>PART A -- NET WORTH</b>														
Please enter the value of your net worth as of December 31, 2021 or a more current date. [Note: Net worth is not calculated by subtracting your <i>reported</i> liabilities from your <i>reported</i> assets, so please see the instructions on page 3.]														
My net worth as of _____, 20____ was \$ _____.														
<b>PART B -- ASSETS</b>														
<b>HOUSEHOLD GOODS AND PERSONAL EFFECTS:</b> Household goods and personal effects may be reported in a lump sum if their aggregate value exceeds \$1,000. This category includes any of the following, if not held for investment purposes: jewelry; collections of stamps, guns, and numismatic items; art objects; household equipment and furnishings; clothing; other household items; and vehicles for personal use, whether owned or leased.														
The aggregate value of my household goods and personal effects (described above) is \$ _____.														
<b>ASSETS INDIVIDUALLY VALUED AT OVER \$1,000:</b> <table border="1" style="width:100%; border-collapse: collapse;"> <thead> <tr> <th style="width:80%;">DESCRIPTION OF ASSET (specific description is required - see instructions p.4)</th> <th style="width:20%;">VALUE OF ASSET</th> </tr> </thead> <tbody> <tr><td> </td><td> </td></tr> <tr><td> </td><td> </td></tr> <tr><td> </td><td> </td></tr> <tr><td> </td><td> </td></tr> <tr><td> </td><td> </td></tr> </tbody> </table>			DESCRIPTION OF ASSET (specific description is required - see instructions p.4)	VALUE OF ASSET										
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<b>PART C -- LIABILITIES</b>														
<b>LIABILITIES IN EXCESS OF \$1,000 (See instructions on page 4):</b> <table border="1" style="width:100%; border-collapse: collapse;"> <thead> <tr> <th style="width:80%;">NAME AND ADDRESS OF CREDITOR</th> <th style="width:20%;">AMOUNT OF LIABILITY</th> </tr> </thead> <tbody> <tr><td> </td><td> </td></tr> <tr><td> </td><td> </td></tr> <tr><td> </td><td> </td></tr> <tr><td> </td><td> </td></tr> <tr><td> </td><td> </td></tr> </tbody> </table>			NAME AND ADDRESS OF CREDITOR	AMOUNT OF LIABILITY										
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<b>JOINT AND SEVERAL LIABILITIES NOT REPORTED ABOVE:</b> <table border="1" style="width:100%; border-collapse: collapse;"> <thead> <tr> <th style="width:80%;">NAME AND ADDRESS OF CREDITOR</th> <th style="width:20%;">AMOUNT OF LIABILITY</th> </tr> </thead> <tbody> <tr><td> </td><td> </td></tr> <tr><td> </td><td> </td></tr> <tr><td> </td><td> </td></tr> </tbody> </table>			NAME AND ADDRESS OF CREDITOR	AMOUNT OF LIABILITY										
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## EXHIBIT A

## Form 6

## PART D -- INCOME

Identify each separate source and amount of income which exceeded \$1,000 during the year, including secondary sources of income. Or attach a complete copy of your 2021 federal income tax return, including all W2s, schedules, and attachments. Please redact any social security or account numbers before attaching your returns, as the law requires these documents be posted to the Commission's website.

☐

I elect to file a copy of my 2021 federal income tax return and all W2's, schedules, and attachments.

[If you check this box and attach a copy of your 2021 tax return, you need not complete the remainder of Part D.]

## PRIMARY SOURCES OF INCOME (See instructions on page 5):

NAME OF SOURCE OF INCOME EXCEEDING \$1,000	ADDRESS OF SOURCE OF INCOME	AMOUNT

## SECONDARY SOURCES OF INCOME [Major customers, clients, etc., of businesses owned by reporting person--see instructions on page 5]:

NAME OF BUSINESS ENTITY	NAME OF MAJOR SOURCES OF BUSINESS' INCOME	ADDRESS OF SOURCE	PRINCIPAL BUSINESS ACTIVITY OF SOURCE

## PART E -- INTERESTS IN SPECIFIED BUSINESSES [Instructions on page 6]

	BUSINESS ENTITY # 1	BUSINESS ENTITY # 2	BUSINESS ENTITY # 3
NAME OF BUSINESS ENTITY			
ADDRESS OF BUSINESS ENTITY			
PRINCIPAL BUSINESS ACTIVITY			
POSITION HELD WITH ENTITY			
I OWN MORE THAN A 5% INTEREST IN THE BUSINESS			
NATURE OF MY OWNERSHIP INTEREST			

## PART F -- TRAINING

This section applies only to officers required to complete annual ethics training pursuant to section 112.3142, F.S. [See instructions p. 6]

☐ I CERTIFY THAT I HAVE COMPLETED THE REQUIRED TRAINING.

## OATH

I, the person whose name appears at the beginning of this form, do depose on oath or affirmation and say that the information disclosed on this form and any attachments hereto is true, accurate, and complete.

STATE OF FLORIDA

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

Sworn to (or affirmed) and subscribed before me by means of

☐ physical presence or ☐ online notarization, this \_\_\_\_\_ day of

\_\_\_\_\_, 20\_\_\_\_ by \_\_\_\_\_

(Signature of Notary Public--State of Florida)

(Print, Type, or Stamp Commissioned Name of Notary Public)

Personally Known \_\_\_\_\_ OR Produced Identification \_\_\_\_\_

Type of Identification Produced \_\_\_\_\_

SIGNATURE OF REPORTING OFFICIAL OR CANDIDATE

If a certified public accountant licensed under Chapter 473, or attorney in good standing with the Florida Bar prepared this form for you, he or she must complete the following statement:

I, \_\_\_\_\_, prepared the CE Form 6 in accordance with Art. II, Sec. 8, Florida Constitution, Section 112.3144, Florida Statutes, and the instructions to the form. Upon my reasonable knowledge and belief, the disclosure herein is true and correct.

Signature

Date

Preparation of this form by a CPA or attorney does not relieve the filer of the responsibility to sign the form under oath.

IF ANY OF PARTS A THROUGH E ARE CONTINUED ON A SEPARATE SHEET, PLEASE CHECK HERE ☐

**PART E – INTERESTS IN SPECIFIED BUSINESSES**

[Required by s. 112.3145, F.S.]

The types of businesses covered in this section include: state and federally chartered banks; state and federal savings and loan associations; cemetery companies; insurance companies; mortgage companies; credit unions; small loan companies; alcoholic beverage licensees; pari-mutuel wagering companies; utility companies; entities controlled by the Public Service Commission; and entities granted a franchise to operate by either a city or a county government.

You are required to make this disclosure if you own or owned (either directly or indirectly in the form of an equitable or beneficial interest) at any time during the disclosure period, more than 5% of the total assets or capital stock of one of the types of business entities listed above. You also must complete this part of the form for each of these types of businesses for which you are, or were at any time during 2021, an officer, director, partner, proprietor, or agent (other than a resident agent solely for service of process).

If you have or held such a position or ownership interest in one of these types of businesses, list: the name of the business, its address and principal business activity, and the position held with the business (if any). Also, if you own(ed) more than a 5% interest in the business, as described above, you must indicate that fact and describe the nature of your interest.

**PART F – TRAINING CERTIFICATION**

[Required by s. 112.3142, F.S.]

If you are a Constitutional or elected municipal officer whose service began before March 31 of the year for which you are filing, you are required to complete four hours of ethics training which addresses Article II, Section 8 of the Florida Constitution, the Code of Ethics for Public Officers and Employees, and the public records and open meetings laws of the state. You are required to certify on this form that you have taken such training.

(End of Instructions.)

**OTHER FORMS YOU MAY NEED TO FILE IN ORDER TO COMPLY WITH THE ETHICS LAWS**

In addition to filing Form 6, you *may* be required to file one or more of the special purpose forms listed below, depending on your particular position, business activities, or interests. As it is your duty to obtain and file any of the special purpose forms which may be applicable to you, you should carefully read the brief description of each form to determine whether it applies.

**Form 6F — Final Full and Public Disclosure of Financial**

**Interests:** Required of elected constitutional officers and others who must file financial disclosure using Form 6; to be filed within 60 days after leaving office or employment. This form is used to report financial interests between January 1st of the last year of office or employment and the last day of office or employment. [s. 112.3144, F.S.]

**Form 6X — Amended Full and Public Disclosure of Financial**

**Interests:** To be used by elected constitutional officers and others who must file financial disclosure using Form 6 or 6F to correct mistakes on previously filed form. [s. 112.3144, F.S.]

**Form 2 — Quarterly Client Disclosure:**

Required of elected constitutional officers, local officers, state officers, and specified state employees to disclose the names of clients represented for compensation by themselves, or a partner or associate before agencies at the same level of government as they serve. The form should be filed by the end of the calendar quarter (March 31, June 30, Sept. 30, Dec. 31) following the calendar quarter in which a reportable representation was made. [s. 112.3145, F.S.]

**Form 9 — Quarterly Gift Disclosure:**

Required of elected constitutional officers and others who must file financial disclosure using Form 1 or 6 (as well as State procurement employees) to report gifts worth more than \$100. The form should be filed by the end of the calendar quarter (March 31, June 30, September 30, or December 31) following the calendar quarter in which the gift was received. [s. 112.3146, F.S.]

**Form 3A — Statement of Interest in Competitive Bid or Public Business****Form 4A — Disclosure of Business Transaction, Relationship, or Interest****Form 8A — Memorandum of Voting Conflict for State Officers****Form 8B — Memorandum of Voting Conflict for County, Municipal, and Other Local Public Officers****Form 10 — Annual Disclosure of Gifts from Governmental Entities and Direct Support Organizations and Honorarium Event Related Expenses**

Copies of these forms are available from the Supervisor of Elections in your county; from the Commission on Ethics, Post Office Drawer 15709, Tallahassee, Florida 32317-5709; physical address: 325 John Knox Road, Building E, Suite 200, Tallahassee, FL 32303; telephone (850) 488-7864; and at the Commission's website: [www.ethics.state.fl.us](http://www.ethics.state.fl.us)

Questions about any of these forms or the ethics laws may be addressed to the Commission on Ethics, Post Office Drawer 15709, Tallahassee, Florida 32317-5709; physical address: 325 John Knox Road, Building E, Suite 200, Tallahassee, FL 32303; telephone (850) 488-7864.

**NOTICE**

Annual Full and Public Disclosure of Financial Interests is due July 1. If the annual form is not filed or postmarked by September 1 an automatic fine of \$25 for each day late will be imposed, up to a maximum penalty of \$1,500. Failure to file also can result in removal from public office or employment. [s. 112.3144, F.S. - applicable to officials other than judges]

In addition, failure to make any required disclosure constitutes grounds for and may be punished by one or more of the following: disqualification from being on the ballot, impeachment, removal or suspension from office or employment, demotion, reduction in salary, reprimand, or a civil penalty not exceeding \$10,000. [s. 112.317, F.S.]

**INSTRUCTIONS FOR COMPLETING AND FILING FORM 6 FULL AND PUBLIC DISCLOSURE OF FINANCIAL INTERESTS****WHAT TO FILE**

File only the first sheet (pages 1 and 2). **Originals are required. Photocopies, faxed copies and emailed copies will not be accepted.** Candidates who have filed Form 6 for 2021 with the Commission, prior to qualifying, must file a copy of the Form 6 at the time of qualifying.

**WHERE TO FILE**

**Officeholders:** Commission on Ethics, P.O. Drawer 15709, Tallahassee, FL 32317-5709; physical address: 325 John Knox Road, Building E, Suite 200, Tallahassee, FL 32303;

**Candidates:** The officer before whom they qualify. **If a Form 6 is filed with a qualifying officer, it need not also be filed with the Commission.**

**WHEN TO FILE**

**Officeholders:** No later than July 1, 2022.  
**Candidates:** During the qualifying period.

**WHO MUST FILE FORM 6:**

A person holds the following positions: Governor, Lieutenant Governor, Cabinet members, members of the Legislature, State Attorneys, Public Defenders, Clerks of Circuit Courts, Sheriffs, Tax Collectors, Property Appraisers, Supervisors of Elections, County Commissioners, elected Superintendents of Schools, members of District School Boards, Mayor and members of the Jacksonville City Council, Judges of Compensation Claims; the

Duval County Superintendent of Schools, and members of the Florida Housing Finance Corporation Board, each expressway authority, transportation authority (except the Jacksonville Transportation Authority), bridge authority, toll authority, or expressway agency created pursuant to Chapter 348 or 343, F.S., or any other general law, and judges, as required by Canon 6, Code of Judicial Conduct.

**INSTRUCTIONS FOR COMPLETING FORM 6:****INTRODUCTORY INFORMATION (At Top of Form):**

If your name, mailing address, public agency, and position are already printed on the form, you do not need to provide this information unless it should be changed. To change any of this information, write the correct information on the form, and contact your agency's financial disclosure coordinator. You can find your coordinator on the Commission on Ethics website: [www.ethics.state.fl.us](http://www.ethics.state.fl.us).

**NAME OF AGENCY:** The name of the governmental unit which you serve or served, or for which you are a candidate.

**OFFICE OR POSITION HELD OR SOUGHT:** The title of the office or position you hold, are seeking, or held as of December 31, 2021, even if you have since left that position. If you are a candidate, check the box below your name and address.

**PUBLIC RECORD:** The disclosure form and everything attached to it is a public record and is required by law to be posted to the Commission's website. **Your Social Security number, bank account, and credit card numbers are not required and you should redact them from any documents you file.** If you are an active or former officer or employee listed in Section 119.071, F.S., whose home address or other information is exempt from disclosure, the Commission will maintain that confidentiality **if you submit a written request.**

**PART A — NET WORTH**

[Required by Art. II, s. 8(a)(1)(1), Fla. Const.]

Report your net worth as of December 31, 2021, or a more current date, and list that date. This should be the same date used to value your assets and liabilities. In order to determine your net worth, you will need to total the value of all your assets and subtract the amount of all of your liabilities. Simply subtracting the liabilities reported in Part C from the assets reported in Part B will not result in an accurate net worth figure in most cases.

To total the value of your assets, add:

- (1) The aggregate value of household goods and personal effects, as reported in Part B of this form;
- (2) The value of all assets worth over \$1,000, as reported in Part B; and,
- (3) The total value of any assets worth less than \$1,000 that were not reported or included in the category of "household goods and personal effects."

To total the amount of your liabilities, add:

- (1) The total amount of each liability you reported in Part C of this form, except for any amounts listed in the "joint and several liabilities not reported above" portion; and,
- (2) The total amount of unreported liabilities (including those under \$1,000, credit card and retail installment accounts, and taxes owed).

(CONTINUED on page 4)

**PART B — ASSETS WORTH MORE THAN \$1,000**

[Required by Art. II, s. 8, Fla. Const.; s. 112.3144, F.S.]

**HOUSEHOLD GOODS AND PERSONAL EFFECTS:**

The value of your household goods and personal effects may be aggregated and reported as a lump sum, if their aggregate value exceeds \$1,000. The types of assets that can be reported in this manner are described on the form.

**ASSETS INDIVIDUALLY VALUED AT MORE THAN \$1,000:**

Describe, and state the value of, each asset you had on the reporting date you selected for your net worth in Part A, if the asset was worth more than \$1,000 and if you have not already included that asset in the aggregate value of your household goods and personal effects. Assets include, but are not limited to, things like interests in real property; cash; stocks; bonds; certificates of deposit; interests in businesses; beneficial interests in trusts; money owed you (including, but not limited to, loans made as a candidate to your own campaign); bank accounts in which you have an ownership interest; Deferred Retirement Option Program (DROP) accounts; and the Florida Prepaid College Plan. Assets also include investment products held in IRAs, brokerage accounts, and the Florida College Investment Plan. Note that the product contained in a brokerage account, IRA, or the Florida College Investment Plan, is your asset—not the account or plan itself.

You are not required to disclose assets owned solely by your spouse.

**How to Identify or Describe the Asset:**

- Real property: Identify by providing the street address of the property. If the property has no street address, identify by describing the property's location in a manner sufficient to enable a member of the public to ascertain its location without resorting to any other source of information.
- Intangible property: Identify the type of property and the business entity or person to which or to whom it relates. **Do not list simply "stocks and bonds" or "bank accounts."** For example, list "Stock (Williams Construction Co.)," "Bonds (Southern Water and Gas)," "Bank accounts (First National Bank)," "Smith family trust," "Promissory note and mortgage (owed by John and Jane Doe)."

**How to Value Assets:**

- Value each asset by its fair market value on the date used in Part A for your net worth.
- Jointly held assets: If you hold real or personal property jointly with another person, your interest equals your legal percentage of ownership in the property. **However**, assets that are held as tenants by the entirety or jointly with right of survivorship, including bank accounts held in such a manner, must be reported at 100% of their value.
- Partnerships: You are deemed to own an interest in a partnership which corresponds to your interest in the equity of that partnership.
- Trusts: You are deemed to own an interest in a trust which corresponds to your percentage interest in the trust corpus.
- Real property may be valued at its market value for tax purposes, unless a more accurate fair market value is available.
- Marketable securities which are widely traded and whose prices are generally available should be valued based upon the closing price on the valuation date.

— Accounts, notes, and loans receivable: Value at fair market value, which generally is the amount you reasonably expect to collect.

— Closely-held businesses: Use any method of valuation which in your judgment most closely approximates fair market value, such as book value, reproduction value, liquidation value, capitalized earnings value, capitalized cash flow value, or value established by "buy-out" agreements. It is suggested that the method of valuation chosen be indicated on the form.

— Life Insurance: Use cash surrender value less loans against the policy, plus accumulated dividends.

— The asset value of a leased vehicle is the vehicle's present value minus the lease residual (a number found on the lease document).

**PART C— LIABILITIES**

[Required by Art. II, s. 8, Fla. Const.; s. 112.312, F.S.]

**LIABILITIES IN EXCESS OF \$1,000 :**

List the name and address of each creditor to whom you owed more than \$1,000 on the date you chose for your net worth in Part A, and list the amount you owed. Liabilities include: accounts, notes, and interest payable; debts or obligations (excluding taxes, unless the taxes have been reduced to a judgment) to governmental entities; judgments against you, and the unpaid portion of vehicle leases.

You are not required to disclose liabilities that are solely your spouse's responsibility.

You do not have to list on the form any of the following: credit card and retail installment accounts, taxes owed (unless the taxes have been reduced to a judgment), indebtedness on a life insurance policy owed to the company of issuance, or contingent liabilities. A "contingent liability" is one that will become an actual liability only when one or more future events occur or fail to occur, such as where you are liable only as a partner (without personal liability) for partnership debts, or where you are liable only as a guarantor, surety, or endorser on a promissory note. If you are a "co-maker" on a note and are jointly liable or jointly and severally liable, then it is not a contingent liability.

**How to Determine the Amount of a Liability:**

- Generally, the amount of the liability is the face amount of the debt.
- The amount of the liability on a vehicle lease is the sum of any past-due payments and all unpaid prospective lease payments.
- If you are the only person obligated to satisfy a liability, 100% of the liability should be listed.
- If you are jointly and severally liable with another person or entity, which often is the case where more than one person is liable on a promissory note, you should report here only the portion of the liability that corresponds to your percentage of liability. **However**, if you are jointly and severally liable for a debt relating to property you own with one or more others as tenants by the entirety or jointly, with right of survivorship, report 100% of the total amount owed.
- If you are only jointly (not jointly and severally) liable with another person or entity, your share of the liability should be determined in the same way as you determined your share of jointly held assets.

(CONTINUED on page 5)

**Examples:**

— You owe \$10,000 to a bank for student loans, \$5,000 for credit card debts, and \$60,000 with your spouse to a savings and loan for the mortgage on the home you own with your spouse. You must report the name and address of the bank (\$10,000 being the amount of that liability) and the name and address of the savings and loan (\$60,000 being the amount of this liability). The credit card debts need not be reported.

— You and your 50% business partner have a \$100,000 business loan from a bank and you both are jointly and severally liable. Report the name and address of the bank and \$50,000 as the amount of the liability. If your liability for the loan is only as a partner, without personal liability, then the loan would be a contingent liability.

**JOINT AND SEVERAL LIABILITIES NOT REPORTED ABOVE:**

List in this part the form the amount of each debt for which you were jointly and severally liable, that is not reported in the "Liabilities in Excess of \$1,000" part of the form. Example: You and your 50% business partner have a \$100,000 business loan from a bank and you both are jointly and severally liable. Report the name and address of the bank and \$60,000 as the amount of the liability, as you reported the other 40% of the debt earlier.

**PART D— INCOME**

[Required by Art. II, s. 8, Fla. Const.]

As noted on the form, you have the option of either completing Part D of the form or attaching a copy of your complete 2021 federal income tax return, including all schedules, W-2's and attachments, with Form 6, or. If you do not attach your tax return, you must complete Part D.

**PRIMARY SOURCES OF INCOME:**

List the name of each source of income that provided you with more than \$1,000 of income during 2021, the address of that source, and the amount of income received from that source. The income of your spouse need not be disclosed; however, if there is joint income to you and your spouse from property you own jointly (such as interest or dividends from a bank account or stocks), you should include all of that income.

"Income" means the same as "gross income" for federal income tax purposes, even if the income is not actually taxable, such as interest on tax-free bonds. Examples of income include: compensation for services, gross income from business, gains from property dealings, interest, rents, dividends, pensions, IRA distributions, distributive share of partnership gross income, and alimony, but not child support. Where income is derived from a business activity you should report the income to you, as calculated for income tax purposes, rather than the income to the business.

**Examples:**

— If you owned stock in and were employed by a corporation and received more than \$1,000 of income (salary, commissions, dividends, etc.) from the company, you should list the name of the company, its address, and the total amount of income received from it.

— If you were a partner in a law firm and your distributive share of partnership gross income exceeded \$1,000, you should list the name of the firm, its address, and the amount

of your distributive share.

— If you received dividend or interest income from investments in stocks and bonds, list only each individual company from which you received more than \$1,000. Do not aggregate income from all of these investments.

— If more than \$1,000 of income was gained from the sale of property, then you should list as a source of income the name of the purchaser, the purchaser's address, and the amount of gain from the sale. If the purchaser's identity is unknown, such as where securities listed on an exchange are sold through a brokerage firm, the source of income should be listed simply as "sale of (name of company) stock," for example.

— If more than \$1,000 of your income was in the form of interest from one particular financial institution (aggregating interest from all CD's, accounts, etc., at that institution), list the name of the institution, its address, and the amount of income from that institution.

**SECONDARY SOURCES OF INCOME:**

This part is intended to require the disclosure of major customers, clients, and other sources of income to businesses in which you own an interest. **It is not for reporting income from second jobs.** That kind of income should be reported as a "Primary Source of Income." You will **not** have anything to report **unless**:

- (1) You owned (either directly or indirectly in the form of an equitable or beneficial interest) during the disclosure period, more than 5% of the total assets or capital stock of a business entity (a corporation, partnership, limited partnership, LLC, proprietorship, joint venture, trust, firm, etc., doing business in Florida); and
- (2) You received more than \$1,000 in gross income from that business entity during the period.

If your ownership and gross income exceeded the two thresholds listed above, then for that business entity you must list every source of income to the business entity which exceeded 10% of the business entity's gross income (computed on the basis of the business entity's most recently completed fiscal year), the source's address, the source's principal business activity, and the name of the business entity in which you owned an interest. You do not have to list the amount of income the business derived from that major source of income.

**Examples:**

— You are the sole proprietor of a dry cleaning business, from which you received more than \$1,000 in gross income last year. If only one customer, a uniform rental company, provided more than 10% of your dry cleaning business, you must list the name of your business, the name of the uniform rental company, its address, and its principal business activity (uniform rentals).

— You are a 20% partner in a partnership that owns a shopping mall and your gross partnership income exceeded \$1,000. You should list the name of the partnership, the name of each tenant of the mall that provided more than 10% of the partnership's gross income, and the tenant's address and principal business activity.

(CONTINUED on page 6)

**PART B — ASSETS WORTH MORE THAN \$1,000**

[Required by Art. II, s. 8, Fla. Const.; s. 112.3144, F.S.]

**HOUSEHOLD GOODS AND PERSONAL EFFECTS:**

The value of your household goods and personal effects may be aggregated and reported as a lump sum, if their aggregate value exceeds \$1,000. The types of assets that can be reported in this manner are described on the form.

**ASSETS INDIVIDUALLY VALUED AT MORE THAN \$1,000:**

Describe, and state the value of, each asset you had on the reporting date you selected for your net worth in Part A, if the asset was worth more than \$1,000 and if you have not already included that asset in the aggregate value of your household goods and personal effects. Assets include, but are not limited to, things like interests in real property, cash; stocks; bonds; certificates of deposit; interests in businesses; beneficial interests in trusts; money owed you (including but not limited to, loans made as a candidate to your own campaign); bank accounts in which you have an ownership interest; Deferred Retirement Option Program (DROP) accounts; and the Florida Prepaid College Plan. Assets also include investment products held in IRAs, brokerage accounts, and the Florida College Investment Plan. Note that the product contained in a brokerage account, IRA, or the Florida College Investment Plan, is your asset—not the account or plan itself.

You are not required to disclose assets owned solely by your spouse.

**How to Identify or Describe the Asset:**

- Real property: Identify by providing the street address of the property. If the property has no street address, identify by describing the property's location in a manner sufficient to enable a member of the public to ascertain its location without resorting to any other source of information.
- Intangible property: Identify the type of property and the business entity or person to which or to whom it relates. **Do not list simply "stocks and bonds" or "bank accounts."** For example, list "Stock (Williams Construction Co.)," "Bonds (Southern Water and Gas)," "Bank accounts (First National Bank)," "Smith family trust," "Promissory note and mortgage (owed by John and Jane Doe)."

**How to Value Assets:**

- Value each asset by its fair market value on the date used in Part A for your net worth.
- Jointly held assets: If you hold real or personal property jointly with another person, your interest equals your legal percentage of ownership in the property. However, assets that are held as tenants by the entirety or jointly with right of survivorship, including bank accounts held in such a manner, must be reported at 100% of their value.
- Partnerships: You are deemed to own an interest in a partnership which corresponds to your interest in the equity of that partnership.
- Trusts: You are deemed to own an interest in a trust which corresponds to your percentage interest in the trust corpus.
- Real property may be valued at its market value for tax purposes, unless a more accurate fair market value is available.
- Marketable securities which are widely traded and whose prices are generally available should be valued based upon the closing price on the valuation date.

(CONTINUED on page 5)

— Accounts, notes, and loans receivable: Value at fair market value, which generally is the amount you reasonably expect to collect.

— Closely-held businesses: Use any method of valuation which in your judgment most closely approximates fair market value, such as book value, reproduction value, liquidation value, capitalized earnings value, capitalized cash flow value, or value established by "buy-out" agreements. It is suggested that the method of valuation chosen be indicated on the form.

— Life Insurance: Use cash surrender value less loans against the policy, plus accumulated dividends.

— The asset value of a leased vehicle is the vehicle's present value minus the lease residual (a number found on the lease document).

**PART C— LIABILITIES**

[Required by Art. II, s. 8, Fla. Const.; s. 112.312, F.S.]

**LIABILITIES IN EXCESS OF \$1,000 :**

List the name and address of each creditor to whom you owed more than \$1,000 on the date you chose for your net worth in Part A, and list the amount you owed. Liabilities include: accounts, notes, and interest payable; debts or obligations (excluding taxes, unless the taxes have been reduced to a judgment) to governmental entities; judgments against you, and the unpaid portion of vehicle leases.

You are not required to disclose liabilities that are solely your spouse's responsibility.

You do not have to list on the form any of the following: credit card and retail installment accounts, taxes owed (unless the taxes have been reduced to a judgment), indebtedness on a life insurance policy owed to the company of issuance, or contingent liabilities. A "contingent liability" is one that will become an actual liability only when one or more future events occur or fail to occur, such as where you are liable only as a partner (without personal liability) for partnership debts, or where you are liable only as a guarantor, surety, or endorser on a promissory note. If you are "co-maker" on a note and are jointly liable or jointly and severally liable, then it is not a contingent liability.

**How to Determine the Amount of a Liability:**

- Generally, the amount of the liability is the face amount of the debt.
- The amount of the liability for a vehicle lease is the sum of any past-due payments and all unpaid prospective lease payments.
- If you are the only person obligated to satisfy a liability, 100% of the liability should be listed.
- If you are jointly and severally liable with another person or entity, which often is the case where more than one person is liable on a promissory note, you should report here only the portion of the liability that corresponds to your percentage of liability. However, if you are jointly and severally liable for a debt relating to property you own with one or more others as tenants by the entirety or jointly, with right of survivorship, report 100% of the total amount owed.
- If you are only jointly (not jointly and severally) liable with another person or entity, your share of the liability should be determined in the same way as you determined your share of jointly held assets.

**Examples:**

— You owe \$10,000 to a bank for student loans, \$5,000 for credit card debts, and \$60,000 with your spouse to a savings and loan for the mortgage on the home you own with your spouse. You must report the name and address of the bank (\$10,000 being the amount of that liability) and the name and address of the savings and loan (\$60,000 being the amount of this liability). The credit card debts need not be reported.

— You and your 50% business partner have a \$100,000 business loan from a bank and you both are jointly and severally liable. Report the name and address of the bank and \$50,000 as the amount of the liability. If your liability for the loan is only as a partner, without personal liability, then the loan would be a contingent liability.

**JOINT AND SEVERAL LIABILITIES NOT REPORTED ABOVE:**

List in this part of the form the amount of each debt for which you were jointly and severally liable, that is not reported in the "Liabilities in Excess of \$1,000" part of the form. Example: You and your 50% business partner have a \$100,000 business loan from a bank and you both are jointly and severally liable. Report the name and address of the bank and \$100,000 as the amount of the liability, as you reported the other 50% of the debt earlier.

**PART D — INCOME**

[Required by Art. II, s. 8, Fla. Const.]

As noted on the form, you have the option of either completing Part D of the form or attaching a copy of your complete 2021 federal income tax return, including all schedules, W-2's and attachments, with Form 6, or. If you do not attach your tax return, you must complete Part D.

**PRIMARY SOURCES OF INCOME:**

List the name of each source of income that provided you with more than \$1,000 of income during 2021, the address of that source, and the amount of income received from that source. The income of your spouse need not be disclosed; however, if there is joint income to you and your spouse from property you own jointly (such as interest or dividends from a bank account or stocks), you should include all of that income.

"Income" means the same as "gross income" for federal income tax purposes, even if the income is not actually taxable, such as interest on tax-free bonds. Examples of income include: compensation for services, gross income from business, gains from property dealings, interest, rents, dividends, pensions, IRA distributions, distributive share of partnership gross income, and alimony, but not child support. Where income is derived from a business activity you should report the income to you, as calculated for income tax purposes, rather than the income to the business.

**Examples:**

- If you owned stock in and were employed by a corporation and received more than \$1,000 of income (salary, commissions, dividends, etc.) from the company, you should list the name of the company, its address, and the total amount of income received from it.
- If you were a partner in a law firm and your distributive share of partnership gross income exceeded \$1,000, you should list the name of the firm, its address, and the amount

of your distributive share.

— If you received dividend or interest income from investments in stocks and bonds, list only each individual company from which you received more than \$1,000. Do not aggregate income from all of these investments.

— If more than \$1,000 of income was gained from the sale of property, then you should list as a source of income the name of the purchaser, the purchaser's address, and the amount of gain from the sale. If the purchaser's identity is unknown, such as where securities listed on an exchange are sold through a brokerage firm, the source of income should be listed simply as "sale of (name of company) stock," for example.

— If more than \$1,000 of your income was in the form of interest from one particular financial institution (aggregating interest from all CD's, accounts, etc., at that institution), list the name of the institution, its address, and the amount of income from that institution.

**SECONDARY SOURCES OF INCOME:**

This part is intended to require the disclosure of major customers, clients, and other sources of income to businesses in which you own an interest. **It is not for reporting income from second jobs.** That kind of income should be reported as a "Primary Source of Income." You will **not** have anything to report unless:

- (1) You owned (either directly or indirectly in the form of an equitable or beneficial interest) during the disclosure period, more than 5% of the total assets or capital stock of a business entity (a corporation, partnership, limited partnership, LLC, proprietorship, joint venture, trust, firm, etc., doing business in Florida); and
- (2) You received more than \$1,000 in gross income from that business entity during the period.

If your ownership and gross income exceeded the two thresholds listed above, then for that business entity you must list every source of income to the business entity which exceeded 10% of the business entity's gross income (computed on the basis of the business entity's most recently completed fiscal year), the source's address, the source's principal business activity, and the name of the business entity in which you owned an interest. You do not have to list the amount of income the business derived from that major source of income.

**Examples:**

- You are the sole proprietor of a dry cleaning business, from which you received more than \$1,000 in gross income last year. If only one customer, a uniform rental company, provided more than 10% of your dry cleaning business, you must list the name of your business, the name of the uniform rental company, its address, and its principal business activity (uniform rentals).
- You are a 20% partner in a partnership that owns a shopping mall and your gross partnership income exceeded \$1,000. You should list the name of the partnership, the name of each tenant of the mall that provided more than 10% of the partnership's gross income, and the tenant's address and principal business activity.

(CONTINUED on page 6)

**PART E – INTERESTS IN SPECIFIED BUSINESSES**

[Required by s. 112.3145, F.S.]

The types of businesses covered in this section include: state and federally chartered banks; state and federal savings and loan associations; cemetery companies; insurance companies; mortgage companies; credit unions; small loan companies; alcoholic beverage licensees; pari-mutuel wagering companies; utility companies; entities controlled by the Public Service Commission; and entities granted a franchise to operate by either a city or a county government.

You are required to make this disclosure if you own or owned (either directly or indirectly in the form of an equitable or beneficial interest) at any time during the disclosure period, more than 5% of the total assets or capital stock of one of the types of business entities listed above. You also must complete this part of the form for each of these types of businesses for which you are, or were at any time during 2021, an officer, director, partner, proprietor, or agent (other than a resident agent solely for service of process).

If you have or held such a position or ownership interest in one of these types of businesses, list: the name of the business, its address and principal business activity, and the position held with the business (if any). Also, if you own(ed) more than a 5% interest in the business, as described above, you must indicate that fact and describe the nature of your interest.

**PART F – TRAINING CERTIFICATION**

[Required by s. 112.3142, F.S.]

If you are a Constitutional or elected municipal officer whose service began before March 31 of the year for which you are filing, you are required to complete four hours of ethics training which addresses Article II, Section 8 of the Florida Constitution, the Code of Ethics for Public Officers and Employees, and the public records and open meetings laws of the state. You are required to certify on this form that you have taken such training.

(End of Instructions.)

**OTHER FORMS YOU MAY NEED TO FILE IN ORDER TO COMPLY WITH THE ETHICS LAWS**

In addition to filing Form 6, you **may** be required to file one or more of the special purpose forms listed below, depending on your particular position, business activities, or interests. As it is your duty to obtain and file any of the special purpose forms which may be applicable to you, you should carefully read the brief description of each form to determine whether it applies.

**Form 6F — Final Full and Public Disclosure of Financial Interests**

Required of elected constitutional officers and others who must file financial disclosure using Form 6; to be filed within 60 days after leaving office or employment. This form is used to report financial interests between January 1st of the last year of office or employment and the last day of office or employment. [s. 112.3144, F.S.]

**Form 6X — Amended Full and Public Disclosure of Financial Interests**

To be used by elected constitutional officers and others who must file financial disclosure using Form 6 or 6F to correct mistakes on previously filed form. [s. 112.3144, F.S.]

**Form 2 — Quarterly Client Disclosure**

Required of elected constitutional officers, local officers, state officers, and specified state employees to disclose the names of clients represented for compensation by themselves, or a partner or associate before agencies at the same level of government as they serve. The form should be filed by the end of the calendar quarter (March 31, June 30, Sept. 30, Dec. 31) following the calendar quarter in which a reportable representation was made. [s. 112.3145, F.S.]

Copies of these forms are available from the Supervisor of Elections in your county; from the Commission on Ethics, Post Office Drawer 15709, Tallahassee, Florida 32317-5709; physical address: 325 John Knox Road, Building E, Suite 200, Tallahassee, FL 32303; telephone (850) 488-7864; and at the Commission's website: [www.ethics.state.fl.us](http://www.ethics.state.fl.us)

Questions about any of these forms or the ethics laws may be addressed to the Commission on Ethics, Post Office Drawer 15709, Tallahassee, Florida 32317-5709; physical address: 325 John Knox Road, Building E, Suite 200, Tallahassee, FL 32303; telephone (850) 488-7864.

**Form 9 — Quarterly Gift Disclosure:** Required of elected constitutional officers and others who must file financial disclosure using Form 1 or 6 (as well as State procurement employees) to report gifts worth more than \$100. The form should be filed by the end of the calendar quarter (March 31, June 30, September 30, or December 31) following the calendar quarter in which the gift was received. [s. 112.3143, F.S.]

**Form 3A — Statement of Interest in Competitive Bids or Public Business****Form 4A — Disclosure of Business Transaction, Relationship, or Interest****Form 8A — Memorandum of Voting Conflict for State Officers****Form 8B — Memorandum of Voting Conflict for County, Municipal, and Other Local Public Officers****Form 10 — Annual Disclosure of Gifts from Governmental Entities and Direct Support Organizations and Honorarium Event Related Expenses****NOTICE**

**Annual Full and Public Disclosure of Financial Interests is due July 1. If the annual form is not filed or postmarked by September 1 an automatic fine of \$25 for each day late will be imposed, up to a maximum penalty of \$1,500. Failure to file also can result in removal from public office or employment. [s. 112.3144, F.S. - applicable to officials other than judges]**

**In addition, failure to make any required disclosure constitutes grounds for and may be punished by one or more of the following: disqualification from being on the ballot, impeachment, removal or suspension from office or employment, demotion, reduction in salary, reprimand, or a civil penalty not exceeding \$10,000. [s. 112.317, F.S.]**

**INSTRUCTIONS FOR COMPLETING AND FILING FORM 6 FULL AND PUBLIC DISCLOSURE OF FINANCIAL INTERESTS****WHAT TO FILE**

File only the first sheet (pages 1 and 2). **Originals are required. Photocopies, faxed copies and emailed copies will not be accepted.** Candidates who have filed Form 6 for 2021 with the Commission, prior to qualifying, must file a copy of the Form 6 at the time of qualifying.

**WHERE TO FILE**

**Officeholders:** Commission on Ethics, P.O. Drawer 15709, Tallahassee, FL 32317-5709; physical address: 325 John Knox Road, Building E, Suite 200, Tallahassee, FL 32303;

**Candidates:** The officer before whom they qualify. **If a Form 6 is filed with a qualifying officer, it need not also be filed with the Commission.**

**WHEN TO FILE**

**Officeholders:** No later than July 1, 2022.  
**Candidates:** During the qualifying period.

**WHO MUST FILE FORM 6:**

A person holds the following positions: Governor, Lieutenant Governor, Cabinet members, members of the Legislature, State Attorneys, Public Defenders, Clerks of Circuit Courts, Sheriffs, Tax Collectors, Property Appraisers, Supervisors of Elections, County Commissioners, elected Superintendents of Schools, members of District School Boards, Mayor and members of the Jacksonville City Council, Judges of Compensation Claims; the

Duval County Superintendent of Schools, and members of the Florida Housing Finance Corporation Board, each expressway authority, transportation authority (except the Jacksonville Transportation Authority), bridge authority, toll authority, or expressway agency created pursuant to Chapter 348 or 343, F.S., or any other general law, and judges, as required by Canon 6, Code of Judicial Conduct.

**INSTRUCTIONS FOR COMPLETING FORM 6:****INTRODUCTORY INFORMATION (At Top of Form):**

If your name, mailing address, public agency, and position are already printed on the form, you do not need to provide this information unless it should be changed. To change any of this information, write the correct information on the form, and contact your agency's financial disclosure coordinator. You can find your coordinator on the Commission on Ethics website: [www.ethics.state.fl.us](http://www.ethics.state.fl.us).

**NAME OF AGENCY:** The name of the governmental unit which you serve or served, or for which you are a candidate.

**OFFICE OR POSITION HELD OR SOUGHT:** The title of the office or position you hold, are seeking, or held as of December 31, 2021, even if you have since left that position. If you are a candidate, check the box below your name and address.

**PUBLIC RECORD:** The disclosure form and everything attached to it is a public record and is required by law to be posted to the Commission's website. **Your Social Security number, bank account, and credit card numbers are not required and you should redact them from any documents you file.** If you are an active or former officer or employee listed in Section 119.071, F.S., whose home address or other information is exempt from disclosure, the Commission will maintain that confidentiality **if you submit a written request.**

**PART A — NET WORTH**

[Required by Art. II, s. 8(a)(i)(1), Fla. Const.]

Report your net worth as of December 31, 2021, or a more current date, and list that date. This should be the same date used to value your assets and liabilities. In order to determine your net worth, you will need to total the value of all your assets and subtract the amount of all of your liabilities. **Simply subtracting the liabilities reported in Part C from the assets reported in Part B will not result in an accurate net worth figure in most cases.**

To total the value of your assets, add:

- (1) The aggregate value of household goods and personal effects, as reported in Part B of this form;
- (2) The value of all assets worth over \$1,000, as reported in Part B; and,
- (3) The total value of any assets worth less than \$1,000 that were not reported or included in the category of "household goods and personal effects."

To total the amount of your liabilities, add:

- (1) The total amount of each liability you reported in Part C of this form, **except for** any amounts listed in the "joint and several liabilities not reported above" portion; and,
- (2) The total amount of unreported liabilities (including those under \$1,000, credit card and retail installment accounts, and taxes owed).

(CONTINUED on page 4)

**EXHIBIT B**  
**Form 1**

<b>FORM 1</b>	<b>STATEMENT OF FINANCIAL INTERESTS</b>	<b>2022</b>	
Please print or type your name, mailing address, agency name, and position below:		<b>FOR OFFICE USE ONLY:</b>	
LAST NAME -- FIRST NAME -- MIDDLE NAME :			
MAILING ADDRESS :			
CITY : ZIP : COUNTY :			
NAME OF AGENCY :			
NAME OF OFFICE OR POSITION HELD OR SOUGHT :			
CHECK ONLY IF <input type="checkbox"/> CANDIDATE OR <input type="checkbox"/> NEW EMPLOYEE OR APPOINTEE			
<b>**** THIS SECTION <u>MUST</u> BE COMPLETED ****</b>			
<b>DISCLOSURE PERIOD:</b> THIS STATEMENT REFLECTS YOUR FINANCIAL INTERESTS FOR CALENDAR YEAR ENDING DECEMBER 31, 2022.			
<b>MANNER OF CALCULATING REPORTABLE INTERESTS:</b> FILERS HAVE THE OPTION OF USING REPORTING THRESHOLDS THAT ARE ABSOLUTE DOLLAR VALUES, WHICH REQUIRES FEWER CALCULATIONS, OR USING COMPARATIVE THRESHOLDS, WHICH ARE USUALLY BASED ON PERCENTAGE VALUES (see instructions for further details). CHECK THE ONE YOU ARE USING (must check one):			
<input type="checkbox"/> <b>COMPARATIVE (PERCENTAGE) THRESHOLDS</b> OR <input type="checkbox"/> <b>DOLLAR VALUE THRESHOLDS</b>			
<b>PART A -- PRIMARY SOURCES OF INCOME</b> [Major sources of income of the reporting person - See instructions] (If you have nothing to report, write "none" or "n/a")			
NAME OF SOURCE OF INCOME	SOURCE'S ADDRESS	DESCRIPTION OF THE SOURCE'S PRINCIPAL BUSINESS ACTIVITY	
<b>PART B -- SECONDARY SOURCES OF INCOME</b> [Major customers, clients, and other sources of income to businesses owned by the reporting person - See instructions] (If you have nothing to report, write "none" or "n/a")			
NAME OF BUSINESS ENTITY	NAME OF MAJOR SOURCES OF BUSINESS' INCOME	ADDRESS OF SOURCE	PRINCIPAL BUSINESS ACTIVITY OF SOURCE
<b>PART C -- REAL PROPERTY</b> [Land, buildings owned by the reporting person - See instructions] (If you have nothing to report, write "none" or "n/a")		You are not limited to the space on the lines on this form. Attach additional sheets, if necessary.  <b>FILING INSTRUCTIONS</b> for when and where to file this form are located at the bottom of page 2.  <b>INSTRUCTIONS</b> on who must file this form and how to fill it out begin on page 3.	

**EXHIBIT B**  
**Form 1**

**PART D — INTANGIBLE PERSONAL PROPERTY** [Stocks, bonds, certificates of deposit, etc. - See instructions]  
(If you have nothing to report, write "none" or "n/a")

TYPE OF INTANGIBLE

BUSINESS ENTITY TO WHICH THE PROPERTY RELATES

**PART E — LIABILITIES** [Major debts - See instructions]  
(If you have nothing to report, write "none" or "n/a")

NAME OF CREDITOR

ADDRESS OF CREDITOR

**PART F — INTERESTS IN SPECIFIED BUSINESSES** [Ownership or positions in certain types of businesses - See instructions]  
(If you have nothing to report, write "none" or "n/a")

BUSINESS ENTITY # 1

BUSINESS ENTITY # 2

NAME OF BUSINESS ENTITY

ADDRESS OF BUSINESS ENTITY

PRINCIPAL BUSINESS ACTIVITY

POSITION HELD WITH ENTITY

I OWN MORE THAN A 5% INTEREST IN THE BUSINESS

NATURE OF MY OWNERSHIP INTEREST

**PART G — TRAINING** For elected municipal officers, appointed school superintendents, and commissioners of a community redevelopment agency created under Part III, Chapter 163 required to complete annual ethics training pursuant to section 112.3142, F.S.

☐ I CERTIFY THAT I HAVE COMPLETED THE REQUIRED TRAINING.

IF ANY OF PARTS A THROUGH G ARE CONTINUED ON A SEPARATE SHEET, PLEASE CHECK HERE ☐

**SIGNATURE OF FILER:**

Signature:

Date Signed:

**CPA or ATTORNEY SIGNATURE ONLY**

If a certified public accountant licensed under Chapter 473, or attorney in good standing with the Florida Bar prepared this form for you, he or she must complete the following statement:

I, \_\_\_\_\_, prepared the CE Form 1 in accordance with Section 112.3145, Florida Statutes, and the instructions to the form. Upon my reasonable knowledge and belief, the disclosure herein is true and correct.

CPA/Attorney Signature: \_\_\_\_\_

Date Signed: \_\_\_\_\_

**FILING INSTRUCTIONS:**

If you were mailed the form by the Commission on Ethics or a County Supervisor of Elections for your annual disclosure filing, return the form to that location. To determine what category your position falls under, see page 3 of instructions.

**Local officers/employees** file with the Supervisor of Elections of the county in which they permanently reside. (If you do not permanently reside in Florida, file with the Supervisor of the county where your agency has its headquarters.) Form 1 filers who file with the Supervisor of Elections may file by mail or email. Contact your Supervisor of Elections for the mailing address or email address to use. Do not email your form to the Commission on Ethics; it will be returned.

**State officers or specified state employees** who file with the Commission on Ethics may file by mail or email. To file by mail, send the completed form to P.O. Drawer 15709, Tallahassee, FL 32317-5709; physical address: 325 John Knox Rd, Bldg E, Ste 200, Tallahassee, FL 32303. To file with the Commission by email, scan your completed form and any attachments as a pdf (do not use any other format), send it to [CEForm1@leg.state.fl.us](mailto:CEForm1@leg.state.fl.us) and retain a copy for your records. Do not file by both mail and email. Choose only one filing method. Form 6s will not be accepted via email.

**Candidates** file this form together with their filing papers.

**MULTIPLE FILING UNNECESSARY:** A candidate who files a Form 1 with a qualifying officer is not required to file with the Commission or Supervisor of Elections.

**WHEN TO FILE: Initially,** each local officer/employee, state officer, and specified state employee must file **within 30 days** of the date of his or her appointment or of the beginning of employment. Appointees who must be confirmed by the Senate must file prior to confirmation, even if that is less than 30 days from the date of their appointment.

**Candidates** must file at the same time they file their qualifying papers.

**Thereafter,** file by July 1 following each calendar year in which they hold their positions.

**Finally,** file a final disclosure form (Form 1F) within 60 days of leaving office or employment. Filing a CE Form 1F (Final Statement of Financial Interests) does not relieve the filer of filing a CE Form 1 if the filer was in his or her position on December 31, 2022.



EXHIBIT B  
Form 1

Examples:

— You are the sole proprietor of a dry cleaning business, from which you received more than 10% of your gross income—an amount that was more than \$1,500. If only one customer, a uniform rental company, provided more than 10% of your dry cleaning business, you must list the name of the uniform rental company, its address, and its principal business activity (uniform rentals).

— You are a 20% partner in a partnership that owns a shopping mall and your partnership income exceeded the thresholds listed above. You should list each tenant of the mall that provided more than 10% of the partnership's gross income, and the tenant's address and principal business activity.

PART C — REAL PROPERTY

[Required by s. 112.3145(3)(a)3, F.S.]

In this part, list the location or description of all real property in Florida in which you owned directly or indirectly at any time during the disclosure period in excess of 5% of the property's value. You are not required to list your residences. You should list any vacation homes, if you derive income from them.

Indirect ownership includes situations where you are a beneficiary of a trust that owns the property, as well as situations where you own more than 5% of a partnership or corporation that owns the property. The value of the property may be determined by the most recently assessed value for tax purposes, in the absence of a more accurate fair market value.

The location or description of the property should be sufficient to enable anyone who looks at the form to identify the property. A street address should be used, if one exists.

PART D — INTANGIBLE PERSONAL PROPERTY

[Required by s. 112.3145(3)(a)3, F.S.]

Describe any intangible personal property that, at any time during the disclosure period, was worth more than 10% of your total assets, and state the business entity to which the property related. Intangible personal property includes things such as cash on hand, stocks, bonds, certificates of deposit, vehicle leases, interests in businesses, beneficial interests in trusts, money owed you (including, but not limited to, loans made as a candidate to your own campaign), Deferred Retirement Option Program (DROP) accounts, the Florida Prepaid College Plan, and bank accounts in which you have an ownership interest. Intangible personal property also includes investment products held in IRAs, brokerage accounts, and the Florida College Investment Plan. Note that the product contained in a brokerage account, IRA, or the Florida College Investment Plan is your asset—not the account or plan itself. Things like automobiles and houses you own, jewelry, and paintings are not intangible property. Intangibles relating to the same business entity may be aggregated, for example, CD's and savings accounts with the same bank.

Calculations: To determine whether the intangible property exceeds 10% of your total assets, total the fair market value of all of your assets (including real property, intangible property, and tangible personal property such as jewelry, furniture, etc.). When making this calculation, do not subtract any liabilities (debts) that may relate to the property. Multiply the total figure by 13% to arrive at the disclosure threshold. List only the intangibles that exceed this threshold amount. The value of a leased vehicle is the vehicle's present value minus the lease residual (a number which can be found on the lease document). Property that is only jointly owned property should be valued according to the percentage of your joint ownership. Property owned as tenants by the entirety or as joint tenants with right of survivorship, including bank accounts owned in such a manner, should be valued at 100%. None of your calculations or the value of the property have to be disclosed on the form.

Example: You own 50% of the stock of a small corporation that is worth \$100,000, the estimated fair market value of your home and other property (bank accounts, automobile, furniture, etc.) is \$200,000. As your total assets are worth \$250,000, you must disclose intangibles worth over \$25,000. Since the value of the stock exceeds this threshold, you should list "stock" and the name of the corporation. If your accounts with a particular bank exceed \$25,000, you should list "bank accounts" and bank's name.

PART E — LIABILITIES

[Required by s. 112.3145(3)(b)4, F.S.]

List the name and address of each creditor to whom you owed any amount that, at any time during the disclosure period, exceeded your net worth. You are not required to list the amount of any debt or your net worth. You do not have to disclose: credit card and retail installment accounts, taxes owed (unless reduced to a judgment), indebtedness on a life insurance policy owed to the company of issuance, or contingent liabilities. A "contingent liability" is one that will become an actual liability only when one or more future events occur or fail to occur, such as where you are liable only as a guarantor, surety, or endorser on a promissory note. If you are a "co-maker" and are jointly liable or jointly and severally liable, it is not a contingent liability.

Calculations: To determine whether the debt exceeds your net worth, total all of your liabilities (including promissory notes, mortgages, credit card debts, judgments against you, etc.). The amount of the liability of a vehicle lease is the sum of any past-due payments and all unpaid prospective lease payments. Subtract the sum total of your liabilities from the value of all your assets as calculated above for Part D. This is your "net worth." List each creditor to whom your debt exceeded this amount unless it is one of the types of indebtedness listed in the paragraph above (credit card and retail installment accounts, etc.). Joint liabilities with others for which you are "jointly and severally liable," meaning that you may be liable for either your part or the whole of the obligation, should be included in your calculations at 100% of the amount owed.

Example: You owe \$15,000 to a bank for student loans, \$5,000 for credit card debts, and \$60,000 (with spouse) to a savings and loan for a home mortgage. Your home (owned by you and your spouse) is worth \$80,000 and your other property is worth \$20,000. Since your net worth is \$20,000 (\$100,000 minus \$80,000), you must report only the name and address of the savings and loan.

PART F — INTERESTS IN SPECIFIED BUSINESSES

[Required by s. 112.3145(7), F.S.]

The types of businesses covered in this disclosure include state and federally chartered banks; state and federal savings and loan associations; cemetery companies; insurance companies; mortgage companies; credit unions; small loan companies; alcoholic beverage licensees; pari-mutuel wagering companies; utility companies; entities controlled by the Public Service Commission; and entities that operate a franchise to operate by either a city or a county government.

Disclose in this part the fact that you own an interest in the disclosure period an interest in, or held an interest in certain positions with, the types of businesses listed above. You are required to make this disclosure if you own or owned, either directly or indirectly in the form of an equitable or beneficial interest, at any time during the disclosure period more than 5% of the total assets or capital stock of one of the types of business entities listed above. You also must complete this part of the form for each of these types of businesses for which you are, or were at any time during the disclosure period, an officer, director, partner, proprietor, or agent (other than a resident agent solely for service of process).

If you have or held such a position or ownership interest in one of these types of businesses, list the name of the business, its address and principal business activity, and the position held with the business (if any). If you own(ed) more than a 5% interest in the business, indicate that fact and describe the nature of your interest.

PART G — TRAINING CERTIFICATION

[Required by s. 112.3142, F.S.]

If you are a Constitutional or elected municipal officer, appointed school superintendent, or a commissioner of a community redevelopment agency created under Part III, Chapter 163 whose service began before March 31 of the year for which you are filing, you are required to complete four hours of ethics training which addresses Article II, Section 8 of the Florida Constitution, the Code of Ethics for Public Officers and Employees, and the public records and open meetings laws of the state. You are required to certify on this form that you have taken such training.

NOTICE

Annual Statements of Financial Interests are due July 1. If the annual form is not filed or postmarked by September 1, an automatic fine of \$25 for each day late will be imposed, up to a maximum penalty of \$1,500. Failure to file also can result in removal from public office or employment. [s. 112.3145, F.S.]

In addition, failure to make any required disclosure constitutes grounds for and may be punished by one or more of the following: disqualification from being on the ballot, impeachment, removal or suspension from office or employment, demotion, reduction in salary, reprimand, or a civil penalty not exceeding \$10,000. [s. 112.317, F.S.]

WHO MUST FILE FORM 1:

1) Elected public officials not serving in a political subdivision of the state and any person appointed to fill a vacancy in such office, unless required to file full disclosure on Form 6.

2) Appointed members of each board, commission, authority, or council having statewide jurisdiction, excluding members of solely advisory bodies, but including judicial nominating commission members; Directors of Enterprise Florida, Florida State Lottery, Florida Funding Corporation, and Career Source Florida; and members of the Council on the Social Status of Black Men and Boys; the Executive Director, Governors, and senior managers of Citizens Property Insurance Corporation; Governors and senior managers of Florida Workers' Compensation Joint Underwriting Association; board members of the North West Fla. Regional Transportation Commission; board members of Triumphant Coaching, Inc.; board members of Florida Is For Veterans, Inc.; and members of the Technology Advisory Council within the Agency for State Technology.

3) The Commissioner of Education, members of the State Board of Education, the Board of Governors, the local Boards of Trustees and Presidents of the State Universities, and the Florida Prepaid College Board.

4) Persons elected to office in any political subdivision (such as municipalities, counties, and special districts) and any person appointed to fill a vacancy in such office, unless required to file Form 6.

5) Appointed members of the following boards, councils, commissions, authorities, or other bodies of county, municipality, school district, independent special district, or other political subdivision: the governing body of the subdivision; community college or junior college district boards of trustees; boards having the power to enforce local code provisions; boards of adjustment; community redevelopment agencies; planning or zoning boards having the power to recommend, create, or modify land planning or zoning within a political subdivision, except for citizen advisory committees, technical coordinating committees, and similar groups who only have the power to make recommendations to planning or zoning boards, and except for representatives of a military installation acting on behalf of all military installations within that jurisdiction; pension or retirement boards empowered to invest pension or retirement funds or determine entitlement to or amount of pensions or other retirement benefits, and the Pinellas County Construction Licensing Board.

6) Any appointed member of a local government board who is required to file a statement of financial interests by the appointing authority or the enabling legislation, ordinance, or resolution creating the board.

7) Persons holding any of these positions in local government: mayor; county or city manager; chief administrative employee or finance director of a county, municipality, or other political subdivision; county or municipal attorney; chief county or municipal building inspector; county

or municipal water resources coordinator; county or municipal pollution control director; county or municipal environmental control director; county or municipal administrator with power to grant or deny a land development permit; chief of police; fire chief; municipal clerk; appointed district school superintendent; community college president; district medical examiner; purchasing agent (regardless of title) having the authority to make any purchase exceeding \$35,000 for the local governmental unit.

8) Officers and employees of entities serving as chief administrative officer of a political subdivision.

9) Members of governing boards of charter schools operated by a city or other public entity.

10) Employees in the office of the Governor or of a Cabinet member who are exempt from the Career Service System, excluding secretarial, clerical, and similar positions.

11) The following positions in each state department, commission, board, or council: Secretary, Assistant or Deputy Secretary, Executive Director, Assistant or Deputy Executive Director, and anyone having the power normally conferred upon such persons, regardless of title.

12) The following positions in each state department or division: Director, Assistant or Deputy Director, Bureau Chief, and any person having the power normally conferred upon such persons, regardless of title.

13) Assistant State Attorneys, Assistant Public Defenders, criminal conflict and civil regional counsel, and assistant criminal conflict and civil regional counsel, Public Counsel, full-time state employees serving as counsel or assistant counsel to a state agency, administrative law judges, and hearing officers.

14) The Superintendent or Director of a state mental health institute established for training and research in the mental health field, or any major state institution or facility established for corrections, training, treatment, or rehabilitation.

15) State agency Business Managers, Finance and Accounting Directors, Personnel Officers, Grant Coordinators, and purchasing agents (regardless of title) with power to make a purchase exceeding \$35,000.

16) The following positions in legislative branch agencies: each employee (other than those employed in maintenance, clerical, secretarial, or similar positions and legislative assistants exempted by the presiding officer of their house); and each employee of the Commission on Ethics.

17) Each member of the governing body of a "large-hub commercial service airport," as defined in Section 112.3144(1)(c), Florida Statutes, except for members required to comply with the financial disclosure requirements of s. 8, Article II of the State Constitution.

INSTRUCTIONS FOR COMPLETING FORM 1:

**INTRODUCTORY INFORMATION** (Top of Form): If your name, mailing address, public agency, and position are already printed on the form, you do not need to provide this information unless it should be changed. To change any of this information, write the correct information on the form, and contact your agency's financial disclosure coordinator. You can find your coordinator on the Commission on Ethics website: [www.ethics.state.fl.us](http://www.ethics.state.fl.us).

**NAME OF AGENCY:** The name of the governmental unit which you serve or served, by which you are or were employed, or for which you are a candidate.

**DISCLOSURE PERIOD:** The "disclosure period" for your report is the calendar year ending December 31, 2022.

**OFFICE OR POSITION HELD OR SOUGHT:** The title of the office or position you hold, are seeking, or held during the disclosure period even if you have since left that position. If you are a candidate for office or are a new employee or appointee, check the appropriate box.

**PUBLIC RECORD:** The disclosure form and everything attached to it is a public record. Your social security number, bank account, debit, charge, and credit card numbers are not required and you should redact them from any documents you file. If you are an active or former officer or employee listed in Section 119.071, F.S., whose home address is exempt from disclosure, the Commission will maintain that confidentiality if you submit a written and notarized request.



EXHIBIT B  
Form 1

**MANNER OF CALCULATING REPORTABLE INTEREST**

Filers have the option of reporting based on either thresholds that are comparative (usually, based on percentage values) or thresholds that are based on absolute dollar values. The instructions on the following pages specifically describe the different thresholds. Check the box that reflects the choice you have made. You must use the type of threshold you have chosen for each part of the form. In other words, if you choose to report based on absolute dollar value thresholds, you cannot use a percentage threshold on any part of the form.

**IF YOU HAVE CHOSEN DOLLAR VALUE THRESHOLDS  
THE FOLLOWING INSTRUCTIONS APPLY**

**PART A — PRIMARY SOURCES OF INCOME**

[Required by s. 112.3145(3)(b)1, F.S.]

Part A is intended to require the disclosure of your principal sources of income during the disclosure period. You do not have to disclose any public salary or public position(s). The income of your spouse need not be disclosed; however, if there is joint income to you and your spouse from property you own jointly (such as interest or dividends from a bank account or stocks), you should disclose the source of that income if it exceeded the threshold.

Please list in this part of the form the name, address, and principal business activity of each source of your income which exceeded \$2,500 of gross income received by you in your own name or by any other person for your use or benefit.

"Gross income" means the same as it does for income tax purposes, even if the income is not actually taxable, such as interest on tax-free bonds. Examples include: compensation for services, income from business, gains from property dealings, interest, rents, dividends, pensions, IRA distributions, social security, distributive share of partnership gross income, and alimony if considered gross income under federal law, but not child support.

Examples:

- If you were employed by a company that manufactures computers and received more than \$2,500, list the name of the company, its address, and its principal business activity (computer manufacturing).
- If you were a partner in a law firm and your distributive share of partnership gross income exceeded \$2,500, list the name of the firm, its address, and its principal business activity (practice of law).
- If you were the sole proprietor of a retail gift business and your gross income from the business exceeded \$2,500, list the name of the business, its address, and its principal business activity (retail gift sales).
- If you received income from investments in stocks and bonds, list each individual company from which you derived more than \$2,500. Do not aggregate all of your investment income.
- If more than \$2,500 of your gross income was gain from the sale of property (not just the selling price), list as a source of income the purchaser's name, address and principal business activity. If the purchaser's identity is unknown, such as where securities listed on an exchange are sold through a brokerage firm, the source of income should be listed as "sale of (name of company) stock," for example.
- If more than \$2,500 of your gross income was in the form of interest from one particular financial institution (aggregating interest from all CD's, accounts, etc., at that institution), list the name of the institution, its address, and its principal business activity.

**PART B — SECONDARY SOURCES OF INCOME**

[Required by s. 112.3145(3)(b)2, F.S.]

This part is intended to require the disclosure of major customers, clients, and other sources of income to businesses in which you own an interest. It is not for reporting income from second jobs. That kind of income should be reported in Part A "Primary Sources of Income," if it meets the reporting threshold. You will not have anything to report unless, during the disclosure period:

- (1) You owned (either directly or indirectly in the form of an equitable

or beneficial interest) more than 5% of the total assets or capital stock of a business entity (a corporation, partnership, LLC, limited partnership, proprietorship, joint venture, trust, firm, etc., doing business in Florida); and,

- (2) You received more than \$5,000 of your gross income during the disclosure period from that business entity.

If your interests and gross income exceeded these thresholds, then for that business entity you must list every source of income to the business entity which exceeded 10% of the business entity's gross income (computed on the basis of the business entity's most recently completed fiscal year), the source's address, and the source's principal business activity.

Examples:

- You are the sole proprietor of a dry cleaning business, from which you received more than \$5,000. If only one customer, a uniform rental company, provided more than 10% of your dry cleaning business, you must list the name of the uniform rental company, its address, and its principal business activity (uniform rentals).
- You are a 20% partner in a partnership that owns a shopping mall and your partnership income exceeded the above thresholds. List each tenant of the mall that provided more than 10% of the partnership's gross income and the tenant's address and principal business activity.

**PART C — REAL PROPERTY**

[Required by s. 112.3145(3)(b)3, F.S.]

In this part, list the location or description of all real property in Florida in which you owned directly or indirectly at any time during the disclosure period in excess of 5% of the property's value. You are not required to list your residences. You should list any vacation homes if you derive income from them.

Indirect ownership includes situations where you are a beneficiary of a trust that owns the property, as well as situations where you own more than 5% of a partnership or corporation that owns the property. The value of the property may be determined by the most recently assessed value for tax purposes, in the absence of a more accurate market value.

The location or description of the property should be sufficient to enable anyone who looks at the form to identify the property. A street address should be used, if one exists.

**PART D — INTANGIBLE PERSONAL PROPERTY**

[Required by s. 112.3145(3)(b)3, F.S.]

Describe any intangible personal property that, at any time during the disclosure period, was worth more than \$10,000 and state the business entity to which the property related. Intangible personal property includes things such as cash on hand, stocks, bonds, certificates of deposit, vehicle leases, interests in businesses, beneficial interests in trusts, money owed you (including, but not limited to, loans made as a candidate to your own campaign), Deferred Retirement Option Program (DROP) accounts, the Florida Prepaid College Plan, and bank accounts in which you have an ownership interest. Intangible personal property also includes investment products held in IRAs, brokerage accounts, and the Florida College Investment Plan. Note that the product contained in a brokerage account, IRA, or the Florida College Investment Plan is your asset—not the account or plan itself. Things like automobiles and houses you own, jewelry, and paintings are not intangible property. Intangibles relating to the same business entity may be aggregated; for example, CDs and savings accounts with the same bank. Property owned as tenants by the entirety or as joint tenants with right of survivorship, including bank accounts owned in such a manner, should be valued at 100%. The value of a leased vehicle is the vehicle's present value minus the lease residual (a number found on the lease document).

**PART E — LIABILITIES**

[Required by s. 112.3145(3)(b)4, F.S.]

List the name and address of each creditor to whom you owed more than \$10,000 at any time during the disclosure period. The amount of the liability of a vehicle lease is the sum of any past-due payments and all unpaid prospective lease payments. You are not required to list the amount of any debt. You do not have to disclose credit card and retail installment accounts, taxes owed (unless reduced to a judgment), indebtedness on a life insurance policy owed to the company of issuance, or contingent liabilities. A "contingent liability" is one that will become an actual liability only when one or more future events occur or fail to occur, such as where you are liable only as a guarantor, surety, or endorser on a promissory note. If you are a "co-maker" and are jointly liable or jointly and severally liable, then it is not a contingent liability.

**PART F — INTERESTS IN SPECIFIED BUSINESSES**

[Required by s. 112.3145(7), F.S.]

The types of businesses covered in this disclosure include: state and federally chartered banks; state and federal savings and loan associations; cemetery companies; insurance companies; mortgage companies; credit unions; small loan companies; alcoholic beverage licensees; pari-mutuel wagering companies; utility companies; entities controlled by the Public Service Commission; and entities granted a franchise to operate by either a city or a county government.

Disclose in this part the name of that you owned during the disclosure

period an interest in, or held any of certain positions with the types of businesses listed above. You must make this disclosure if you own or owned (either directly or indirectly in the form of an equitable or beneficial interest) at any time during the disclosure period more than 5% of the total assets or capital stock of one of the types of business entities listed above. You also must complete this part of the form for each of these types of businesses for which you are, or were at any time during the disclosure period, an officer, director, partner, proprietor, or agent (other than a resident agent solely for service of process).

If you have or held such a position or ownership interest in one of these types of businesses, list the name of the business, its address and principal business activity, and the position held with the business (if any). If you own(ed) more than a 5% interest in the business, indicate that fact and describe the nature of your interest.

**PART G — TRAINING CERTIFICATION**

[Required by s. 112.3142, F.S.]

If you are a Constitutional or elected municipal officer, appointed school superintendent, or a commissioner of a community redevelopment agency created under Part III, Chapter 163 whose service began before March 31 of the year for which you are filing, you are required to complete four hours of ethics training which addresses Article II, Section 8 of the Florida Constitution, the Code of Ethics for Public Officers and Employees, and the public records and open meetings laws of the state. You are required to certify on this form that you have taken such training.

**IF YOU HAVE CHOSEN COMPARATIVE (PERCENTAGE) THRESHOLDS  
THE FOLLOWING INSTRUCTIONS APPLY**

**PART A — PRIMARY SOURCES OF INCOME**

[Required by s. 112.3145(3)(a)1, F.S.]

Part A is intended to require the disclosure of your principal sources of income during the disclosure period. You do not have to disclose any public salary or public position(s). but income from these public sources should be included when calculating your gross income for the disclosure period. The income of your spouse need not be disclosed; however, if there is joint income to you and your spouse from property you own jointly (such as interest or dividends from a bank account or stocks), you should include all of that income when calculating your gross income and disclose the source of that income if it exceeded the threshold.

Please list in this part of the form the name, address, and principal business activity of each source of your income which exceeded 5% of the gross income received by you in your own name or by any other person for your benefit or use during the disclosure period.

"Gross income" means the same as it does for income tax purposes, even if the income is not actually taxable, such as interest on tax-free bonds. Examples include: compensation for services, income from business, gains from property dealings, interest, rents, dividends, pensions, IRA distributions, social security, distributive share of partnership gross income, and alimony if considered gross income under federal law, but not child support.

Examples:

- If you were employed by a company that manufactures computers and received more than 5% of your gross income from the company, list the name of the company, its address, and its principal business activity (computer manufacturing).
- If you were a partner in a law firm and your distributive share of partnership gross income exceeded 5% of your gross income, then list the name of the firm, its address, and its principal business activity (practice of law).
- If you were the sole proprietor of a retail gift business and your gross income from the business exceeded 5% of your total gross income, list the name of the business, its address, and its principal business activity (retail gift sales).
- If you received income from investments in stocks and

bonds, list each individual company from which you derived more than 5% of your gross income. Do not aggregate all of your investment income.

— If more than 5% of your gross income was gain from the sale of property (not just the selling price), list as a source of income the purchaser's name, address, and principal business activity. If the purchaser's identity is unknown, such as where securities listed on an exchange are sold through a brokerage firm, the source of income should be listed as "sale of (name of company) stock," for example.

— If more than 5% of your gross income was in the form of interest from one particular financial institution (aggregating interest from all CD's, accounts, etc., at that institution), list the name of the institution, its address, and its principal business activity.

**PART B — SECONDARY SOURCES OF INCOME**

[Required by s. 112.3145(3)(a)2, F.S.]

This part is intended to require the disclosure of major customers, clients, and other sources of income to businesses in which you own an interest. It is not for reporting income from second jobs. That kind of income should be reported in Part A, "Primary Sources of Income," if it meets the reporting threshold. You will not have anything to report unless during the disclosure period:

- (1) You owned (either directly or indirectly in the form of an equitable or beneficial interest) more than 5% of the total assets or capital stock of a business entity (a corporation, partnership, LLC, limited partnership, proprietorship, joint venture, trust, firm, etc., doing business in Florida); and,
- (2) You received more than 10% of your gross income from that business entity; and,
- (3) You received more than \$1,500 in gross income from that business entity.

If your interests and gross income exceeded these thresholds, then for that business entity you must list every source of income to the business entity which exceeded 10% of the business entity's gross income (computed on the basis of the business entity's most recently completed fiscal year), the source's address, and the source's principal business activity.

EXHIBIT B  
Form 1

**MANNER OF CALCULATING REPORTABLE INTEREST**

Filers have the option of reporting based on either thresholds that are comparative (usually, based on percentage values) or thresholds that are based on absolute dollar values. The instructions on the following pages specifically describe the different thresholds. Check the box that reflects the choice you have made. You must use the type of threshold you have chosen for each part of the form. In other words, if you choose to report based on absolute dollar value thresholds, you cannot use a percentage threshold on any part of the form.

**IF YOU HAVE CHOSEN DOLLAR VALUE THRESHOLDS  
THE FOLLOWING INSTRUCTIONS APPLY**

**PART A — PRIMARY SOURCES OF INCOME**

[Required by s. 112.3145(3)(b)1, F.S.]

Part A is intended to require the disclosure of your principal sources of income during the disclosure period. You do not have to disclose any public salary or public position(s). The income of your spouse need not be disclosed; however, if there is joint income to you and your spouse from property you own jointly (such as interest or dividends from a bank account or stocks), you should disclose the source of that income if it exceeded the threshold.

Please list in this part of the form the name, address, and principal business activity of each source of your income which exceeded \$2,500 of gross income received by you in your own name or by any other person for your use or benefit.

"Gross income" means the same as it does for income tax purposes, even if the income is not actually taxable, such as interest on tax-free bonds. Examples include: compensation for services, income from business, gains from property dealings, interest, rents, dividends, pensions, IRA distributions, social security, distributive share of partnership gross income, and alimony if considered gross income under federal law, but not child support.

Examples:

- If you were employed by a company that manufactures computers and received more than \$2,500, list the name of the company, its address, and its principal business activity (computer manufacturing).
- If you were a partner in a law firm and your distributive share of partnership gross income exceeded \$2,500, list the name of the firm, its address, and its principal business activity (practice of law).
- If you were the sole proprietor of a retail gift business and your gross income from the business exceeded \$2,500, list the name of the business, its address, and its principal business activity (retail gift sales).
- If you received income from investments in stocks and bonds, list each individual company from which you derived more than \$2,500. Do not aggregate all of your investment income.
- If more than \$2,500 of your gross income was gain from the sale of property (not just the selling price), list as a source of income the purchaser's name, address and principal business activity. If the purchaser's identity is unknown, such as where securities listed on an exchange are sold through a brokerage firm, the source of income should be listed as "sale of (name of company) stock," for example.
- If more than \$2,500 of your gross income was in the form of interest from one particular financial institution (aggregating interest from all CD's, accounts, etc., at that institution), list the name of the institution, its address, and its principal business activity.

**PART B — SECONDARY SOURCES OF INCOME**

[Required by s. 112.3145(3)(b)2, F.S.]

This part is intended to require the disclosure of major customers, clients, and other sources of income to businesses in which you own an interest. It is not for reporting income from second jobs. That kind of income should be reported in Part A "Primary Sources of Income," if it meets the reporting threshold. You will not have anything to report unless, during the disclosure period:

- (1) You owned (either directly or indirectly in the form of an equitable

or beneficial interest) more than 5% of the total assets or capital stock of a business entity (a corporation, partnership, LLC, limited partnership, proprietorship, joint venture, trust, firm, etc., doing business in Florida); and,

- (2) You received more than \$5,000 of your gross income during the disclosure period from that business entity.

If your interests and gross income exceeded these thresholds, then for that business entity you must list every source of income to the business entity which exceeded 10% of the business entity's gross income (computed on the basis of the business entity's most recently completed fiscal year), the source's address, and the source's principal business activity.

Examples:

- You are the sole proprietor of a dry cleaning business, from which you received more than \$5,000. If only one customer, a uniform rental company, provided more than 10% of your dry cleaning business, you must list the name of the uniform rental company, its address, and its principal business activity (uniform rentals).
- You are a 20% partner in a partnership that owns a shopping mall and your partnership income exceeded the above thresholds. List each tenant of the mall that provided more than 10% of the partnership's gross income and the tenant's address and principal business activity.

**PART C — REAL PROPERTY**

[Required by s. 112.3145(3)(b)3, F.S.]

In this part, list the location or description of all real property in Florida in which you owned directly or indirectly at any time during the disclosure period in excess of 5% of the property's value. You are not required to list your residences. You should list any vacation homes if you derive income from them.

Indirect ownership includes situations where you are a beneficiary of a trust that owns the property, as well as situations where you own more than 5% of a partnership or corporation that owns the property. The value of the property may be determined by the most recently assessed value for tax purposes, in the absence of a more accurate market value.

The location or description of the property should be sufficient to enable anyone who looks at the form to identify the property. A street address should be used, if one exists.

**PART D — INTANGIBLE PERSONAL PROPERTY**

[Required by s. 112.3145(3)(b)3, F.S.]

Describe any intangible personal property that, at any time during the disclosure period, was worth more than \$10,000 and state the business entity to which the property related. Intangible personal property includes things such as cash on hand, stocks, bonds, certificates of deposit, vehicle leases, interests in businesses, beneficial interests in trusts, money owed you (including, but not limited to, loans made as a candidate to your own campaign), Deferred Retirement Option Program (DROP) accounts, the Florida Prepaid College Plan, and bank accounts in which you have an ownership interest. Intangible personal property also includes investment products held in IRAs, brokerage accounts, and the Florida College Investment Plan. Note that the product contained in a brokerage account, IRA, or the Florida College Investment Plan is your asset—not the account or plan itself. Things like automobiles and houses you own, jewelry, and paintings are not intangible property. Intangibles relating to the same business entity may be aggregated; for example, CDs and savings accounts with the same bank. Property owned as tenants by the entirety or as joint tenants with right of survivorship, including bank accounts owned in such a manner, should be valued at 100%. The value of a leased vehicle is the vehicle's present value minus the lease residual (a number found on the lease document).

**PART E — LIABILITIES**

[Required by s. 112.3145(3)(b)4, F.S.]

List the name and address of each creditor to whom you owed more than \$10,000 at any time during the disclosure period. The amount of the liability of a vehicle lease is the sum of any past-due payments and all unpaid prospective lease payments. You are not required to list the amount of any debt. You do not have to disclose credit card and retail installment accounts, taxes owed (unless reduced to a judgment), indebtedness on a life insurance policy owed to the company of issuance, or contingent liabilities. A "contingent liability" is one that will become an actual liability only when one or more future events occur or fail to occur, such as where you are liable only as a guarantor, surety, or endorser on a promissory note. If you are a "co-maker" and are jointly liable or jointly and severally liable, then it is not a contingent liability.

**PART F — INTERESTS IN SPECIFIED BUSINESSES**

[Required by s. 112.3145(7), F.S.]

The types of businesses covered in this disclosure include: state and federally chartered banks, state and federal savings and loan associations; cemetery companies; insurance companies; mortgage companies; credit unions; small loan companies; alcoholic beverage licensees; pari-mutuel wagering companies; utility companies; entities controlled by the Public Service Commission; and entities granted a franchise to operate by either a city or a county government.

Disclose in this part the name of each business that you owned during the disclosure

period an interest in, or held any of certain positions with the types of businesses listed above. You must make this disclosure if you own or owned (either directly or indirectly in the form of an equitable or beneficial interest) at any time during the disclosure period more than 5% of the total assets or capital stock of one of the types of business entities listed above. You also must complete this part of the form for each of these types of businesses for which you are, or were at any time during the disclosure period, an officer, director, partner, proprietor, or agent (other than a resident agent solely for service of process).

If you have or held such a position or ownership interest in one of these types of businesses, list the name of the business, its address and principal business activity, and the position held with the business (if any). If you own(ed) more than a 5% interest in the business, indicate that fact and describe the nature of your interest.

**PART G — TRAINING CERTIFICATION**

[Required by s. 112.3142, F.S.]

If you are a Constitutional or elected municipal officer, appointed school superintendent, or a commissioner of a community redevelopment agency created under Part III, Chapter 163 whose service began before March 31 of the year for which you are filing, you are required to complete four hours of ethics training which addresses Article II, Section 8 of the Florida Constitution, the Code of Ethics for Public Officers and Employees, and the public records and open meetings laws of the state. You are required to certify on this form that you have taken such training.

**IF YOU HAVE CHOSEN COMPARATIVE (PERCENTAGE) THRESHOLDS  
THE FOLLOWING INSTRUCTIONS APPLY**

**PART A — PRIMARY SOURCES OF INCOME**

[Required by s. 112.3145(3)(a)1, F.S.]

Part A is intended to require the disclosure of your principal sources of income during the disclosure period. You do not have to disclose any public salary or public position(s), but income from these public sources should be included when calculating your gross income for the disclosure period. The income of your spouse need not be disclosed; however, if there is joint income to you and your spouse from property you own jointly (such as interest or dividends from a bank account or stocks), you should include all of that income when calculating your gross income and disclose the source of that income if it exceeded the threshold.

Please list in this part of the form the name, address, and principal business activity of each source of your income which exceeded 5% of the gross income received by you in your own name or by any other person for your benefit or use during the disclosure period.

"Gross income" means the same as it does for income tax purposes, even if the income is not actually taxable, such as interest on tax-free bonds. Examples include: compensation for services, income from business, gains from property dealings, interest, rents, dividends, pensions, IRA distributions, social security, distributive share of partnership gross income, and alimony if considered gross income under federal law, but not child support.

Examples:

- If you were employed by a company that manufactures computers and received more than 5% of your gross income from the company, list the name of the company, its address, and its principal business activity (computer manufacturing).
- If you were a partner in a law firm and your distributive share of partnership gross income exceeded 5% of your gross income, then list the name of the firm, its address, and its principal business activity (practice of law).
- If you were the sole proprietor of a retail gift business and your gross income from the business exceeded 5% of your total gross income, list the name of the business, its address, and its principal business activity (retail gift sales).
- If you received income from investments in stocks and

bonds, list each individual company from which you derived more than 5% of your gross income. Do not aggregate all of your investment income.

— If more than 5% of your gross income was gain from the sale of property (not just the selling price), list as a source of income the purchaser's name, address, and principal business activity. If the purchaser's identity is unknown, such as where securities listed on an exchange are sold through a brokerage firm, the source of income should be listed as "sale of (name of company) stock," for example.

— If more than 5% of your gross income was in the form of interest from one particular financial institution (aggregating interest from all CD's, accounts, etc., at that institution), list the name of the institution, its address, and its principal business activity.

**PART B — SECONDARY SOURCES OF INCOME**

[Required by s. 112.3145(3)(a)2, F.S.]

This part is intended to require the disclosure of major customers, clients, and other sources of income to businesses in which you own an interest. It is not for reporting income from second jobs. That kind of income should be reported in Part A, "Primary Sources of Income," if it meets the reporting threshold. You will not have anything to report unless during the disclosure period:

- (1) You owned (either directly or indirectly in the form of an equitable or beneficial interest) more than 5% of the total assets or capital stock of a business entity (a corporation, partnership, LLC, limited partnership, proprietorship, joint venture, trust, firm, etc., doing business in Florida); and,
- (2) You received more than 10% of your gross income from that business entity; and,
- (3) You received more than \$1,500 in gross income from that business entity.

If your interests and gross income exceeded these thresholds, then for that business entity you must list every source of income to the business entity which exceeded 10% of the business entity's gross income (computed on the basis of the business entity's most recently completed fiscal year), the source's address, and the source's principal business activity.

EXHIBIT B  
Form 1

Examples:

— You are the sole proprietor of a dry cleaning business, from which you received more than 10% of your gross income—an amount that was more than \$1,500. If only one customer, a uniform rental company, provided more than 10% of your dry cleaning business, you must list the name of the uniform rental company, its address, and its principal business activity (uniform rentals).

— You are a 20% partner in a partnership that owns a shopping mall and your partnership income exceeded the thresholds listed above. You should list each tenant of the mall that provided more than 10% of the partnership's gross income, and the tenant's address and principal business activity.

**PART C — REAL PROPERTY**

[Required by s. 112.3145(3)(a)3, F.S.]

In this part, list the location or description of all real property in Florida in which you owned directly or indirectly at any time during the disclosure period in excess of 5% of the property's value. You are not required to list your residences. You should list any vacation homes, if you derive income from them.

Indirect ownership includes situations where you are a beneficiary of a trust that owns the property, as well as situations where you own more than 5% of a partnership or corporation that owns the property. The value of the property may be determined by the most recently assessed value for tax purposes, in the absence of a more accurate fair market value.

The location or description of the property should be sufficient to enable anyone who looks at the form to identify the property. A street address should be used, if one exists.

**PART D — INTANGIBLE PERSONAL PROPERTY**

[Required by s. 112.3145(3)(a)3, F.S.]

Describe any intangible personal property that, at any time during the disclosure period, was worth more than 10% of your total assets, and state the business entity to which the property related. Intangible personal property includes things such as cash on hand, stocks, bonds, certificates of deposit, vehicle leases, interests in businesses, beneficial interests in trusts, money owed you (including, but not limited to, loans made as a candidate to your own campaign), Deferred Retirement Option Program (DROP) accounts, the Florida Prepaid College Plan, and bank accounts in which you have an ownership interest. Intangible personal property also includes investment products held in IRAs, brokerage accounts, and the Florida College Investment Plan. Note that the product contained in a brokerage account, IRA, or the Florida College Investment Plan is your asset—not the account or plan itself. Things like automobiles and houses you own, jewelry, and paintings are not intangible property. Intangibles relating to the same business entity may be aggregated; for example, CD's and savings accounts with the same bank.

Calculations: To determine whether the intangible property exceeds 10% of your total assets, total the fair market value of all of your assets (including real property, intangible property, and tangible personal property such as jewelry, furniture, etc.). When making this calculation, do not subtract any liabilities (debts) that may relate to the property. Multiply the total figure by 10% to arrive at the disclosure threshold. List only the intangibles that exceed this threshold amount. The value of a leased vehicle is the vehicle's present value minus the lease residual (a number which can be found on the lease document). Property that is only jointly owned property should be valued according to the percentage of your joint ownership. Property owned as tenants by the entirety or as joint tenants with right of survivorship, including bank accounts owned in such a manner, should be valued at 100%. None of your calculations or the value of the property have to be disclosed on the form.

Example: You own 50% of the stock of a small corporation that is worth \$100,000, the estimated fair market value of your home and other property (bank accounts, automobile, furniture, etc.) is \$200,000. As your total assets are worth \$250,000, you must disclose intangibles worth over \$25,000. Since the value of the stock exceeds this threshold, you should list "stock" and the name of the corporation. If your accounts with a particular bank exceed \$25,000, you should list "bank accounts" and bank's name.

**PART E — LIABILITIES**

[Required by s. 112.3145(3)(b)4, F.S.]

List the name and address of each creditor to whom you owed any amount that, at any time during the disclosure period, exceeded your net worth. You are not required to list the amount of any debt or your net worth. You do not have to disclose: credit card and retail installment accounts, taxes owed (unless reduced to a judgment), indebtedness on a life insurance policy owed to the company of issuance, or contingent liabilities. A "contingent liability" is one that will become an actual liability only when one or more future events occur or fail to occur, such as where you are liable only as a guarantor, surety, or endorser on a promissory note. If you are a "co-maker" and are jointly liable or jointly and severally liable, it is not a contingent liability.

Calculations: To determine whether the debt exceeds your net worth, total all of your liabilities (including promissory notes, mortgages, credit card debts, judgments against you, etc.). The amount of the liability of a vehicle lease is the sum of any past-due payments and all unpaid prospective lease payments. Subtract the sum total of your liabilities from the value of all your assets as calculated above for Part D. This is your "net worth." List each creditor to whom your debt exceeded this amount unless it is one of the types of indebtedness listed in the paragraph above (credit card and retail installment accounts, etc.). Joint liabilities with others for which you are "jointly and severally liable," meaning that you may be liable for either your part or the whole of the obligation, should be included in your calculations at 100% of the amount owed.

Example: You owe \$15,000 to a bank for student loans, \$5,000 for credit card debts, and \$60,000 (with spouse) to a savings and loan for a home mortgage. Your home (owned by you and your spouse) is worth \$80,000 and your other property is worth \$20,000. Since your net worth is \$20,000 (\$100,000 minus \$80,000), you must report only the name and address of the savings and loan.

**PART F — INTERESTS IN SPECIFIED BUSINESSES**

[Required by s. 112.3145(7), F.S.]

The types of businesses covered in this disclosure include state and federally chartered banks; state and federal savings and loan associations; cemetery companies; insurance companies; mortgage companies; credit unions; small loan companies; alcoholic beverage licensees; pari-mutuel wagering companies; utility companies; entities controlled by the Public Service Commission; and businesses that a franchise to operate by either a city or a county government.

Disclose in this part the fact that you own, during the disclosure period an interest in, or hold any certain positions with, the types of businesses listed above. You are required to make this disclosure if you own or owned (either directly or indirectly) in the form of an equitable or beneficial interest at any time during the disclosure period more than 5% of the total assets or capital stock of one of the types of business entities listed above. You also must complete this part of the form for each of these types of businesses for which you are, or were at any time during the disclosure period, an officer, director, partner, proprietor, or agent (other than a resident agent solely for service of process).

If you have or held such a position or ownership interest in one of these types of businesses, list the name of the business, its address and principal business activity, and the position held with the business (if any). If you own(ed) more than a 5% interest in the business, indicate that fact and describe the nature of your interest.

**PART G — TRAINING CERTIFICATION**

[Required by s. 112.3142, F.S.]

If you are a Constitutional or elected municipal officer, appointed school superintendent, or a commissioner of a community redevelopment agency created under Part III, Chapter 163, whose service began before March 31 of the year for which you are filing, you are required to complete four hours of ethics training which addresses Article II, Section 8 of the Florida Constitution, the Code of Ethics for Public Officers and Employees, and the public records and open meetings laws of the state. You are required to certify on this form that you have taken such training.

**NOTICE**

**Annual Statements of Financial Interests are due July 1. If the annual form is not filed or postmarked by September 1, an automatic fine of \$25 for each day late will be imposed, up to a maximum penalty of \$1,500. Failure to file also can result in removal from public office or employment. [s. 112.3145, F.S.]**

**In addition, failure to make any required disclosure constitutes grounds for and may be punished by one or more of the following: disqualification from being on the ballot, impeachment, removal or suspension from office or employment, demotion, reduction in salary, reprimand, or a civil penalty not exceeding \$10,000. [s. 112.317, F.S.]**

**WHO MUST FILE FORM 1:**

- 1) Elected public officials not serving in a political subdivision of the state and any person appointed to fill a vacancy in such office, unless required to file full disclosure on Form 6.
- 2) Appointed members of each board, commission, authority, or council having statewide jurisdiction, excluding members of solely advisory bodies, but including judicial nominating commission members; Directors of Enterprise Florida, Florida Shipments Florida Funding Corporation, and Career Source Florida; any members of the Council on the Social Status of Black Men and Boys; the Executive Director, Governors, and senior managers of Citizens Property Insurance Corporation; Governors and senior managers of Florida Workers' Compensation and Underwriting Association; board members of the North West Florida Regional Transportation Commission; board members of Triphelp of Coast, Inc.; board members of Florida Is For Veterans, Inc.; and members of the Technology Advisory Council within the Agency for State Technology.
- 3) The Commissioner of Education, members of the State Board of Education, the Board of Governors, the local Boards of Trustees and Presidents of State Universities, and the Florida Prepaid College Board.
- 4) Persons selected to office in any political subdivision (such as municipalities, counties, and special districts) and any person appointed to fill a vacancy in such office, unless required to file Form 6.
- 5) Appointed members of the following boards, councils, commissions, authorities, or other bodies of county, municipality, school district, independent special district, or other political subdivision: the governing body of the subdivision; community college or junior college district boards of trustees; boards having the power to enforce local code provisions; boards of adjustment; community redevelopment agencies; planning or zoning boards having the power to recommend, create, or modify land planning or zoning within a political subdivision, except for citizen advisory committees, technical coordinating committees, and similar groups who only have the power to make recommendations to planning or zoning boards, and except for representatives of a military installation acting on behalf of all military installations within that jurisdiction; pension or retirement boards empowered to invest pension or retirement funds or determine entitlement to or amount of pensions or other retirement benefits, and the Pinellas County Construction Licensing Board.
- 6) Any appointed member of a local government board who is required to file a statement of financial interests by the appointing authority or the enabling legislation, ordinance, or resolution creating the board.
- 7) Persons holding any of these positions in local government: mayor; county or city manager; chief administrative employee or finance director of a county, municipality, or other political subdivision; county or municipal attorney; chief county or municipal building inspector; county

- or municipal water resources coordinator; county or municipal pollution control director; county or municipal environmental control director; county or municipal administrator with power to grant or deny a land development permit; chief of police; fire chief; municipal clerk; appointed district school superintendent; community college president; district medical examiner; purchasing agent (regardless of title) having the authority to make any purchase exceeding \$35,000 for the local governmental unit.
- 8) Officers and employees of entities serving as chief administrative officer of a political subdivision.
  - 9) Members of governing boards of charter schools operated by a city or other public entity.
  - 10) Employees in the office of the Governor or of a Cabinet member who are exempt from the Career Service System, excluding secretarial, clerical, and similar positions.
  - 11) The following positions in each state department, commission, board, or council: Secretary, Assistant or Deputy Secretary, Executive Director, Assistant or Deputy Executive Director, and anyone having the power normally conferred upon such persons, regardless of title.
  - 12) The following positions in each state department or division: Director, Assistant or Deputy Director, Bureau Chief, and any person having the power normally conferred upon such persons, regardless of title.
  - 13) Assistant State Attorneys, Assistant Public Defenders, criminal conflict and civil regional counsel, and assistant criminal conflict and civil regional counsel, Public Counsel, full-time state employees serving as counsel or assistant counsel to a state agency, administrative law judges, and hearing officers.
  - 14) The Superintendent or Director of a state mental health institute established for training and research in the mental health field, or any major state institution or facility established for corrections, training, treatment, or rehabilitation.
  - 15) State agency Business Managers, Finance and Accounting Directors, Personnel Officers, Grant Coordinators, and purchasing agents (regardless of title) with power to make a purchase exceeding \$35,000.
  - 16) The following positions in legislative branch agencies: each employee (other than those employed in maintenance, clerical, secretarial, or similar positions and legislative assistants exempted by the presiding officer of their house); and each employee of the Commission on Ethics.
  - 17) Each member of the governing body of a "large-hub commercial service airport," as defined in Section 112.3144(1)(c), Florida Statutes, except for members required to comply with the financial disclosure requirements of s. 8, Article II of the State Constitution.

**INSTRUCTIONS FOR COMPLETING FORM 1:**

**INTRODUCTORY INFORMATION** (Top of Form): If your name, mailing address, public agency, and position are already printed on the form, you do not need to provide this information unless it should be changed. To change any of this information, write the correct information on the form, and contact your agency's financial disclosure coordinator. You can find your coordinator on the Commission on Ethics website: [www.ethics.state.fl.us](http://www.ethics.state.fl.us).

**NAME OF AGENCY:** The name of the governmental unit in which you serve or served, by which you are or were employed, or for which you are a candidate.

**DISCLOSURE PERIOD:** The "disclosure period" for your report is the calendar year ending December 31, 2022.

**OFFICE OR POSITION HELD OR SOUGHT:** The title of the office or position you hold, are seeking, or held during the disclosure period even if you have since left that position. If you are a candidate for office or are a new employee or appointee, check the appropriate box.

**PUBLIC RECORD:** The disclosure form and everything attached to it is a public record. Your social security number, bank account, debit, charge, and credit card numbers are not required and you should redact them from any documents you file. If you are an active or former officer or employee listed in Section 119.071, F.S., whose home address is exempt from disclosure, the Commission will maintain that confidentiality if you submit a written and notarized request.

**REQUEST FOR INFORMATION**  
**RFI #947**  
**FOR**  
**THE FLORIDA LEGISLATURE**  
**CUSTOMER SERVICE CALL CENTER**

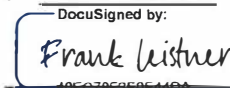
Responses to be received by the  
Florida Legislature  
Office of Legislative Services  
Purchasing Office

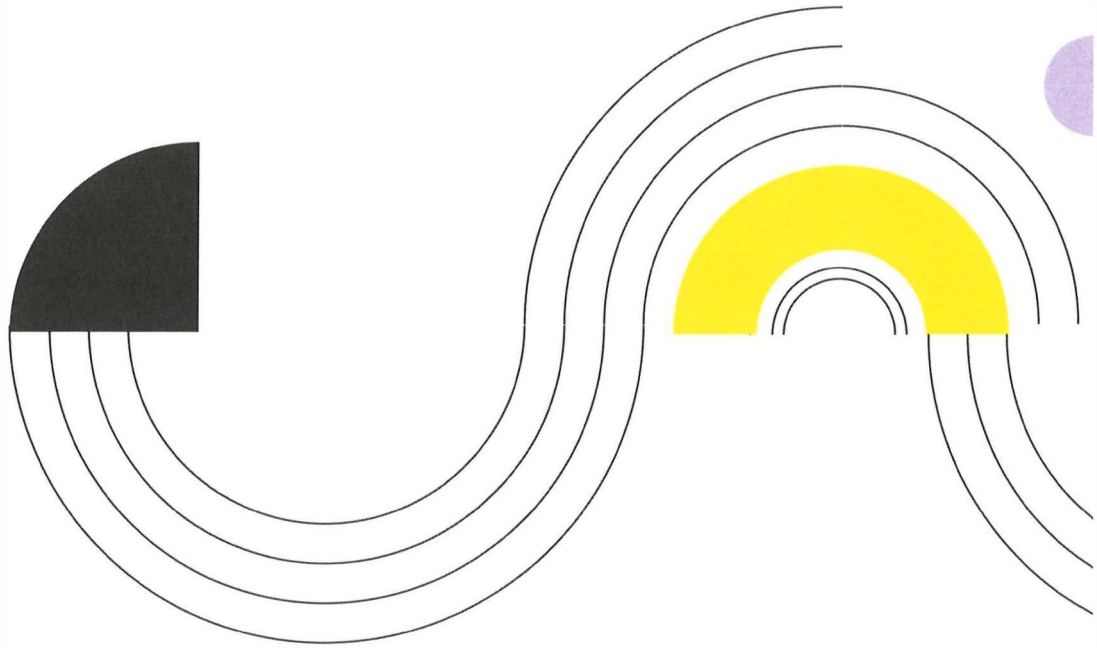
**At 3:00 p.m., December 4, 2023**

Name of Company Alight Solutions  
Address 2300 Discovery Drive  
City Orlando State FL Zip Code 32826  
Point of Contact Matthew Lahey  
Title: Strategic Account Executive  
Telephone Number ( 904 ) 234 - 3908  
Email Address: matthew.lahey@alight.com  
Website URL: alight.com

Name of Signer: Frank Leistner

Signature:

DocuSigned by:  
  
48E670F2E0E440A



## The Florida Legislature – Request for Information (RFI) #947

Presented by Alight Solutions

December 4, 2023

### Contact:

Matthew Lahey, Strategic Account Executive

M +1.904.234.3908

[Matthew.lahey@alight.com](mailto:Matthew.lahey@alight.com)

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## VII. Response Requirements

### A. Company Information

#### 1. Company Area(s) of Expertise

At Alight, we're focused on benefits administration (Health and welfare, 401(k), pension) and HCM solutions (e.g. deploying and operating solutions such as PeopleSoft, Workday, SAP SuccessFactors and Cornerstone). We also provide integrated Reimbursement Account (FSA, HSA, HRA, Commuter and life planning accounts), dependent verification, health advocacy and navigation, and compliance solutions (QMCSO qualification, Form 5500 preparation and POA support). All of our solutions are centered around the consumer experience.

Our clients benefit from our unmatched ability to implement and deliver scalable implementation, administration and outsourcing solutions. Our solutions draw from our areas of expertise that include integrated solutions in the areas of:

- **HCM and Financial Solutions.** Utilizing Software as a Service (SaaS) and the cloud; we provide clients with secure market-leading solutions to simplify and optimize our clients' HR and Financial management outcomes. We provide predictable costs, increased adoption and improved employee engagement so you can focus on the strategic elements of your finance and human capital agenda. From design to go-live and beyond, our end-to-end cloud solutions will set you up for long-term success.
- **Health and Wealth Solutions.** Our solutions provide services to improve benefits delivery, reduce compliance risk and enable clients to focus on more strategic human resources issues. Our industry-leading, proprietary systems integrate the seamless administration of clients' primary benefits programs— defined benefit, defined contribution, and health and welfare, plus a variety of supporting HR services, including advocacy, spending account administration, compliance services and more.
- **Consumer Experience.** We understand that the development of employee communications can present a great opportunity to engage employees, but our engagement efforts will fall short unless we deliver innovation and creativity that's powered by surveys and audience segmentation data to craft an enhanced experience for your participants, inspire new behaviors and achieve business results.

Our combined advise-and-deliver approach means our clients gain a powerful advantage when you hire us to analyze your situation, design a solution and deliver results on an ongoing basis.

#### 2. Length of time Company has been in existence including company ownership details

Alight Solutions became a publicly traded company, listed on NYSE under the ticker symbol ALIT, in July 2021.

Alight was established in June 2017, after a divestiture from Aon Corporation of their benefits administration, HR business process outsourcing and related consumer experience businesses. Alight builds on its 25+ years of HR expertise gained from the history of our legacy organizations, Aon and Hewitt Associates. Alight has an aggressive M&A approach and continues to strategically grow

services and reach through acquisition. In December 2022, Alight acquired ReedGroup, an expert in leave management solutions, to support employees and their dependents from hire through retire by adding new content, capabilities and products that have the power to change the way that people interact with HR, their benefits and their employer to power more confident decisions for life. In 2021, Alight acquired Consumer Medical to supplement our healthcare navigation services with clinical nurse support, and Choice Health to offer enrollment into Medicare Advantage directly to eligible retirees. Alight enhanced its payroll and cloud capabilities with the acquisition of NGA Human Resources in November 2019 and acquired the Workday and Cornerstone on Demand practices of Appirio earlier in the same year. Alight added to its health capabilities with the acquisitions of Hodges-Mace in 2019 and Compass Health in 2018. Alight's global cloud deployment capabilities expanded into Australia and New Zealand with the acquisition of Future Knowledge in 2018, as well as the breadth of our financial cloud deployment services with the acquisition of Carlson Management Consulting in 2018. Also in 2018, Alight formed a strategic partnership with Wipro, transforming its delivery model, fueled by investment in automation.

Please refer to our website at [www.alight.com](http://www.alight.com) for more information.

### ***3. Company Business Model***

Our BPaaS solutions bring together SaaS capabilities and an automated service delivery model with data and AI to deliver superior ROI and outcomes for clients. Alight's BPaaS model and integrated employee engagement platform help clients manage their total personnel cost while improving employees' wellbeing. Our solutions deliver superior outcomes for clients and their employees with an associated, guaranteed ROI.

## ***B. Service Summary***

### ***1. Provide a general description of the services available in the industry that are necessary for implementation***

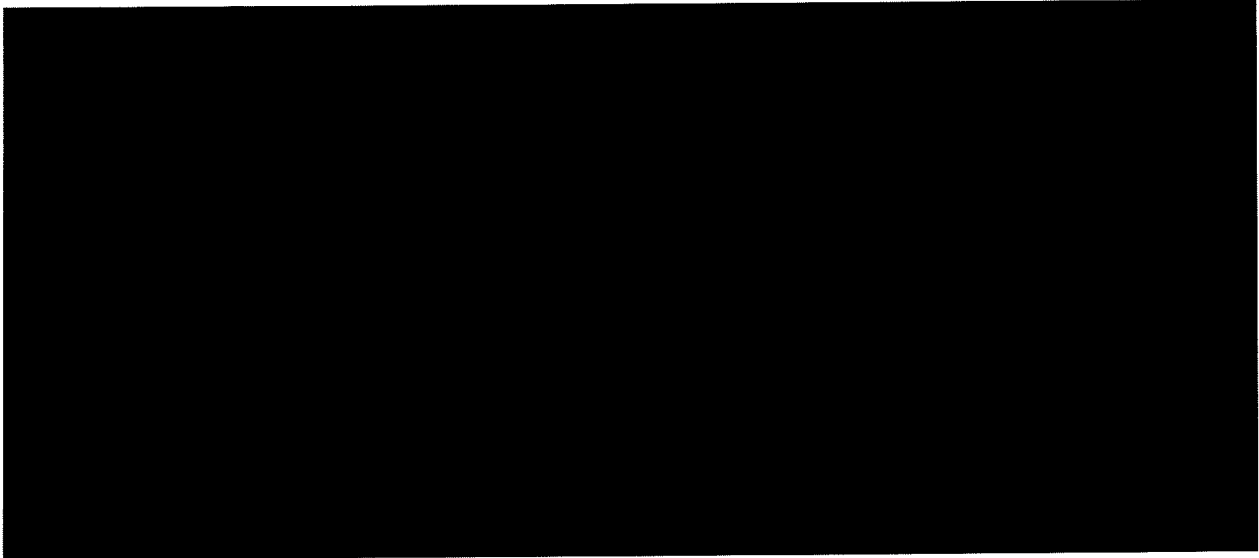
Alight serves 36 million people and their families across 4,300+ clients. Every day we serve 50% of the Fortune 500 and 70% of the Fortune 100. We have 25+ years history of innovating to meet the needs of our clients around the world.

We look forward to demonstrating the flexibility and speed to implement that is a differentiator for Alight.

Alight has a global presence with:

- Operations in 39 countries with 50+ delivery centers and 19 customer care locations
- Clients in over 100 countries
- Payroll enabled in 180+ countries
- Services in 25 + English

***2. Describe your services, and clearly identify all aspect of services for successful implementation***



***3. Describe your process when removal/transfer of staff may be necessary.***

Alight's proposal is predicated as a provider of services. If a member of the project team needs to be replaced, Alight will provide an alternate resource with a similar background and level of skills.

***4. Identify any business intelligence and reporting capabilities that are part of your services, and could be used to help us improve customer service to Filers.***

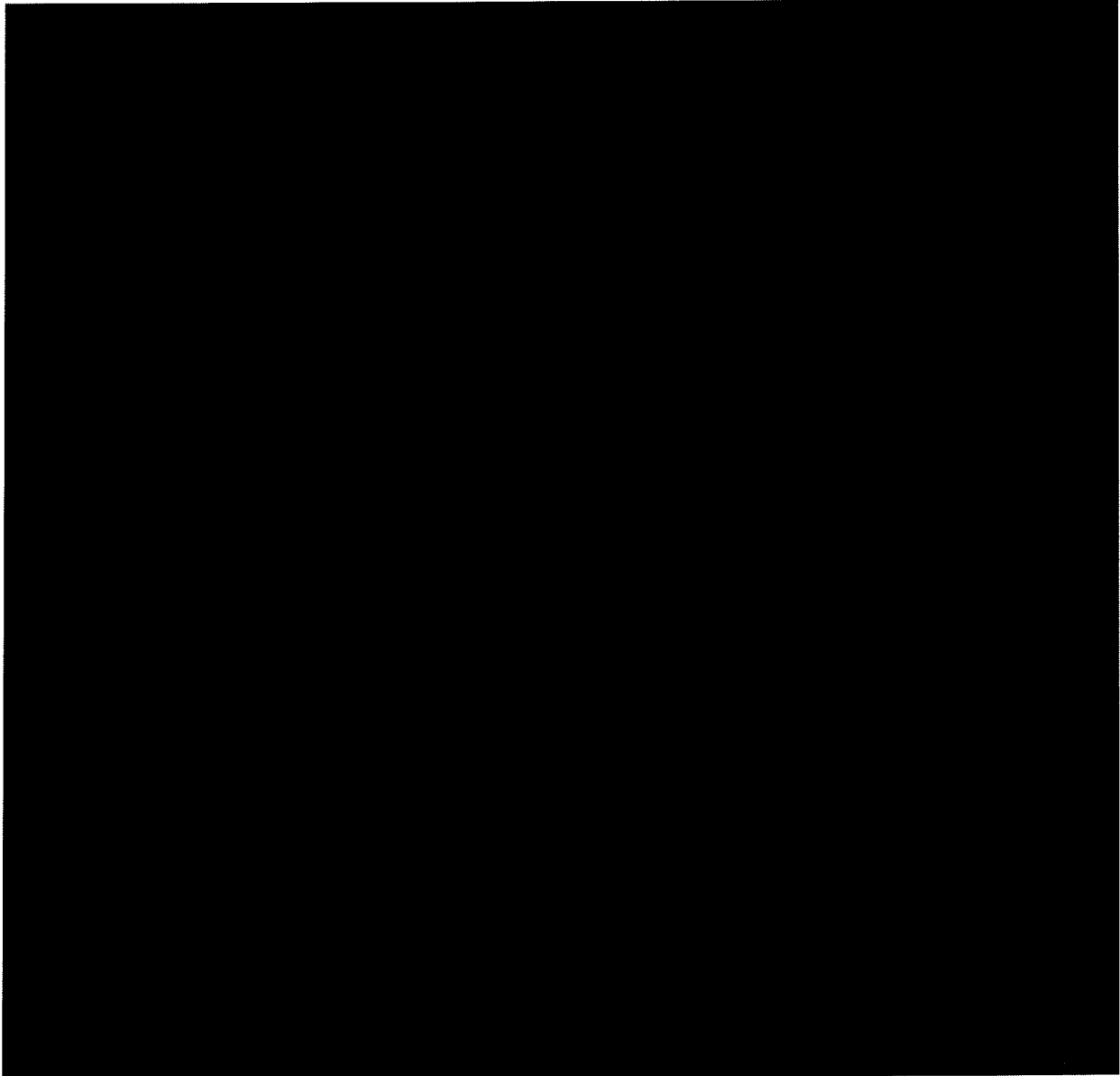
Alight provides Customer Care Center reporting through delivery service reports, which are typically coupled with a discussion of trends and common themes seen within the Customer Care Center environment. We can provide the data more frequently if needed, e.g., when there are unexpected trends or concerns.

We look forward to working with the Commission to define what reporting is available in the current technology set up.

***5. Explain the requirements and responsibilities for the services to be fully functional and produce a successful outcome. Include a description of best practices used to train, implement, and maintain good customer service staff.***







We look forward to partnering with the Commission to develop the training materials to ensure our representatives are successful and they provide a meaningful interaction with Filers.

***6. Explain the common outcomes as well as potential issues and concerns relating to your services that clients have experienced.***

Common outcomes are successful project plan execution and on time go live dates.



A critical aspect of this type of engagement involves a close partnership and communication between Alight and the Commission.

***7. Provide examples of satisfied customers resulting from use of your services.***

Alight has partnered with 200+ public sector entities to provide valuable solutions that lower costs, reduce administrative burden and automate processes. Through our dedicated public sector practice area, you can be confident you're providing solutions that make a difference to the community you service while elevating the employee experience and enhancing employee wellbeing.

While we are unable to answer the question directly, we can tell you we serve numerous clients similar in size to the Commission.

***C. Vendor's Implementation Approach***

***1. Provide information regarding the average amount of time the Commission can expect project implementation. This amount of time should include from a possible Award of Service to full implementation of the services.***

Alight will work with the Commission to determine the resources needed based on information available at the time when the request was scoped. Changes in the underlying assumptions such as training, tool updates, call routing and timing of background checks, could impact the timeline. To address this risk, Alight and the Commission will work together to understand the overall scope at the beginning of the project and adjust the scope based on the changing needs over the course of the project.

***2. Explain the common outcomes as well as potential issues and concerns relating to implementation users have experienced.***

***3. Provide high-level observations of potential problems/risks that the Commission may encounter during this project. Include risk mitigation strategies that similar organizations have successfully implemented.***

Alight strives to understand, in depth, the scope of the project to ensure the implementation is appropriately staffed and planned for and to provide limited risks to the project. Typical risks to the implementation and go live date include underestimating the overall scope and lack of client resources. To mitigate these risks, Alight will work closely with the Commission to understand the overall scope, necessary time commitment from the Commission and schedule project plan meetings on a weekly basis, providing updates on the overall project.

***4. Provide three (3) or more examples of where your services have been operational within the last five (5) years and describe the industries, business environments, and if possible, include client names.***

Over the last five years, Alight has provided organizations with a spectrum of delivery models tailored to meet their call center needs. Our state-of-the-art Customer Care technology serves as the foundation, and clients may select among a flexible range of services, from technology-only to a full global Customer Care Center handling all benefits, payroll, and cloud. Specifically, we have provided delivery models for call centers to assist clients with COVID hotlines, I9 Assistance centers, and Annual Enrollment only support.

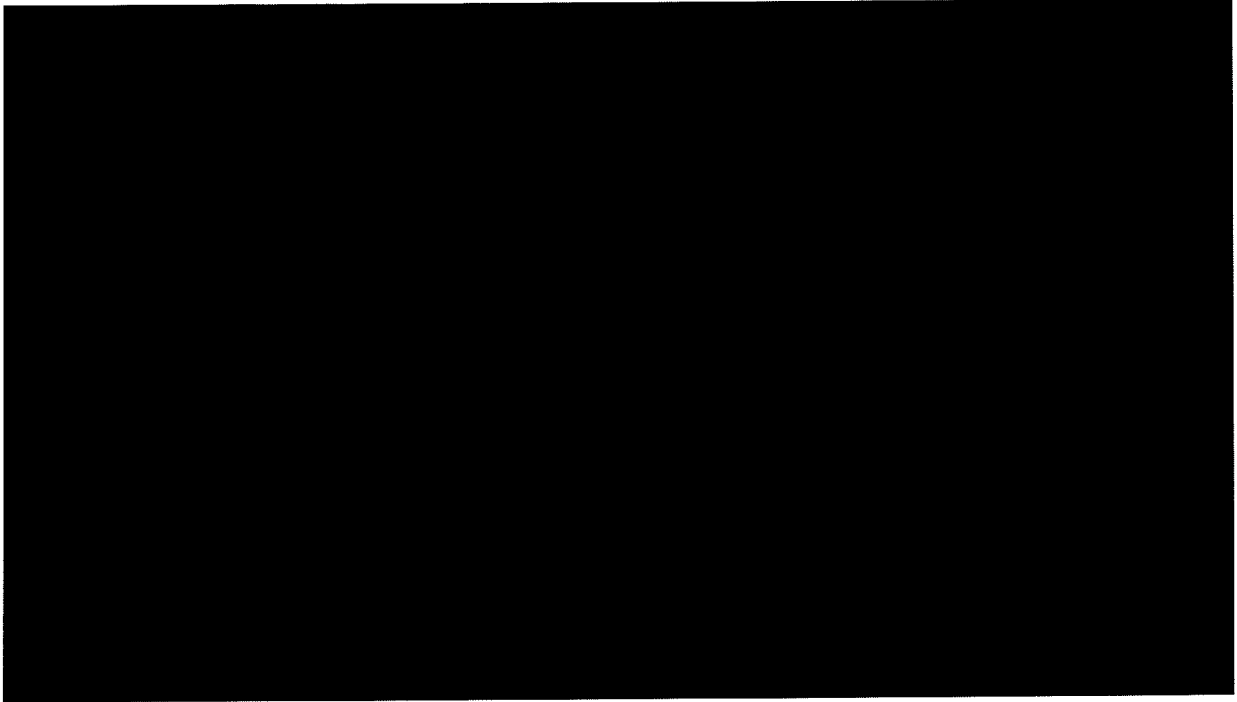
***5. Please estimate the number of Commission's full-time employees (FTE) that could be required to help with implementation. Estimates can be stated as an approximate number of FTEs. Please describe the skills, a task description, and percentage of their time involved.***

We recommend that the Commission commit the following resources to this project during implementation:

- **Project manager** — Serves as the primary contact and project coordinator, and interfaces with the Alight project manager to ensure smooth, focused progress.
- **Subject-matter experts and trainers** — Provide content direction and supplementary details regarding Filer's FAQs.
- **Information technology resources** — Providing Alight access to utilize the Commission's systems.

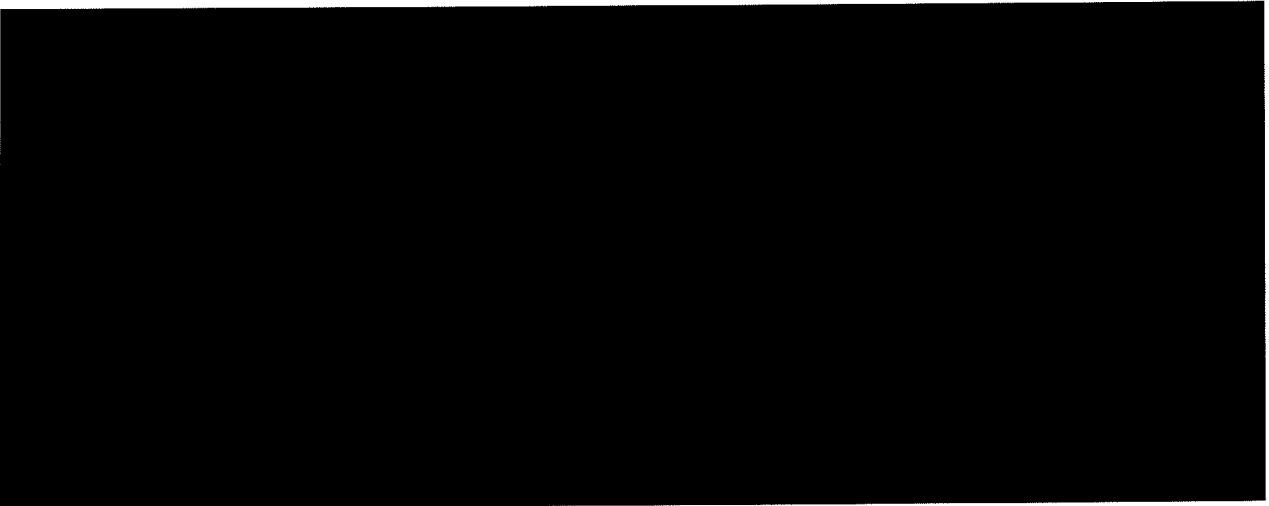
We will work with you to identify the individuals who require training on specific components of the outsourcing relationship. Training topics could include the case management tool and the process for issue resolution and escalation.

***6. Describe how your company would implement services and balance risk/problems, including timelines necessary for hiring and training employees (including bilingual), supervision/management, quality control, and plans for scaling according to demand.***



**D. Additional Information**

***1. What differentiates your company's services from what other companies provide.***



***2. How does your company respond to customer calls, questions, or problems.***



Your point of contact for escalations will be your aligned Customer Care Client Manger. The mode of communication with our clients typically depends on the nature of the escalation. For normal escalations, we typically communicate through the case management system. For urgent escalations, which are less frequent, Alight emails or calls you directly.

***3. Identify other organizations that are currently using your company's services.***

Alight has partnered with 200+ public sector entities to provide valuable solutions that lower costs, reduce administrative burden and automate processes. Through our dedicated public sector practice area, you can be confident you're providing solutions that make a difference to the community you service while elevating the employee experience and enhancing employee wellbeing.

While we are unable to answer the question directly, we can tell you we serve numerous clients similar in size to the Commission.

***E. Financial Information***

***1. Provide a general pricing structure and an explanation of how costs are typically invoiced for the services that your company provides.***



***2. Other important consideration affecting cost.***



## About Alight Solutions

Alight is a leading cloud-based human capital technology and services provider that powers confident health, wealth and wellbeing decisions for 36 million people and dependents. Our Alight Worklife® platform combines data and analytics with a simple, seamless user experience. Supported by our global delivery capabilities, Alight Worklife is transforming the employee experience for people around the world. With personalized, data-driven health, wealth, pay and wellbeing insights, Alight brings people the security of better outcomes and peace of mind throughout life's big moments and most important decisions. Learn how Alight unlocks growth for organizations of all sizes at [alight.com](https://alight.com).

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# Call Center Support for the Commission on Ethics

**alight**

## Customer Care at Alight



**25+**  
global location hubs



**8,000+**  
Customer Care  
representatives  
(includes seasonal support)



**93%**  
personal service



**40M**  
annual live  
interactions



**96%**  
first contact  
resolution

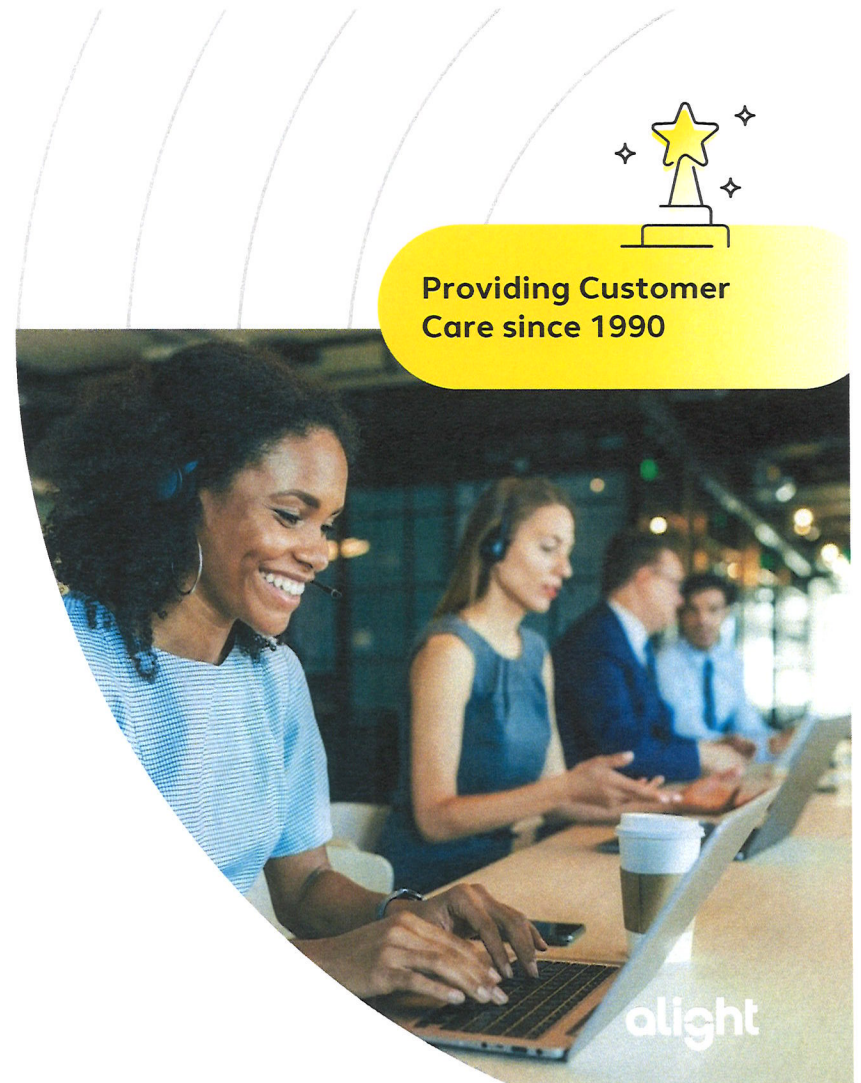


**100**  
calls evaluated per  
agent per month

Alight has a long history of service with Public Sector entities



**Providing Customer  
Care since 1990**

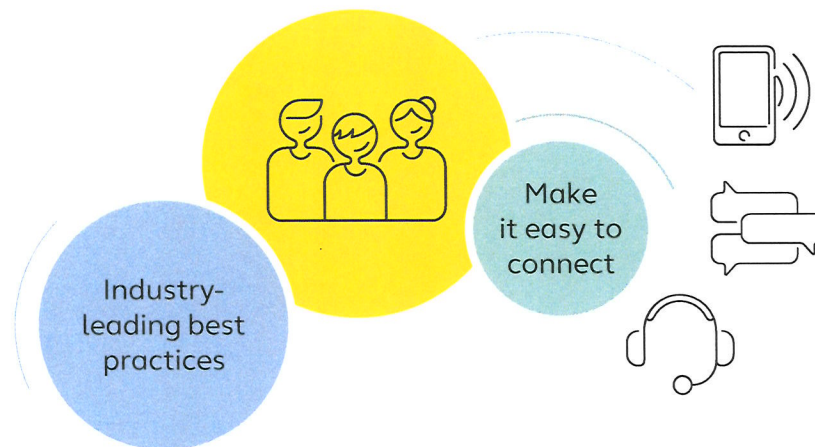




# The power of **YOUR** Customer Care team

## INDUSTRY LEADING CUSTOMER SERVICE

- Alight representatives will provide informational and navigational support to Filers
- Utilize Electronic Financial Disclosure Management System (EFDMS) and issue tracking system provided by the Commission
- Live date – April 8, 2024 (to be confirmed)
- Four-to-six-month project
  - May be extended at the Commission's request
- Representatives available for calls 8am-5pm EST Monday – Friday excluding holidays
- English support
- 10 representatives for phone support
- One project manager for supervisor support
- Florida location



One place to contact for support for your filers and the new filing process

## BEST PRACTICES

- Hiring, customer service training and coaching
- Performance management and recognition
- Extension of the Commission and your culture
- Business continuity
- Customer satisfaction survey (TBD)
- Supervisor support includes escalation management and partnership for requirements/tools review

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# Customer Care scope for the Commission

One place to contact for support for your filers and the new filing process



Location in Florida for Agents/US for PM



English support



8am – 5pm EST

## ALIGHT RESPONSIBILITIES

- Implement a call center with representatives located in Florida
- Answer inbound calls to provide general information and navigational support to Filers on the new electronic filing process including helping Filers complete and file the appropriate forms online
- Document each Filer contact in EFDMS
- Document technical issues, escalation of questions, or technology issues in the issue tracking system
- Route complex calls to Commission staff
- Create requirement documents
- Set up call routing to representatives from the Commission's IVR
- Schedule check ins for Go Live Week and ongoing meetings for requirements/process/tools review

## THE COMMISSION'S RESPONSIBILITIES

- Provide informational content, FAQ, and referral information
- Provide training on information, systems, and culture
- Provide issue tracking system
- Provide access to Alight representatives for in scope systems
- Provide initial call routing from Filers to Alight
- Provide case management process
- Handle complex calls routed from Alight
- Provide metrics from issue tracking system

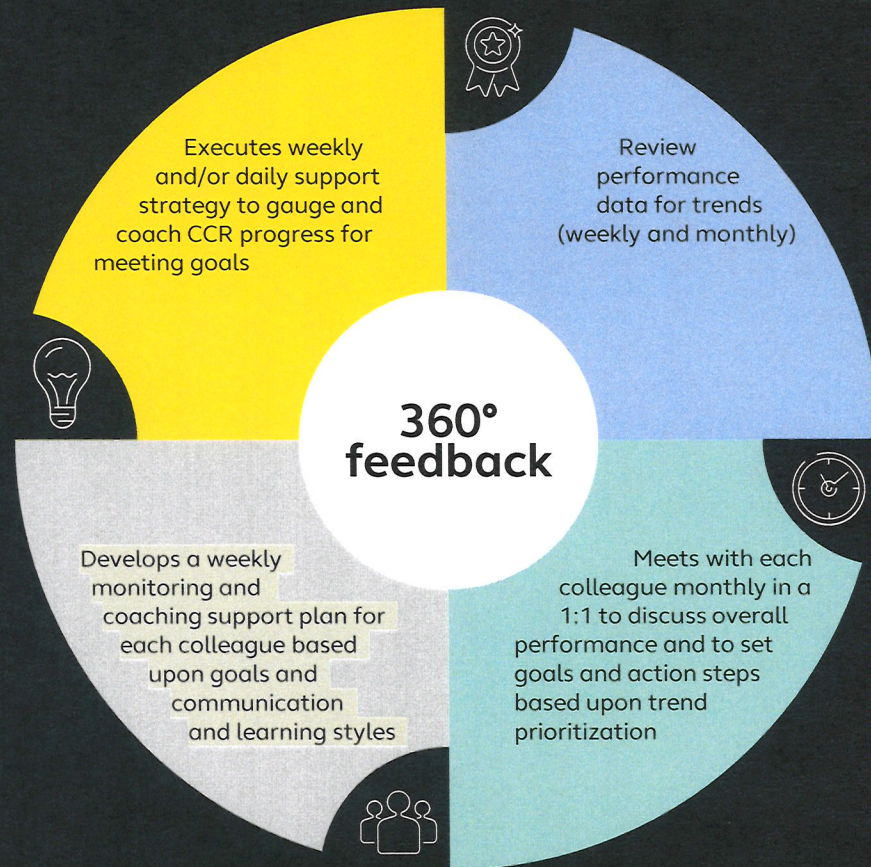
## COMBINED RESPONSIBILITIES

- Partner to discuss topics for requested support, define requirements, and outline timeline for live date.
- Training approach and content
- Determine number of days of training to the project manager and customer care representatives
- Determine Customer satisfaction – open for discussion to either use the Commission's or Alight's system
- Determine Call metrics – open for discussion to either use the Commission's or Alight's system
- Determine overall reporting, data points, and cadence
- Partner on storage of reference documents for Customer Care training/use on calls

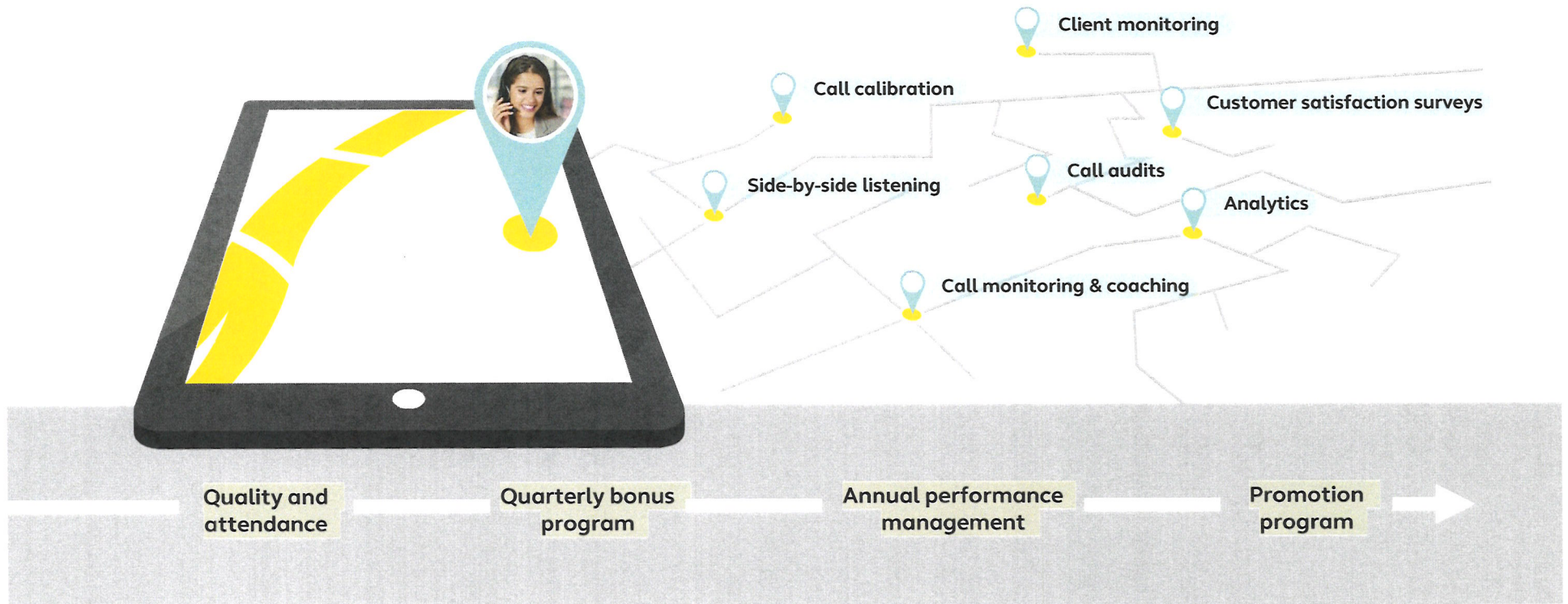
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# Quality monitoring and coaching best practices



## Representatives are in the drivers' seat





# Appendix

7 | Proprietary and confidential

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Dedicated to finding  
the best talent

Detail  
oriented

Reliable

Communication  
skills

Passion  
for service

Technical  
skills

Adaptable

Problem  
solver

8 | Proprietary and confidential

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## Training to enhance the lives of your people

### **Core curriculum**

Focuses on customer service  
and problem solving

### **Your culture**

Partnering to become an  
extension of your organization

### **Client specific curriculum**

Focuses on your specific  
programs, events, systems and  
processes, leveraging practice  
scenarios and customer  
questions while utilizing  
Customer Care tools

### **Continuous improvement**

Continually updating on  
technology, plan changes,  
new legislation, quality and  
personal development

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# Staffing up for peak events

## Forecasting

- Participant counts/volume expectations
- Scope of changes
- Dates
- Hours of operation
- Service level
- Communication materials and timing
- Off-phone support

## Post-event

- Staff down as needed
- Retain the best talent ongoing
- Roll to next event if applicable

## Staffing

- Leverage staffing agency partners for talent
- Alight hiring profile
- Training focused on peak call types
- Alight's quality standards

## Assumptions

- Handle time
- Complexity
- Call arrival patterns





# Focus on our people



## Growth

Representatives drive their careers

- Promotions, pay increases, and bonuses
- Career portal
- Skill growth with alight academy
- Invest in me program
- Formal mentorship program
- Continuous leadership development series
- Colleague-led communities (CLC) sponsored leadership development programs through McKinsey, Harvard, Bonfire

## Recognition

Global performance program with a colleague-led framework

- Anniversary and career milestone recognition
- Being recognized and rewarded for performance
- Shine global recognition program
- Line of sight bonus program for managers

## Belonging

Where everyone can be themselves

- 11 CLCs led by colleagues around the world
- Authentic and inclusive work environment by embedding I&D throughout the colleague lifecycle

## Connection

Feeling connected to each other

- CEO blog, colleague blogs, internal social media network Yammer
- CLC sponsored networking events for all colleagues
- Sharing insights and direction from leaders
- Monthly education topics
- Connection to Community through Global Service Day

## Wellbeing

Wellbeing benefits across four pillars: healthy mind, body, wallet and life

- Focus on wellbeing embedded into CLC
- Launch of Care Circles
- Programs caring for the 'whole' person
- Colleagues are customers, access to our wellbeing Alight Worklife® offerings
- meQuilibrium
- Alight People Matter Fund
- Social Action Committee (SAC)

## Future of work

Listening and shaping the future of work for colleagues

- Task force working to create best of both virtual and physical workplace
- Updated onboarding processes and training environments for a virtual workforce
- Developing managers for continuous growth in leading and connecting in the new 'virtual world'

## Client example — Financial services company enrollment support



### Challenge

- Banking client recently implemented Workday for benefits, HCM and Payroll and needed a partner with Workday experience for key support areas
- Client has an internal HR and Benefits service center but needed help with staffing augmentation for Annual Enrollment season for their 250K EE population



### Solution

- Alight provided 50+ customer care representatives in 2022 and 100+ in 2023
- Supported in India with management onshore
- Workday benefits platform with client's ServiceNow portal/case management
- First year agreement was a 1 year SOW, expanded to a 3 year deal in 2023



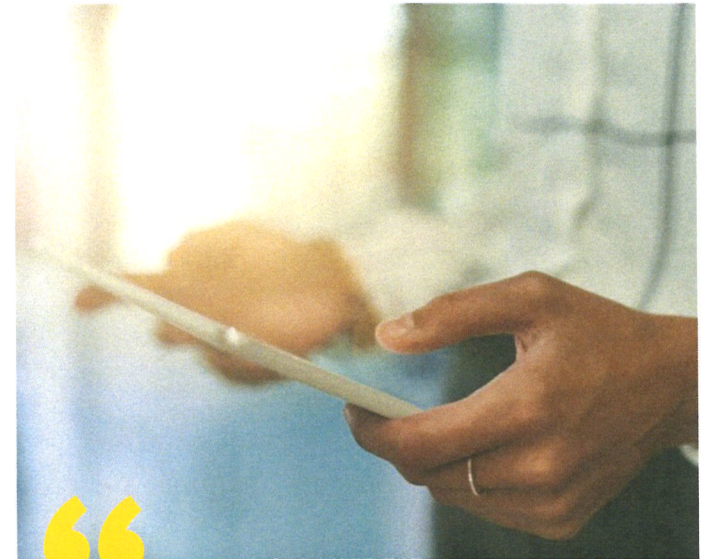
### The results

#### 2022 AE STATS:

- 54 Agents
- 12,490 calls handled
- 1,960 calls handled on busiest day
- 90% of calls answered in 30 seconds

#### 2023 AE STATS:

- 108 Agents
- 16,403 calls handled
- 100% of calls answered in 30 seconds



### Employee feedback:

“Specialist was knowledgeable with my questions and clearly explained.”

“Very patient and understanding of my issue.”

“Friendly /understood my request and walked me through.”

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## Client example — Global engineering company COVID support



### Challenge

- Shipyard locations began to experience a spike in COVID related call volume
- Needed help with intake, as well as communication to the employees on next steps
- Needed a solution quickly that would support their need to care for these employees, yet maintain efficient flow of information within their organization



### The results

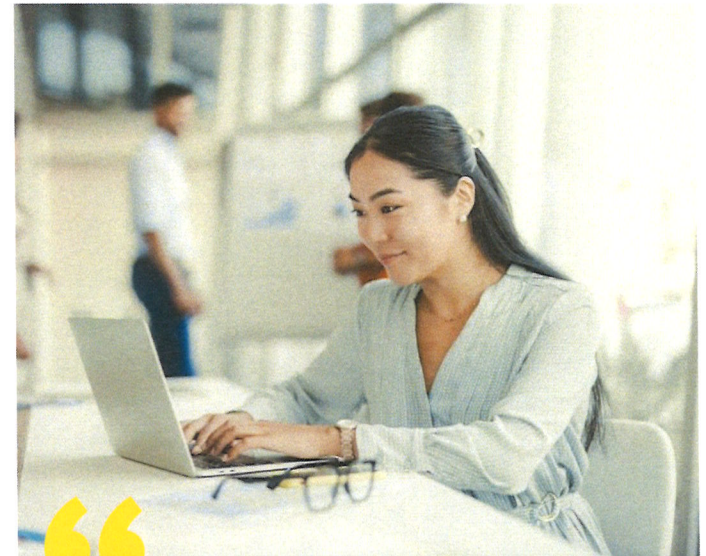
- 4600+ calls
- 1300 + intakes
- 93% service level
- 3k lab tests and 1200+ reported for payroll process
- 10k email communications sent



### Solution

- Hired by one of the divisions
- Built and deployed a call center solution in 3 weeks
- Designed an intake process where we gather COVID-19 exposure information and starts the process for employees to complete required action steps to qualify for quarantine pay.
- Expanded our scope in January by adding 5 FTEs to support additional spikes in volume and average speeds to answer.
- Additional scope pending – evergreen monthly contract

13 | Proprietary and confidential



“I don’t know what we would have done without you guys.”

- HR Director

“Having worked with Alight for many years, I am not surprised, but it does confirm that we made the right decision in partnering with Alight on this project.”

- Hotline project manager

**REQUEST FOR QUOTATION**

**CUSTOMER SERVICE CALL CENTER**

**RFQ #598**

Quotes to be opened by the

Office of Legislative Services

Purchasing Office

111 West Madison Street

Tallahassee, Florida 32399-1400

**at 3:00 P.M., December 19, 2023**

Name of Company \_\_\_\_\_

Address \_\_\_\_\_

City \_\_\_\_\_ State \_\_\_\_\_ Zip Code \_\_\_\_\_

Point of Contact \_\_\_\_\_

Signature (Manual): \_\_\_\_\_  
(Owner or Authorized Corporate Officer/Title)

Type or Written Name: \_\_\_\_\_  
(Owner or Authorized Corporate Officer/Title)

Title: \_\_\_\_\_

Telephone No.: \_\_\_\_\_ Fax No.: \_\_\_\_\_

FEID No.: \_\_\_\_\_

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

## **SCHEDULE OF EVENTS**

Issuance of RFQ	December 12, 2023
Written questions by Vendors due by 5:00 p.m.	December 14, 2023
Written responses to all questions emailed to Vendors	December 15, 2023
Quotes due by 3:00 p.m. for opening	December 19, 2023
Evaluation and Vendor Presentations Commence	December 20, 2023
Anticipated Completion of Evaluation	January 5, 2024
Anticipated Notice of Intent to Award	January 31, 2024
Anticipated Contract Execution	February 1, 2024

**PLEASE NOTE: ANY DOCUMENTATION RECEIVED AFTER THE SPECIFIED TIME WILL NOT BE ACCEPTED.**

## **ATTACHMENTS**

- Attachment A - Draft Contract
- Attachment B - Scope of Work
- Attachment C - Policies 3.5 and 3.5.1, Joint Policies and Procedures
- Attachment D - Resumes of Proposed Project Manager
- Attachment E - Non-Collusion Statement
- Attachment F - Disclosure Information
- Attachment G - Reference Form
- Attachment H - Professional Staff Positions
- Attachment I - Cost Sheet

## **CUSTOMER SERVICE CALL CENTER**

### **SECTION ONE, REQUEST FOR QUOTE PROCESS**

#### **1.1 Introduction**

This Request for Quote (RFQ) is released by the Florida Legislature (Legislature), Office of Legislative Services (OLS) on behalf of the Commission on Ethics (Commission), for Call Center Staffing Services (Call Center) in accordance with the Scope of Work (Services), Attachment B herein. This RFQ is in coordination with and incorporates the Request for Information (RFI) #947 that was issued on November 17, 2023, including the written responses to questions issued on November 29, 2023.

The term “Quote” means a response submitted by a Vendor to this RFQ. The term “Vendor” means those entities that respond and submit a Quote in response to this RFQ. The term “Contract” means the written agreement to provide the Services herein, a draft of which is attached to this RFQ as Attachment A. The term “Awarded Vendor” means the entity awarded and issued a Contract for the Services herein.

#### **1.2 Objective**

The objective of this RFQ is to solicit Quotes from Vendors to provide a Call Center. Professional Staff (as defined in the draft Contract, Attachment A), which will include a Project Manager and Customer Service Hotline Representatives, will facilitate calls and inquiries regarding the new Electronic Financial Disclosure Management System (EFDMS) that now requires individuals to use an online filing system in lieu of the paper filing system. The Commission seeks to enter into a fair, competitive, and reasonable Contract, to a responsive and responsible Vendor who is determined to be the most advantageous to the State of Florida, taking into consideration each Vendor’s qualifications, approach to the project, and ability to furnish the Services in the time specified herein. As detailed below, the Commission will also take into account information provided by Vendor Presentations to the Commission expounding upon the capabilities, qualifications, and expertise of the Vendors, in addition to the evaluation criteria listed in Section 1.13 of this RFQ. Any other information known to the Commission that demonstrates the Vendor’s experience and competence to provide the Services herein may also be taken into account.

#### **1.3 Submission of Quotes**

Quotes must be received on or before the time specified in the Schedule of Events and must be submitted to the RFQ Coordinator **via email only**. It shall be the sole responsibility of the Vendor to see that their Quote is received **by email** on or before the stated time of the Quote due date listed in the Schedule of Events. Quotes shall be properly executed in the name of and by the person, firm, or corporation submitting the Quote.

The following items are minimum requirements to the RFQ and must be included in the Quote as a Pass/Fail Requirement, and if deficient, the Quote may be deemed non-responsive, disqualified, and not evaluated.

The Vendor must provide a minimum of three (3) prior client references on the Reference Form, Attachment G, with its Quote response.

**These documents must be completed by an individual (contact name and title of the individual) responsible for the Vendor's Quote and authorized by the Vendor with binding signature authority.**

- A completed and signed Vendor's Information Coversheet (page 1)
- Resumes of Proposed Project Manager (Attachment D)
- Non-Collusion Statement (Attachment E)
- Disclosure Information (Attachment F)
- Reference Form (Attachment G)
- Cost Sheet (Attachment I)

No changes, modifications, or additions to the Quote will be allowed after the date and time at which the Quotes are due listed herein, unless clarification is requested by OLS.

Vendors acknowledge and agree that their Quote shall remain firm and shall not be withdrawn for **at least one-hundred eighty (180) days** after the date that the Quotes are submitted. This extended time period is to cover circumstances in which a contracted Professional Staff member cannot fulfill their commitment or if additional Professional Staff needs are identified.

#### **1.4 Vendor Presentations**

Subsequent to the receipt of Quotes, and during the timeframe open for the Commission's Evaluation as detailed in the Schedule of Events on page 2, the Vendors will be required to prepare a Presentation for the Commission via Zoom (or other agreed-upon video conferencing platform), in which the Vendor orally presents additional information to the Commission regarding its capabilities, qualifications, and expertise that render it uniquely suited to provide the Services contemplated in the Contract. The Commission anticipates receiving Presentations and conducting discussions with the Vendors regarding their firm's qualifications, approach to the project, and ability to furnish the Services in the time specified herein. Presentations should last no longer than thirty minutes and should address their company's ability to successfully implement the requirements of the project, including quality control and supervision of any remote workers. Vendors should arrange for the scheduling of their Presentation by providing available dates to the RFQ Coordinator **via email** by the deadline specified for the submission of Quotes in the Schedule of Events.

## **1.5 Questions**

Questions and inquiries for additional information or clarification may be submitted **by email** with the RFQ number and name in the subject line and sent to the RFQ Coordinator specified in Section 1.6, below and received no later than the date specified in the Schedule of Events.

No other conversation, discussion, or communication—whether written or verbal—about the content or substance of the RFQ shall occur, outside of the Presentation process, with any legislative employee other than the RFQ Coordinator, until an Award (as defined in Section 1.18 below) has been issued. Any communication during this time with anyone other than the RFQ Coordinator will be considered unofficial, non-binding and may subject the Vendor to disqualification from the RFQ process and its Quote deemed non-responsive and not evaluated.

## **1.6 RFQ Coordinator**

The RFQ Coordinator is:

Theresa Dollar  
Office of Legislative Services, Purchasing Office  
[dollar.theresa@leg.state.fl.us](mailto:dollar.theresa@leg.state.fl.us)

## **1.7 Clarification**

The Commission reserves the right to seek clarifications, request any information deemed necessary for proper evaluation from all Vendors, and negotiate different terms and related price adjustments if the Commission determines that such changes would provide the best value to the Commission.

## **1.8 Waiver of Minor Irregularities**

The Commission makes the sole determination of whether a mistake or omission is a minor irregularity or a material deviation from the RFQ. The Commission reserves the right to waive minor irregularities and/or material deviations in a Quote when to do so would be in the best interest of the State of Florida.

## **1.9 Must, Shall, Will, and Is Required**

Although this Quote uses terms such as “must,” “shall,” “will,” and “is required” and may define certain items as requirements, the Commission reserves the right, in its discretion, to waive any minor irregularity, technicality, or omission if the Commission determines that it is in the best interest of the State of Florida to do so. However, failure to provide requested information may result in the rejection of a Quote. There is no guarantee that the Commission will waive an omission or deviation or that any Quote containing a deviation or omission will be considered for an Award.



### **1.10 Rejection of Quotes**

The Commission reserves the right to reject any and all Quotes at any time, including after an Award is made, when doing so would be in the best interest of the State of Florida, and by doing so the Commission will have no liability to any Vendor.

### **1.11 Withdrawal of the RFQ**

The Commission reserves the right to withdraw the RFQ at any time, including after an Award is made, when doing so would be in the best interest of the State of Florida, and by doing so the Commission will have no liability to any Vendor.

### **1.12 Negotiation**

The Commission may select one or more Vendors with which to commence negotiations, and may negotiate sequentially or concurrently with Vendors. No Vendor will be formally eliminated from the RFQ process until the posting of the Notice of Intent to Award and formal contract execution.

The Vendor shall conduct a Level 2 background check on the Vendor's Professional Staff before the commencement of Services. The Commission reserves the right to reject a candidate or revoke an Award, in its sole discretion, for an unacceptable background check. Background checks are conducted in order to ensure the safety and security of the Commission's employees, the Filers, and the sensitive data to which Professional Staff may gain access in their scope of duties. Vendor and Professional Staff must not disclose any confidential or exempt information under Section 11.0431, F.S. or Chapter 119, F.S., that they view or have access to, in conjunction with their duties under the Contract, consistent with the provisions of Section 19 of the Contract.

### **1.13 Evaluation Process**

The Commission will have a team that consists of various Commission employees, composed of at least three (3) members, that will rate the Quotes based upon previously established fair and objective criteria from this RFQ and the Presentations as set forth in the following evaluation scoring criteria, as well as any other information made available to the Commission. Quotes will be evaluated and scored in the areas of: Qualifications and Experience, the Presentation, References, and the Cost, as further described below.

- **Qualifications and Experience - (25 Points)** This criteria will be evaluated using the consideration of the Vendor's experience within the last seven (7) years of performing similar services including the Vendor's staffing, resume information provided in Attachment D, and the level of experience of the Project Manager;
- **Presentation - (25 Points)** This criteria will be evaluated based on the standards provided in Section 1.4 of this RFQ;
- **References - (25 Points)** This criteria will be evaluated based on the references submitted (Attachment G) and the reference responses;

- **Cost - (25 Points)** The Points for this criteria will be determined by assessing the lowest total cost from the Cost Sheet. The Quote with the lowest cost will receive the maximum number of points for cost.

#### **1.14 Official Notices or Amendments to the RFQ Documents**

All notices, intended decisions, addenda and other matters relating to this RFQ will be **emailed** to all Vendors. It is the Vendor's responsibility to maintain a current email address and to access it regularly.

#### **1.15 Vendor Disqualification**

A Vendor that is on either the Discriminatory Vendor List, Convicted Vendor List, Suspended Vendor List, or other similar list compiled and maintained by either the federal government or the Florida Department of Management Services as defined in Florida law may not submit a Quote.

#### **1.16 Contract**

Attached to this RFQ as Attachment A, is a draft Contract that will become the binding agreement between the Awarded Vendor, if any, and the Commission. The Vendor may not apply any condition or change any term to any aspect of the draft Contract or the Vendor's Quote may be deemed non-responsive and not considered. Any attempt to redline, modify, or change the draft Contract may subject the Vendor's Quote to being deemed non-responsive and not considered.

The Commission reserves the right to contract for a single position, multiple positions, and any number of candidates within a position.

#### **1.17 Cost Sheet**

The Vendor must provide the pricing for each of the requested Professional Staff Positions as provided on the Cost Sheet form, Attachment I.

The Cost Sheet shall specify **an hourly rate** for **each person proposed by Vendor** to fill each Professional Staff Position assigned to the resulting Contract, as contained on the Cost Sheet attached hereto as Attachment I. The Commission will consider the cost of each person proposed in the Cost Sheet in making its final selection to award.

The Cost sheet shall also identify and itemize any and all other costs, including initial and set-up costs.

#### **1.18 Award**

The Commission intends to award a six (6)-month contract for the Call Center, as described herein. The Professional Staff Positions, including the requirements and additional responsibilities of each position, are provided within Attachment H, Professional Staff Positions.

The Commission may negotiate with the Vendor to request additional Professional Staff Positions or to modify the Scope of Work during the term of this Contract.

After all Quotes are received and Vendor Presentations are completed, the Commission will make a final decision in accordance with the time specified in the Schedule of Events. In addition to the criteria listed in Section 1.13, the Commission will consider its internal costs and other factors, including staffing resources and current project priorities for the Award.

The Commission reserves the right to select a Vendor, if any, at a different time if it is deemed in the best interest of the State of Florida. If selected, the RFQ and its Attachments, and the Vendor's Quote, will become part of the Contract.

If the Commission decides to reject all Quotes or withdraw the RFQ, it will provide email notification to all Vendors who submit a response to this RFQ.

#### **1.19 Contract Manager**

The Commission and the Awarded Vendor will each designate a Contract Manager responsible for managing the Contract and will provide updated contact information for each Contract Manager during the Term set forth in the Contract.

The Commission and the Awarded Vendor will provide their respective Contract Managers upon execution of the Contract.

The Commission's Contract Manager or their designee will provide direction and guidance to the Awarded Vendor, via communications with either the Awarded Vendor's Contract Manager or Project Manager, regarding the objectives the Commission seeks to accomplish under the Contract in accordance with the Contract and the Scope of Work (SOW). However, the Commission's Contract Manager is not responsible for supervising the Professional Staff. Instead, the Awarded Vendor will be fully and solely responsible to the Commission throughout the entire engagement for the coordination, oversight, control, actions, work product, quality control, inactions, errors, and failures of its Professional Staff.

#### **1.20 Relationship of the Parties**

The Awarded Vendor is an independent contractor and not an agent or employee of the Commission. Neither the Awarded Vendor nor the Awarded Vendor's Professional Staff are, or shall be deemed, the Commission's employees. The relationship between the Awarded Vendor and the Commission shall not constitute a partnership, joint venture, or agency. Neither the Awarded Vendor nor the Commission shall have the authority to make any statements, representations or commitments of any kind, or to take any action, which shall be binding on the other party, without the prior consent of the other party.

### **1.21 Florida Substitute Form W-9**

A completed Substitute Form W-9 is required from Vendors doing business with the State of Florida. Should the Commission award any Contract pursuant to this RFQ, the Awarded Vendor, if not already registered, must register as a Vendor with the State of Florida, Department of Financial Services, within five business days of the Award. The registration and requirements for registering and submitting electronically a Substitute Form W-9 are available at: <https://flvendor.myfloridacfo.com/>.

### **1.22 Registration with the Florida Department of State, Division of Corporations**

The Awarded Vendor must register with the Florida Department of State, Division of Corporations, before contract execution. The Awarded Vendor must maintain a certificate of licensure in good standing through the Term of the Contract.

## **ATTACHMENT A**

### **Draft Contract**

#### **Call Center Staffing Services Contract No. Between Commission on Ethics and \_\_\_\_\_**

This Contract is between the Commission on Ethics (Commission), and \_\_\_\_\_  
(Contractor).

The Contractor submitted a responsive proposal to Request for Quote (RFQ) #598 for Call Center Staffing Services to facilitate calls and inquiries regarding the new Electronic Financial Disclosure Management System (EFDMS) online filing process. After evaluation of proposals, the Commission determined that the Contractor's proposal is among those that are the most advantageous to the State of Florida and has decided to enter into this Contract. Accordingly, the Commission and Contractor agree as follows:

#### **1. Term**

The term of this Contract for Call Center Staffing Services shall become effective upon execution and shall continue in effect for six (6) months.

The starting and ending dates of actual work performed will be as described in the attached Scope of Work (SOW), Exhibit C.

For a period of three (3) years after the conclusion of the initial Contract Term, the parties may extend or renew the Contract, in whole or in part, for an agreed-upon duration that may differ from the length of the Term of the initial Contract at or lower than the prices specified in the Contractor's Cost Sheet (Attachment I to the RFQ).

#### **2. Contract Documents/Precedence**

As used in this document, the term "Contract" (whether or not capitalized) shall, unless the context requires otherwise, be considered to be references to this Contract.

This Contract together with RFQ #598, incorporated by reference, sets forth the entire understanding of the parties and supersedes all prior agreements, whether written or oral, with respect to such subject matter.

The following exhibits and attachments are incorporated in their entirety into, and form part of, this Contract, once the Contract is fully executed by both parties:

Exhibit A: RFQ #598

Exhibit B: Notice of Intent to Award

Exhibit C: Scope of Work (SOW)

Exhibit D: Contractor's submission to RFQ #598

If a conflict exists among any of the Contract documents, the documents shall have priority in the order listed below:

- a. This Contract
- b. Scope of Work (SOW)

- c. RFQ #598
- d. Notice of Intent to Award
- e. Contractor's submission to RFQ #598

### **3. Contractor Responsibilities**

- a. The Contractor shall provide Call Center Staffing Services to the Commission to facilitate calls and inquiries regarding the new Electronic Financial Disclosure Management System (EFDMS) as described more fully in the SOW. The SOW will become final when signed and attached to this fully executed Contract. The Contractor's staff are collectively referred to as Professional Staff.
- b. The Contractor shall possess the Professional Staff necessary to provide professional and technical staff for the services required by this Contract and the Professional Staff provided shall have sufficient skill and experience to perform the services assigned to them.
- c. All of the Professional Staff furnished by the Contractor under this Contract shall meet the professional standards and quality that prevail among customer service professionals in the same discipline and of similar knowledge and skill engaged in related work throughout Florida under the same or similar circumstances. The Contractor shall provide, at its own expense, training necessary for keeping Contractor's Professional Staff abreast of industry advances and for maintaining proficiency in equipment and systems that are available on the commercial market.
- d. Contractor's Professional Staff shall render services identified by the Commission. Contractor is responsible for providing invoices to the Commission based on the services provided by the Professional Staff in the manner described in Section 5 of this Contract. Contractor shall be solely responsible for all matters relating to payment of its own employees and the Professional Staff, including the withholding or payment of all applicable federal, state and local income taxes, social security taxes and other payroll taxes with respect to its employees, as well as any taxes, contributions or other obligations imposed by applicable state unemployment or workers' compensation acts and all other regulations governing such matters.
- e. Contractor, and not its Professional Staff, is the sole contracting party and the entity to which the Commission will look to exclusively for performance. Accordingly, Contractor will be fully and solely responsible to the Commission throughout the entire engagement for the coordination, oversight, control, actions, work product, quality control, inactions, errors, and failures of its Professional Staff.
- f. The Contractor and Professional Staff shall maintain during the term of the Contract all applicable licenses, permits, qualifications, insurance, and approvals of whatever nature that are legally required to perform the services.

- g. If requested, Contractor will assist the Commission by providing additional Professional Staff as needed. The Commission will create a Professional Staff Position description for each Professional Staff member and provide them to the Contractor as needs are identified throughout the term of the Contract.
- h. The Commission may request, at any time and in its sole discretion, that the Contractor dismiss the Professional Staff from performing the Services. The Commission may request that the Contractor submit substitute Professional Staff that meet the minimum requirements of the Professional Staff Positions (RFQ Attachment H) and SOW, Exhibit C, in order to continue providing the Services.
- i. The Contractor warrants that, to the best of its knowledge, there is no pending or threatened action, proceeding, or investigation, or any other legal or financial condition, that would in any way prohibit, restrain, or diminish the Contractor's ability to satisfy its Contract obligations. The Contractor warrants that neither it nor any affiliate is currently on the Convicted Vendor List maintained pursuant to Section 287.133, Florida Statutes, Suspended Vendor List, Discriminatory Vendor List, or on any other similar list maintained by the State of Florida or the federal government. The Contractor shall immediately notify the Commission in writing if its ability to perform is compromised in any manner during the term of the Contract.

#### **4. Commission's Responsibilities**

- a. Designate the various managers and contact persons required to provide the information to the Professional Staff;
- b. Provide information, make decisions, and give approvals within a reasonable time from receipt of a request, in order to facilitate the Professional Staff's work;
- c. Help resolve project issues and disagreements at the lowest functional level possible to allow the Professional Staff to conclude the Contract and produce the required deliverables as expected.
- d. The Contractor is an independent contractor and not an agent or employee of the Commission. Likewise, the Professional Staff, regardless of their relationship with Contractor, are not employees or agents of the Commission.

#### **5. Consideration**

The Commission will pay the Contractor on a monthly basis for its services at the hourly rates pursuant to the attached Cost Sheet (RFQ Attachment I) for services provided during the preceding month. Invoices must be submitted by the 10th of every month to the Contract Manager. All invoices shall be submitted in detail sufficient for proper pre-audit and post-audit thereof and contain a signature by the Contractor or their designee, certifying the number of hours invoiced is a true accounting. The Commission's invoice procedures are in accordance with Rules 3.5 and 3.5.1, Joint Policies and Procedures of the Presiding Officers (2018).

Any change to the Call Center Staffing Services provided by the Contractor under this Contract will not be effective unless executed by the parties, in a duly authorized, written Amendment to this Contract, in conformance with Section 20 of this Contract.

**6. Termination for Convenience**

Contractor acknowledges that the Commission's need for the Call Center Staffing Services may change depending upon circumstances outside of the Commission's control. As such, the parties agree that the Commission may terminate the Contract, in whole or in part, for any reason at any time prior to the end of the Contract Term upon providing written notice to the Contractor. The Commission shall reimburse the Contractor for costs actually incurred for authorized services satisfactorily performed under this Contract prior to the notice of termination.

**7. Availability of Funds**

The performance of the Contract shall be subject to and contingent upon the availability of funds lawfully appropriated by the Legislature to the Commission and applicable for the purpose of the services specified.

**8. Termination for Cause and Remedies of the Commission**

Any one or more of the following events shall constitute an Event of Default on the part of the Contractor.

- a. Contractor fails to provide the Services as required under the Contract;
- b. Contractor discontinues the performance of the work required under the Contract;
- c. Contractor fails to promptly pay any and all taxes or assessments imposed by and legally due to any state or federal government;
- d. Contractor made or has made a material misrepresentation or omission in any materials provided to the Commission;
- e. Contractor commits any material breach of the Contract; or
- f. Contractor refuses to allow public access to all documents, papers, letters, or other material subject to the provisions of Chapters 11 and 119, Florida Statutes, made or received by the Contractor in conjunction with the Contract and not otherwise deemed confidential, exempt, proprietary, or a trade secret.

Upon the occurrence of an "Event of Default" on the part of the Contractor, the Commission is entitled to one or all of the following remedies:

- a. Equitable Relief;
- b. Monetary Damages (including any re-procurement costs);
- c. Termination of the Contract.

**9. Choice of Law and Venue**

The exclusive venue of any legal or equitable action that arises out of or relates to the Contract shall be the appropriate state court in Leon County, Florida; in any such action, Florida law shall apply and the parties waive any right to a jury trial.



**10. Subcontractors or Third-Party Contractors**

The Contractor shall not use subcontractors or third-party contractors other than those identified in the Contractor's Cost Sheet (RFQ Attachment I) and meeting the minimum requirements of the Professional Staff Positions (RFQ Attachment H) and SOW, Exhibit C, without the prior written consent of the Commission's Contract Manager.

**11. Relationship of the Parties**

The Contractor is an independent contractor and not an agent or employee of the Commission. Neither the Contractor nor the Contractor's Professional Staff are, or shall be deemed, the Commission's employees. The relationship between the Contractor and the Commission shall not constitute a partnership, joint venture, or agency. Neither the Contractor nor the Commission shall have the authority to make any statements, representations or commitments of any kind, or to take any action, which shall be binding on the other party, without the prior consent of the other party.

The Contractor and the Commission each hereby retains the right to exercise full control of and supervision over its own performance of its obligations under this Contract and retains full control over the employment, direction, compensation and discharge of its own employees assisting in the performance of such obligations. The Contractor shall be solely responsible for all matters relating to payment of its own employees and the Professional Staff, including the withholding or payment of all applicable federal, state and local income taxes, social security taxes and other payroll taxes with respect to its employees, as well as any taxes, contributions or other obligations imposed by applicable state unemployment or workers' compensation acts and all other regulations governing such matters. Notwithstanding the provisions of Section 3.h. of this Contract, the Contractor and the Commission each have the sole authority and responsibility to hire, fire and otherwise control their own employees.

**12. Indemnification**

The parties agree that the Contractor will be fully liable for the actions of its agents, employees, partners, or subcontractors, including the Contractor's Professional Staff. The Contractor agrees that it shall fully indemnify, defend, and hold harmless the Commission and its officers, agents, and employees from suits, actions, damages and costs of every name and description, including attorney's fees, arising from or relating to personal injury, damage to real or personal tangible property, or any other tortious conduct or act of negligence alleged to be caused in whole or in part by the Contractor, its agents, employees, partners, or subcontractors, including the Contractor's Professional Staff, to the fullest extent allowed by Florida law.

**13. Representations**

The Contractor understands that any misstatements or lack of candor by the Contractor about the qualifications or availability of it or its personnel constitutes a breach of the resulting Contract and may be grounds for immediate termination of the Contractor's services by the Commission. The Contractor represents further that it is freely entering into this Contract of its own volition, has had sufficient opportunity to seek and consult with counsel, and is not under duress from the Commission or any other person.

**14. Waivers**

The Commission shall not be deemed to have waived any of its rights or remedies hereunder unless such waiver is in writing and signed by the Commission. No delay or omission on the part of the Commission in exercising any rights or remedies shall operate as a waiver of such right or remedy or any other rights or remedies. A waiver on any one occasion shall not be construed as a bar or waiver of any right or remedy on future occasions.

**15. Prohibition Against Assignment**

This Contract may not be assigned by the Contractor, in whole or in part, except by prior written authorization by the Commission's Contract Manager.

**16. Notices**

All legal or other notices and other communications required or permitted to be given under this Contract other than routine operational communications must be in writing and must be hand delivered, or mailed via U.S. mail or express overnight courier with a reliable system for tracking delivery, or confirmed facsimile or electronic mail with a copy sent by another means specified herein, addressed to the respective parties as follows:

To Commission:

The Florida Commission on Ethics  
Kerrie J. Stillman, Executive Director  
325 John Knox Rd Building E, Suite 200  
Tallahassee, FL 32303  
stillman.kerrie@leg.state.fl.us

and

The Florida Legislature, Office of Legislative Services  
Kyle Gray, General Counsel  
111 West Madison Street, Suite 874  
Tallahassee, FL 32399-1400  
gray.kyle@leg.state.fl.us

To Contractor: \_\_\_\_\_

\_\_\_\_\_

Email: \_\_\_\_\_

The effective date of any notice under this Contract shall be the date of delivery or refusal of such notice, and not the date of mailing.

**17. Contract Manager**

The Contract Manager on behalf of the Commission is Kerrie Stillman, Executive Director, 325 John Knox Rd Building E, Suite 200, Tallahassee, FL 32303. The Contract Manager on behalf of the Contractor is \_\_\_\_\_. All written and verbal approvals referenced in the Contract must be obtained from the parties' Contract Managers or their designees, and all notices must be given to the parties' Contract Managers.

**18. Public Records**

Unless specially exempted by law, all records made or received by the Contractor in conjunction with this Contract may be public records available for inspection by the public in accordance with the provisions of Article I, Section 24, The Constitution of the State of Florida, and Section 11.0431, Florida Statutes. If the Contractor receives a request for public records, the Contractor shall immediately notify the Commission's Contract Manager of the request and shall coordinate the production of records to the requestor with the Commission's Contract Manager. However, in order to ensure that records subject to any exemption are not disclosed, the Contractor shall not allow any inspection of or otherwise disclose any information found in said documents or records unless and until so directed by the Commission's Contract Manager. Refusal of the Contractor to allow public access to such records after approved by the Commission's Contract Manager shall constitute grounds for termination of this Contract.

**19. Confidentiality and Safeguarding Information**

The Contractor or the Contractor's employees and/or Professional Staff may obtain access to confidential or exempt information pursuant to the services provided under this Contract. The provisions of Section 11.0431, F.S., Chapter 119, F.S., and other applicable state and federal laws will govern disclosure of any confidential or exempt information.

The Contractor must implement procedures to ensure the protection and confidentiality of all data, files, and records involved with this Contract. Except as necessary to fulfill the terms of this Contract and with the permission of the Commission, the Contractor and the Contractor's employees and/or Professional Staff shall not divulge to third parties any confidential or exempt information obtained by the Contractor or its agents, distributors, resellers, subcontractors, officers, employees, or Professional Staff in the course of performing services pursuant to this Contract, including, but not limited to, security procedures, business operations information, commercial/proprietary information, or information considered confidential and/or exempt under the provisions of Section 11.0431, F.S. or Chapter 119, F.S. in the possession of the Commission or the Legislature.

The Contractor and the Contractor's employees and/or Professional Staff agree not to use

or disclose any information concerning a recipient of services under this Contract for any purpose not in conformity with state and federal law or regulations except upon written consent of the Commission, if applicable.

The Contractor agrees to abide by all applicable Commission security procedures and policies. The Contractor (including its Professional Staff, employees, subcontractors, agents, representatives, or any other individuals to whom Contractor exposes confidential information obtained under this Contract), shall not store, or allow to be stored, any confidential information on any portable storage media (*e.g.*, laptops, thumb drives, hard drives, *etc.*) or peripheral device with the capacity to hold information, except upon written consent of the Commission. Failure to strictly comply with this provision shall constitute a breach of contract.

The Contractor shall notify the Commission in writing of any disclosure of unsecured confidential information obtained by the Contractor, its Professional Staff, employees, subcontractors, agents, or representatives which is not in compliance with the terms of the Contract (of which it becomes aware). The Contractor also shall report to the Commission any Security Incidents of which it becomes aware, including those incidents reported to the Contractor by its Professional Staff, employees, subcontractors, agents, representatives, or any other individuals to whom Contractor exposes confidential information obtained under this Contract. For purposes of this Contract, "Security Incident" means the attempted or successful unauthorized access, use, disclosure, modification, or destruction of Commission information in the Contractor's possession or electronic interference with Commission operations; however, random attempts at access shall not be considered a Security Incident. The Contractor shall make a report to the Commission not more than twenty-four (24) hours after the Contractor learns of such use or disclosure. The Contractor's report shall identify, to the extent known: (i) the nature of the unauthorized use or disclosure, (ii) the confidential information used or disclosed, (iii) who made the unauthorized use or received the unauthorized disclosure, (iv) what the Contractor has done or shall do to mitigate any deleterious effect of the unauthorized use or disclosure, and (v) what corrective action the Contractor has taken or shall take to prevent future similar unauthorized use or disclosure.

In the event of a breach of security concerning confidential personal information involved with this Contract, the Contractor shall comply with section 501.171, F.S. When notification to affected persons is required under this section of the statute, the Contractor shall provide that notification, but only after receipt of the Commission's approval of the contents of the notice. Defined statutorily, and for purposes of this Contract, "breach of security" or "breach" means the unauthorized access of data in electronic form containing personal information. Good faith access of personal information by an employee or agent of the Contractor does not constitute a breach of security, provided that the information is not used for a purpose unrelated to Contractor's obligations under this Contract or is not subject to further unauthorized use.

## 20. Amendments

No oral modifications to this Contract are permitted. All modifications to this Contract must be in writing and signed by both parties.

Notwithstanding the order listed in Section 2 of this Contract, amendments executed after the Contract is executed may expressly change the provisions of the Contract. If they do so expressly, then the most recent amendment will take precedence over anything else that is part of the Contract.

This Contract is executed upon signature of authorized officers as of the dates signed below:

### **The Florida Commission on Ethics:**

\_\_\_\_\_  
By: \_\_\_\_\_  
(Print Name)

Title: \_\_\_\_\_  
(Print title)

Date: \_\_\_\_\_

### **Contractor:**

\_\_\_\_\_  
By: \_\_\_\_\_  
(Print Name)

Title: \_\_\_\_\_  
(Print title)

Date: \_\_\_\_\_

## ATTACHMENT B

### Scope of Work

The Call Center Staffing Services (Call Center) will answer calls to aid individual filers (Filers) regarding the Commission's new web-based system, the Electronic Financial Disclosure Management System (EFDMS), with the online filing process. EFDMS provides the Commission with the ability to support the management of financial disclosure filings of constitutional officers, state officers and other persons designated by law to timely file their required financial disclosure forms.

#### 1.1 Professional Staff Services (Services)

The Commission anticipates needing the following full-time Professional Staff resources in order to provide the Call Center for EFDMS. The Commission is seeking, as a minimum requirement, those Vendors that can provide resources as described below:

A **Project Manager** for coordination and stability of the project and **Customer Service Hotline Representatives** to handle Filer Inquiries, including, but not limited to: basic filing inquiries; EFDMS login inquiries; inquiries related to filing status changes; EFDMS system navigation inquiries; EFDMS document uploading inquiries; and other Filer and EFDMS system issues that arise.

Position	To start no later than	Duration – no later than
Project Manager	4/8/2024	7/31/2024
Customer Service Hotline Representative (10 staff)	4/8/2024	7/31/2024

The Professional Staff will work eight (8) hour days, five (5) days a week, during traditional business hours, Monday-Friday (8:00am to 5:00pm EST), excluding holidays, until dismissal by the Commission or a modified work schedule is approved. The Commission will only be invoiced for the actual hours worked by the Professional Staff. All Services will be performed by the Professional Staff under the direct supervision of the Vendor's Project Manager.

The Commission's Contract Manager or their designee will provide direction and guidance to the Vendor, via communications with either the Vendor's Contract Manager or Project Manager, regarding the objectives the Commission seeks to accomplish under the Contract in accordance with the Contract and this Scope of Work (SOW). However, the Commission's Contract Manager is not responsible for supervising the Professional Staff. Instead, the Vendor will be fully and solely responsible to the Commission throughout the entire engagement for the coordination, oversight, control, actions, work product, quality control, inactions, errors, and failures of its Professional Staff.

In the event that one of the Professional Staff is no longer available due to events beyond the control of the Vendor, the Vendor agrees that it will obtain prior written consent from the Commission's Contract Manager for any Professional Staff changes assigned to the resulting Contract. The Vendor must provide the Commission's Contract Manager with its request for a staff change, a reason for substitution, along with a copy of the staff resume describing roles and experience of each new Professional Staff to be assigned to this Contract. The Commission's Contract Manager agrees that substitution or addition of staff shall not be unreasonably denied. All additional and replacement staff will work under the same guidelines.

The Vendor shall conduct a Level 2 background check on the Vendor's Professional Staff before the commencement of Services. The Commission reserves the right to reject a candidate or revoke an Award, in its sole discretion, for an unacceptable background check. Background checks are conducted in order to ensure the safety and security of the Commission's employees, the Filers, and the sensitive data to which Professional Staff may gain access in their scope of duties. Vendor and Professional Staff must not disclose any confidential or exempt information under Section 11.0431, F.S. or Chapter 119, F.S., that they view or have access to, in conjunction with their duties under the Contract, consistent with the provisions of Section 19 of the Contract.

The Professional Staff will be expected to assist the Commission by performing the following tasks including, but not limited to:

- Answering inbound calls
- Addressing problems and complaints of Filers
- Providing proper solutions
- Responding to the needs of Filers
- Providing information on the new electronic filing process
- Helping Filers complete and file the appropriate forms online
- Routing complex calls to appropriate Commission staff
- Documenting each Filer contact in EFDMS
- Documenting technical issues, escalation of questions, or technology issues in the issue tracking system

## **1.2 Deliverables**

Deliverables of the Project Manager include, but are not limited to:

- Primary contact with the Commission
- Overall coordination of Professional Staff assigned to the project
- Providing reports on call volume and questions to the Commission
- Training new Professional Staff
- Resolving problems
- Coordinating Professional Staff replacement

Deliverables of the Professional Staff include, but are not limited to:

- Reasonable call handling times
  - Time frames will be established by the Commission and may change throughout the filing season
- Resolution of Filers' inquiries with the first call request
- Documentation of Filer contacts in EFDMS
- Customer satisfaction
- Routing complex calls quickly in order to achieve an efficient resolution

### **1.3 Start Date**

The Project Manager and the Customer Service Hotline Representatives must be able to begin providing Services no later than April 8, 2024 and will continue until dismissed by the Commission or through July 31, 2024. However, the Commission may negotiate for a start date earlier than April 8, 2024 if required.

If requested, the Vendors will assist the Commission by providing additional Professional Staff as needs are identified throughout the Term of the Contract.

The Commission may request, at any time and in its sole discretion, that the Vendors remove the Professional Staff from performing the Services. The Commission may request that the Vendors submit other Professional Staff that meet the minimum requirements of the Professional Staff Positions (RFQ Attachment H) and the Scope of Work in order to continue providing the Services.

*The Florida Commission of Ethics:*

*Vendor:*

\_\_\_\_\_

\_\_\_\_\_

Date: \_\_\_\_\_

Date: \_\_\_\_\_



**ATTACHMENT C**  
**Policies 3.5 and 3.5.1, Joint Policies and Procedures**

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OFFICE OF LEGISLATIVE SERVICES  
FINANCE AND ACCOUNTING OFFICE

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**3.5 INVOICE PROCESSING PROCEDURE**

The Finance & Accounting Office will perform the following actions on each invoice:

- (1) Audit each invoice, including any duplicate invoices, for compliance with the contractual agreement or purchase order and mathematical accuracy, and determine if the payment is properly authorized or not previously paid;
- (2) Record information into the State's accounting system; and
- (3) Maintain voucher files with supporting documentation, files of unpaid purchase orders, and other files as necessary to maintain adequate accounting control and documentation.

**3.5.1 INVOICE PROCESSING TIME LIMITS**

- (1) A voucher authorizing payment of an invoice submitted to a unit of the Legislature will be filed with the Department of Financial Services (DFS) no later than 20 days after receipt of the invoice and receipt, inspection, and approval of the goods or services, except that, in the case of a bona fide dispute, the voucher will contain a statement of the dispute and authorize payment only in the amount not disputed. Approval and inspection of goods or services will take no longer than five working days unless the bid specifications, purchase order, or contract specifies otherwise. If a voucher filed within the 20-day period is returned by DFS because of an error, it will nevertheless be deemed timely filed. For the purposes of determining the receipt of invoice date, the Legislature is deemed to receive an invoice on the date on which a proper invoice is first received in the Finance & Accounting Office. The Legislature is deemed to receive an invoice on the date the invoice was postmarked if the Finance & Accounting Office failed to annotate the invoice with the date of receipt at the time it actually received the invoice.
- (2) The Finance & Accounting Office will keep a record of the date of receipt of the invoice; dates of receipt, inspection, and approval of the goods or services; date of the voucher; and date of issuance of the warrant in payment thereof.
- (3) The Legislature may make partial payments to a contractor upon partial delivery of goods or services or upon partial completion of construction when a request for such partial payment is made by the contractor and approved by the legislative unit. Provisions of this section will apply to partial payments in the same manner as they apply to full payments.
- (4) Travel and other reimbursements to state officers and employees will be the same as payments to vendors pursuant to this section.

**ATTACHMENT D**  
**Resumes of Proposed Project Manager**

Resumes shall provide a description of the Project Manager's experience within the last seven (7) years for performing similar project management services for a call center.

The Vendor may submit and is encouraged to submit more than one (1) resume of proposed Project Manager with its Quote.

(Resume for each Project Manager Position)

The remainder of this page is intentionally left blank.

**ATTACHMENT E**  
**Non-Collusion Statement**

I certify that this Quote is made without prior understanding, agreement, or connection with any corporation, firm or person submitting a Quote for the same services, and is in all respects fair and without collusion or fraud. I agree to abide by all conditions of this Quote and certify that I am authorized to sign this document for the organization and that the organization is in compliance with all requirements of this Request for Quote including, but not limited to, certification requirements. In submitting this Quote, the organization offers and agrees that, upon acceptance, the organization is deemed to have sold, assigned, and transferred to the State of Florida all rights, title and interest in and to all causes of action it may now or hereafter acquire under the antitrust laws of the United States and the State of Florida relating to the particular commodities or services which may be purchased or acquired by the State of Florida or political subdivision thereof.

Vendor: \_\_\_\_\_

Signature: \_\_\_\_\_  
(Authorized Officer)

Name: \_\_\_\_\_  
(Printed or typed name/title)

RFQ No. #598: Call Center Staffing Services

**ATTACHMENT F**  
**Disclosure Information**

Upon reasonable inquiry, the organization discloses on the lines below:

That the following identified owner, officer, director, employee, agent or lobbyist who is/was a current or former member, officer or employee of the Florida Legislature or the Commission, and was, is, or will be significantly involved in preparing or approving this contract, representing the interests of the organization regarding this contract, or doing the work covered under this contract.

That the following identified current or former member or employee of the Florida Legislature or the Commission, owns, directly or indirectly, an interest of five percent (5%) or more of the total assets or capital stock in the company.

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

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

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

If none, check here \_\_\_\_\_

RFQ No. #598: Call Center Staffing Services

Name of Vendor: \_\_\_\_\_

By: \_\_\_\_\_  
(Signature)

By: \_\_\_\_\_  
((Printed or typed name/title)

Telephone: \_\_\_\_\_ Date: \_\_\_\_\_

**ATTACHMENT G**  
**Reference Form**

Please use the format below for submitting references.

**Reference Client 1:** \_\_\_\_\_

Contact Person and Title: \_\_\_\_\_

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

Phone Number: \_\_\_\_\_

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

Type of Services: \_\_\_\_\_

Term of Services: \_\_\_\_\_

Client Reference Type: ☐ Public Sector ☐ Private Client

**Reference Client 2:** \_\_\_\_\_

Contact Person and Title: \_\_\_\_\_

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

Phone Number: \_\_\_\_\_

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

Type of Services: \_\_\_\_\_

Term of Services: \_\_\_\_\_

Client Reference Type: ☐ Public Sector ☐ Private Client

**Reference Client 3:** \_\_\_\_\_

Contact Person and Title: \_\_\_\_\_

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

Phone Number: \_\_\_\_\_

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

Type of Services: \_\_\_\_\_

Term of Services: \_\_\_\_\_

Client Reference Type: ☐ Public Sector ☐ Private Client

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

RFQ #598

## **ATTACHMENT H Professional Staff Positions**

### **Program Management Project Manager**

The Project Manager is responsible for overall coordination of Professional Staff, responding to inquiries from the Commission and resolving any staffing deficiencies. Establishes and assists with implementation of staffing services to ensure project success, adhering to high quality services, standards, and meeting the Commission's expectations. Directs and monitors Professional Staff work efforts, evaluates situations, and determines appropriate action for problems or complaints. Tracks issues, identifies resources needed, and escalates issues to the Commission when necessary for timely resolution. Must possess extensive knowledge and expertise in project management practices and must demonstrate strong customer-focused skills.

Good communication and collaboration skills are a must as this individual will work closely with Commission staff.

This Project Manager professional will be expected to perform the following tasks and deliver services and products as outlined:

- Responsible for the management of Professional Staff assigned to the project;
- Monitor project progress;
- Solve issues that arise;
- Ensure staff are performing to the Commission's satisfaction.
- Mastery of the EFDMS tasks to be performed by Professional Staff

#### **Education, Experience, Knowledge, and Abilities: Required:**

Associate's or Bachelor's Degree or technical institute degree/certificate or equivalent work experience.

A minimum of four or more years of managing projects and related work experience.

Pass a Level 2 background check.

## **ATTACHMENT H**

### **Professional Staff Positions**

#### **Customer Service Hotline Representative**

As a member of the Customer Service Team, the Customer Service Hotline Representative is responsible for responding to inquiries and providing information to individual filers calling the Commission. Responsible for providing support services to individual filers of the online site with technical assistance and guidance relative to problems involving user login, browser, and other system-related inquiries from individual filers calling the Commission. Records all customer contact information into a call log. Evaluates situations, determines appropriate response and escalates, if necessary, to the designated specialist or resource for resolution of the individual filer's problem or complaint. Tracks issues escalated for resolution to ensure individual filers receive a timely response. Must have knowledge demonstrating strong customer-focused skills.

Good communication and collaboration skills are a must as this individual will work closely with Commission staff and will interact directly with individual filers.

This Customer Service Hotline Representative professional will be expected to perform the following tasks and deliver services and products as outlined:

- Provide customer hotline services of low to medium complexity;
- Answers questions such as:
  - Why am I required to file this form?
  - How do I log in?
  - How can I be removed from the list of persons required to file?
  - System navigation
  - Answering certain questions related to completing Form 1
  - Questions about how to upload .pdf documents to EFDMS
  - Specific questions about completing the CE Form 1 Statement of Financial Interests
  - Questions/answers for issues addressed in the instructions and FAQ
- Function somewhat independently;
- Work under the general direction of more senior customer service representatives, supervisors or managers;
- Generally follow documented procedures and checklists.

#### **Education, Experience, Knowledge, and Abilities: Required:**

Associate's or Bachelor's Degree or technical institute degree/certificate in or equivalent work experience.

A minimum of three or more years of related work experience.

Pass a Level 2 background check.

**ATTACHMENT I**  
**Cost Sheet**  
**Call Center Staffing Services RFQ #598**

This Cost Sheet shall specify an hourly rate for each Professional Staff candidate identified in this RFQ. Vendors may propose more than one candidate for *every* requested position.

<b>Professional Staff Position</b>	<b>Proposed Candidate(s) Name</b>	<b>Candidate's Hourly Rate</b>
Project Manager ( <i>will award one</i> )		
Customer Service Hotline Representative ( <i>will award 10</i> )		

*(If additional space is needed, attach a continuation page to the Cost Sheet.)*

Vendor must specify and itemize any implementation fee or additional fees that will apply, if any \$

<b>Fee Description</b>	<b>Purpose</b>	<b>Amount</b>

*(If additional space is needed, attach a continuation page to the Cost Sheet.)*

Vendor: \_\_\_\_\_



**REQUEST FOR QUOTATION**

**CUSTOMER SERVICE CALL CENTER**

**RFQ #598**

Quotes to be opened by the

Office of Legislative Services

Purchasing Office

111 West Madison Street

Tallahassee, Florida 32399-1400

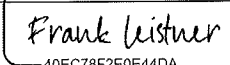
**at 3:00 P.M., December 19, 2023**

Name of Company Alight Solutions

Address 2300 Discovery Drive

City Orlando State FL Zip Code 32826

Point of Contact Matthew Lahey

Signature (Manual):   
(Owner or Authorized Corporate Officer/Title)

Type or Written Name: Frank Leistner  
(Owner or Authorized Corporate Officer/Title)

Title: Strategic Account Executive

Telephone No.: 904-234-3908 Fax No.: N/A

FEID No.: 82-1061233

Email Address: matthew.lahey@alight.com

## **SCHEDULE OF EVENTS**

Issuance of RFQ	December 12, 2023
Written questions by Vendors due by 5:00 p.m.	December 14, 2023
Written responses to all questions emailed to Vendors	December 15, 2023
Quotes due by 3:00 p.m. for opening	December 19, 2023
Evaluation and Vendor Presentations Commence	December 20, 2023
Anticipated Completion of Evaluation	January 5, 2024
Anticipated Notice of Intent to Award	January 31, 2024
Anticipated Contract Execution	February 1, 2024

**PLEASE NOTE: ANY DOCUMENTATION RECEIVED AFTER THE SPECIFIED TIME WILL NOT BE ACCEPTED.**

## **ATTACHMENTS**

- Attachment A - Draft Contract
- Attachment B - Scope of Work
- Attachment C - Policies 3.5 and 3.5.1, Joint Policies and Procedures
- Attachment D - Resumes of Proposed Project Manager
- Attachment E - Non-Collusion Statement
- Attachment F - Disclosure Information
- Attachment G - Reference Form
- Attachment H - Professional Staff Positions
- Attachment I - Cost Sheet

## **CUSTOMER SERVICE CALL CENTER**

### **SECTION ONE, REQUEST FOR QUOTE PROCESS**

#### **1.1 Introduction**

This Request for Quote (RFQ) is released by the Florida Legislature (Legislature), Office of Legislative Services (OLS) on behalf of the Commission on Ethics (Commission), for Call Center Staffing Services (Call Center) in accordance with the Scope of Work (Services), Attachment B herein. This RFQ is in coordination with and incorporates the Request for Information (RFI) #947 that was issued on November 17, 2023, including the written responses to questions issued on November 29, 2023.

The term “Quote” means a response submitted by a Vendor to this RFQ. The term “Vendor” means those entities that respond and submit a Quote in response to this RFQ. The term “Contract” means the written agreement to provide the Services herein, a draft of which is attached to this RFQ as Attachment A. The term “Awarded Vendor” means the entity awarded and issued a Contract for the Services herein.

#### **1.2 Objective**

The objective of this RFQ is to solicit Quotes from Vendors to provide a Call Center. Professional Staff (as defined in the draft Contract, Attachment A), which will include a Project Manager and Customer Service Hotline Representatives, will facilitate calls and inquiries regarding the new Electronic Financial Disclosure Management System (EFDMS) that now requires individuals to use an online filing system in lieu of the paper filing system. The Commission seeks to enter into a fair, competitive, and reasonable Contract, to a responsive and responsible Vendor who is determined to be the most advantageous to the State of Florida, taking into consideration each Vendor’s qualifications, approach to the project, and ability to furnish the Services in the time specified herein. As detailed below, the Commission will also take into account information provided by Vendor Presentations to the Commission expounding upon the capabilities, qualifications, and expertise of the Vendors, in addition to the evaluation criteria listed in Section 1.13 of this RFQ. Any other information known to the Commission that demonstrates the Vendor’s experience and competence to provide the Services herein may also be taken into account.

#### **1.3 Submission of Quotes**

Quotes must be received on or before the time specified in the Schedule of Events and must be submitted to the RFQ Coordinator **via email only**. It shall be the sole responsibility of the Vendor to see that their Quote is received **by email** on or before the stated time of the Quote due date listed in the Schedule of Events. Quotes shall be properly executed in the name of and by the person, firm, or corporation submitting the Quote.

The following items are minimum requirements to the RFQ and must be included in the Quote as a Pass/Fail Requirement, and if deficient, the Quote may be deemed non-responsive, disqualified, and not evaluated.

The Vendor must provide a minimum of three (3) prior client references on the Reference Form, Attachment G, with its Quote response.

**These documents must be completed by an individual (contact name and title of the individual) responsible for the Vendor's Quote and authorized by the Vendor with binding signature authority.**

- A completed and signed Vendor's Information Coversheet (page 1)
- Resumes of Proposed Project Manager (Attachment D)
- Non-Collusion Statement (Attachment E)
- Disclosure Information (Attachment F)
- Reference Form (Attachment G)
- Cost Sheet (Attachment I)

No changes, modifications, or additions to the Quote will be allowed after the date and time at which the Quotes are due listed herein, unless clarification is requested by OLS.

Vendors acknowledge and agree that their Quote shall remain firm and shall not be withdrawn for **at least one-hundred eighty (180) days** after the date that the Quotes are submitted. This extended time period is to cover circumstances in which a contracted Professional Staff member cannot fulfill their commitment or if additional Professional Staff needs are identified.

#### **1.4 Vendor Presentations**

Subsequent to the receipt of Quotes, and during the timeframe open for the Commission's Evaluation as detailed in the Schedule of Events on page 2, the Vendors will be required to prepare a Presentation for the Commission via Zoom (or other agreed-upon video conferencing platform), in which the Vendor orally presents additional information to the Commission regarding its capabilities, qualifications, and expertise that render it uniquely suited to provide the Services contemplated in the Contract. The Commission anticipates receiving Presentations and conducting discussions with the Vendors regarding their firm's qualifications, approach to the project, and ability to furnish the Services in the time specified herein. Presentations should last no longer than thirty minutes and should address their company's ability to successfully implement the requirements of the project, including quality control and supervision of any remote workers. Vendors should arrange for the scheduling of their Presentation by providing available dates to the RFQ Coordinator **via email** by the deadline specified for the submission of Quotes in the Schedule of Events.

## **1.5 Questions**

Questions and inquiries for additional information or clarification may be submitted **by email** with the RFQ number and name in the subject line and sent to the RFQ Coordinator specified in Section 1.6, below and received no later than the date specified in the Schedule of Events.

No other conversation, discussion, or communication—whether written or verbal—about the content or substance of the RFQ shall occur, outside of the Presentation process, with any legislative employee other than the RFQ Coordinator, until an Award (as defined in Section 1.18 below) has been issued. Any communication during this time with anyone other than the RFQ Coordinator will be considered unofficial, non-binding and may subject the Vendor to disqualification from the RFQ process and its Quote deemed non-responsive and not evaluated.

## **1.6 RFQ Coordinator**

The RFQ Coordinator is:

Theresa Dollar  
Office of Legislative Services, Purchasing Office  
[dollar.theresa@leg.state.fl.us](mailto:dollar.theresa@leg.state.fl.us)

## **1.7 Clarification**

The Commission reserves the right to seek clarifications, request any information deemed necessary for proper evaluation from all Vendors, and negotiate different terms and related price adjustments if the Commission determines that such changes would provide the best value to the Commission.

## **1.8 Waiver of Minor Irregularities**

The Commission makes the sole determination of whether a mistake or omission is a minor irregularity or a material deviation from the RFQ. The Commission reserves the right to waive minor irregularities and/or material deviations in a Quote when to do so would be in the best interest of the State of Florida.

## **1.9 Must, Shall, Will, and Is Required**

Although this Quote uses terms such as “must,” “shall,” “will,” and “is required” and may define certain items as requirements, the Commission reserves the right, in its discretion, to waive any minor irregularity, technicality, or omission if the Commission determines that it is in the best interest of the State of Florida to do so. However, failure to provide requested information may result in the rejection of a Quote. There is no guarantee that the Commission will waive an omission or deviation or that any Quote containing a deviation or omission will be considered for an Award.

### **1.10 Rejection of Quotes**

The Commission reserves the right to reject any and all Quotes at any time, including after an Award is made, when doing so would be in the best interest of the State of Florida, and by doing so the Commission will have no liability to any Vendor.

### **1.11 Withdrawal of the RFQ**

The Commission reserves the right to withdraw the RFQ at any time, including after an Award is made, when doing so would be in the best interest of the State of Florida, and by doing so the Commission will have no liability to any Vendor.

### **1.12 Negotiation**

The Commission may select one or more Vendors with which to commence negotiations, and may negotiate sequentially or concurrently with Vendors. No Vendor will be formally eliminated from the RFQ process until the posting of the Notice of Intent to Award and formal contract execution.

The Vendor shall conduct a Level 2 background check on the Vendor's Professional Staff before the commencement of Services. The Commission reserves the right to reject a candidate or revoke an Award, in its sole discretion, for an unacceptable background check. Background checks are conducted in order to ensure the safety and security of the Commission's employees, the Filers, and the sensitive data to which Professional Staff may gain access in their scope of duties. Vendor and Professional Staff must not disclose any confidential or exempt information under Section 11.0431, F.S. or Chapter 119, F.S., that they view or have access to, in conjunction with their duties under the Contract, consistent with the provisions of Section 19 of the Contract.

### **1.13 Evaluation Process**

The Commission will have a team that consists of various Commission employees, composed of at least three (3) members, that will rate the Quotes based upon previously established fair and objective criteria from this RFQ and the Presentations as set forth in the following evaluation scoring criteria, as well as any other information made available to the Commission. Quotes will be evaluated and scored in the areas of: Qualifications and Experience, the Presentation, References, and the Cost, as further described below.

- **Qualifications and Experience - (25 Points)** This criteria will be evaluated using the consideration of the Vendor's experience within the last seven (7) years of performing similar services including the Vendor's staffing, resume information provided in Attachment D, and the level of experience of the Project Manager;
- **Presentation - (25 Points)** This criteria will be evaluated based on the standards provided in Section 1.4 of this RFQ;
- **References - (25 Points)** This criteria will be evaluated based on the references submitted (Attachment G) and the reference responses;

- **Cost - (25 Points)** The Points for this criteria will be determined by assessing the lowest total cost from the Cost Sheet. The Quote with the lowest cost will receive the maximum number of points for cost.

#### **1.14 Official Notices or Amendments to the RFQ Documents**

All notices, intended decisions, addenda and other matters relating to this RFQ will be **emailed** to all Vendors. It is the Vendor's responsibility to maintain a current email address and to access it regularly.

#### **1.15 Vendor Disqualification**

A Vendor that is on either the Discriminatory Vendor List, Convicted Vendor List, Suspended Vendor List, or other similar list compiled and maintained by either the federal government or the Florida Department of Management Services as defined in Florida law may not submit a Quote.

#### **1.16 Contract**

Attached to this RFQ as Attachment A, is a draft Contract that will become the binding agreement between the Awarded Vendor, if any, and the Commission. The Vendor may not apply any condition or change any term to any aspect of the draft Contract or the Vendor's Quote may be deemed non-responsive and not considered. Any attempt to redline, modify, or change the draft Contract may subject the Vendor's Quote to being deemed non-responsive and not considered.

The Commission reserves the right to contract for a single position, multiple positions, and any number of candidates within a position.

#### **1.17 Cost Sheet**

The Vendor must provide the pricing for each of the requested Professional Staff Positions as provided on the Cost Sheet form, Attachment I.

The Cost Sheet shall specify **an hourly rate** for **each person proposed by Vendor** to fill each Professional Staff Position assigned to the resulting Contract, as contained on the Cost Sheet attached hereto as Attachment I. The Commission will consider the cost of each person proposed in the Cost Sheet in making its final selection to award.

The Cost sheet shall also identify and itemize any and all other costs, including initial and set-up costs.

#### **1.18 Award**

The Commission intends to award a six (6)-month contract for the Call Center, as described herein. The Professional Staff Positions, including the requirements and additional responsibilities of each position, are provided within Attachment H, Professional Staff Positions.

The Commission may negotiate with the Vendor to request additional Professional Staff Positions or to modify the Scope of Work during the term of this Contract.

After all Quotes are received and Vendor Presentations are completed, the Commission will make a final decision in accordance with the time specified in the Schedule of Events. In addition to the criteria listed in Section 1.13, the Commission will consider its internal costs and other factors, including staffing resources and current project priorities for the Award.

The Commission reserves the right to select a Vendor, if any, at a different time if it is deemed in the best interest of the State of Florida. If selected, the RFQ and its Attachments, and the Vendor's Quote, will become part of the Contract.

If the Commission decides to reject all Quotes or withdraw the RFQ, it will provide email notification to all Vendors who submit a response to this RFQ.

#### **1.19 Contract Manager**

The Commission and the Awarded Vendor will each designate a Contract Manager responsible for managing the Contract and will provide updated contact information for each Contract Manager during the Term set forth in the Contract.

The Commission and the Awarded Vendor will provide their respective Contract Managers upon execution of the Contract.

The Commission's Contract Manager or their designee will provide direction and guidance to the Awarded Vendor, via communications with either the Awarded Vendor's Contract Manager or Project Manager, regarding the objectives the Commission seeks to accomplish under the Contract in accordance with the Contract and the Scope of Work (SOW). However, the Commission's Contract Manager is not responsible for supervising the Professional Staff. Instead, the Awarded Vendor will be fully and solely responsible to the Commission throughout the entire engagement for the coordination, oversight, control, actions, work product, quality control, inactions, errors, and failures of its Professional Staff.

#### **1.20 Relationship of the Parties**

The Awarded Vendor is an independent contractor and not an agent or employee of the Commission. Neither the Awarded Vendor nor the Awarded Vendor's Professional Staff are, or shall be deemed, the Commission's employees. The relationship between the Awarded Vendor and the Commission shall not constitute a partnership, joint venture, or agency. Neither the Awarded Vendor nor the Commission shall have the authority to make any statements, representations or commitments of any kind, or to take any action, which shall be binding on the other party, without the prior consent of the other party.



### **1.21 Florida Substitute Form W-9**

A completed Substitute Form W-9 is required from Vendors doing business with the State of Florida. Should the Commission award any Contract pursuant to this RFQ, the Awarded Vendor, if not already registered, must register as a Vendor with the State of Florida, Department of Financial Services, within five business days of the Award. The registration and requirements for registering and submitting electronically a Substitute Form W-9 are available at: <https://flvendor.myfloridacfo.com/>.

### **1.22 Registration with the Florida Department of State, Division of Corporations**

The Awarded Vendor must register with the Florida Department of State, Division of Corporations, before contract execution. The Awarded Vendor must maintain a certificate of licensure in good standing through the Term of the Contract.

## **ATTACHMENT A**

### **Draft Contract**

#### **Call Center Staffing Services Contract No. Between Commission on Ethics and \_\_\_\_\_**

This Contract is between the Commission on Ethics (Commission), and \_\_\_\_\_  
(Contractor).

The Contractor submitted a responsive proposal to Request for Quote (RFQ) #598 for Call Center Staffing Services to facilitate calls and inquiries regarding the new Electronic Financial Disclosure Management System (EFDMS) online filing process. After evaluation of proposals, the Commission determined that the Contractor's proposal is among those that are the most advantageous to the State of Florida and has decided to enter into this Contract. Accordingly, the Commission and Contractor agree as follows:

#### **1. Term**

The term of this Contract for Call Center Staffing Services shall become effective upon execution and shall continue in effect for six (6) months.

The starting and ending dates of actual work performed will be as described in the attached Scope of Work (SOW), Exhibit C.

For a period of three (3) years after the conclusion of the initial Contract Term, the parties may extend or renew the Contract, in whole or in part, for an agreed-upon duration that may differ from the length of the Term of the initial Contract at or lower than the prices specified in the Contractor's Cost Sheet (Attachment I to the RFQ).

#### **2. Contract Documents/Precedence**

As used in this document, the term "Contract" (whether or not capitalized) shall, unless the context requires otherwise, be considered to be references to this Contract.

This Contract together with RFQ #598, incorporated by reference, sets forth the entire understanding of the parties and supersedes all prior agreements, whether written or oral, with respect to such subject matter.

The following exhibits and attachments are incorporated in their entirety into, and form part of, this Contract, once the Contract is fully executed by both parties:

Exhibit A: RFQ #598

Exhibit B: Notice of Intent to Award

Exhibit C: Scope of Work (SOW)

Exhibit D: Contractor's submission to RFQ #598

If a conflict exists among any of the Contract documents, the documents shall have priority in the order listed below:

- a. This Contract
- b. Scope of Work (SOW)

- c. RFQ #598
- d. Notice of Intent to Award
- e. Contractor's submission to RFQ #598

### **3. Contractor Responsibilities**

- a. The Contractor shall provide Call Center Staffing Services to the Commission to facilitate calls and inquiries regarding the new Electronic Financial Disclosure Management System (EFDMS) as described more fully in the SOW. The SOW will become final when signed and attached to this fully executed Contract. The Contractor's staff are collectively referred to as Professional Staff.
- b. The Contractor shall possess the Professional Staff necessary to provide professional and technical staff for the services required by this Contract and the Professional Staff provided shall have sufficient skill and experience to perform the services assigned to them.
- c. All of the Professional Staff furnished by the Contractor under this Contract shall meet the professional standards and quality that prevail among customer service professionals in the same discipline and of similar knowledge and skill engaged in related work throughout Florida under the same or similar circumstances. The Contractor shall provide, at its own expense, training necessary for keeping Contractor's Professional Staff abreast of industry advances and for maintaining proficiency in equipment and systems that are available on the commercial market.
- d. Contractor's Professional Staff shall render services identified by the Commission. Contractor is responsible for providing invoices to the Commission based on the services provided by the Professional Staff in the manner described in Section 5 of this Contract. Contractor shall be solely responsible for all matters relating to payment of its own employees and the Professional Staff, including the withholding or payment of all applicable federal, state and local income taxes, social security taxes and other payroll taxes with respect to its employees, as well as any taxes, contributions or other obligations imposed by applicable state unemployment or workers' compensation acts and all other regulations governing such matters.
- e. Contractor, and not its Professional Staff, is the sole contracting party and the entity to which the Commission will look to exclusively for performance. Accordingly, Contractor will be fully and solely responsible to the Commission throughout the entire engagement for the coordination, oversight, control, actions, work product, quality control, inactions, errors, and failures of its Professional Staff.
- f. The Contractor and Professional Staff shall maintain during the term of the Contract all applicable licenses, permits, qualifications, insurance, and approvals of whatever nature that are legally required to perform the services.

- g. If requested, Contractor will assist the Commission by providing additional Professional Staff as needed. The Commission will create a Professional Staff Position description for each Professional Staff member and provide them to the Contractor as needs are identified throughout the term of the Contract.
- h. The Commission may request, at any time and in its sole discretion, that the Contractor dismiss the Professional Staff from performing the Services. The Commission may request that the Contractor submit substitute Professional Staff that meet the minimum requirements of the Professional Staff Positions (RFQ Attachment H) and SOW, Exhibit C, in order to continue providing the Services.
- i. The Contractor warrants that, to the best of its knowledge, there is no pending or threatened action, proceeding, or investigation, or any other legal or financial condition, that would in any way prohibit, restrain, or diminish the Contractor's ability to satisfy its Contract obligations. The Contractor warrants that neither it nor any affiliate is currently on the Convicted Vendor List maintained pursuant to Section 287.133, Florida Statutes, Suspended Vendor List, Discriminatory Vendor List, or on any other similar list maintained by the State of Florida or the federal government. The Contractor shall immediately notify the Commission in writing if its ability to perform is compromised in any manner during the term of the Contract.

#### **4. Commission's Responsibilities**

- a. Designate the various managers and contact persons required to provide the information to the Professional Staff;
- b. Provide information, make decisions, and give approvals within a reasonable time from receipt of a request, in order to facilitate the Professional Staff's work;
- c. Help resolve project issues and disagreements at the lowest functional level possible to allow the Professional Staff to conclude the Contract and produce the required deliverables as expected.
- d. The Contractor is an independent contractor and not an agent or employee of the Commission. Likewise, the Professional Staff, regardless of their relationship with Contractor, are not employees or agents of the Commission.

#### **5. Consideration**

The Commission will pay the Contractor on a monthly basis for its services at the hourly rates pursuant to the attached Cost Sheet (RFQ Attachment I) for services provided during the preceding month. Invoices must be submitted by the 10th of every month to the Contract Manager. All invoices shall be submitted in detail sufficient for proper pre-audit and post-audit thereof and contain a signature by the Contractor or their designee, certifying the number of hours invoiced is a true accounting. The Commission's invoice procedures are in accordance with Rules 3.5 and 3.5.1, Joint Policies and Procedures of the Presiding Officers (2018).

Any change to the Call Center Staffing Services provided by the Contractor under this Contract will not be effective unless executed by the parties, in a duly authorized, written Amendment to this Contract, in conformance with Section 20 of this Contract.

**6. Termination for Convenience**

Contractor acknowledges that the Commission's need for the Call Center Staffing Services may change depending upon circumstances outside of the Commission's control. As such, the parties agree that the Commission may terminate the Contract, in whole or in part, for any reason at any time prior to the end of the Contract Term upon providing written notice to the Contractor. The Commission shall reimburse the Contractor for costs actually incurred for authorized services satisfactorily performed under this Contract prior to the notice of termination.

**7. Availability of Funds**

The performance of the Contract shall be subject to and contingent upon the availability of funds lawfully appropriated by the Legislature to the Commission and applicable for the purpose of the services specified.

**8. Termination for Cause and Remedies of the Commission**

Any one or more of the following events shall constitute an Event of Default on the part of the Contractor.

- a. Contractor fails to provide the Services as required under the Contract;
- b. Contractor discontinues the performance of the work required under the Contract;
- c. Contractor fails to promptly pay any and all taxes or assessments imposed by and legally due to any state or federal government;
- d. Contractor made or has made a material misrepresentation or omission in any materials provided to the Commission;
- e. Contractor commits any material breach of the Contract; or
- f. Contractor refuses to allow public access to all documents, papers, letters, or other material subject to the provisions of Chapters 11 and 119, Florida Statutes, made or received by the Contractor in conjunction with the Contract and not otherwise deemed confidential, exempt, proprietary, or a trade secret.

Upon the occurrence of an "Event of Default" on the part of the Contractor, the Commission is entitled to one or all of the following remedies:

- a. Equitable Relief;
- b. Monetary Damages (including any re-procurement costs);
- c. Termination of the Contract.

**9. Choice of Law and Venue**

The exclusive venue of any legal or equitable action that arises out of or relates to the Contract shall be the appropriate state court in Leon County, Florida; in any such action, Florida law shall apply and the parties waive any right to a jury trial.

#### **10. Subcontractors or Third-Party Contractors**

The Contractor shall not use subcontractors or third-party contractors other than those identified in the Contractor's Cost Sheet (RFQ Attachment I) and meeting the minimum requirements of the Professional Staff Positions (RFQ Attachment H) and SOW, Exhibit C, without the prior written consent of the Commission's Contract Manager.

#### **11. Relationship of the Parties**

The Contractor is an independent contractor and not an agent or employee of the Commission. Neither the Contractor nor the Contractor's Professional Staff are, or shall be deemed, the Commission's employees. The relationship between the Contractor and the Commission shall not constitute a partnership, joint venture, or agency. Neither the Contractor nor the Commission shall have the authority to make any statements, representations or commitments of any kind, or to take any action, which shall be binding on the other party, without the prior consent of the other party.

The Contractor and the Commission each hereby retains the right to exercise full control of and supervision over its own performance of its obligations under this Contract and retains full control over the employment, direction, compensation and discharge of its own employees assisting in the performance of such obligations. The Contractor shall be solely responsible for all matters relating to payment of its own employees and the Professional Staff, including the withholding or payment of all applicable federal, state and local income taxes, social security taxes and other payroll taxes with respect to its employees, as well as any taxes, contributions or other obligations imposed by applicable state unemployment or workers' compensation acts and all other regulations governing such matters. Notwithstanding the provisions of Section 3.h. of this Contract, the Contractor and the Commission each have the sole authority and responsibility to hire, fire and otherwise control their own employees.

#### **12. Indemnification**

The parties agree that the Contractor will be fully liable for the actions of its agents, employees, partners, or subcontractors, including the Contractor's Professional Staff. The Contractor agrees that it shall fully indemnify, defend, and hold harmless the Commission and its officers, agents, and employees from suits, actions, damages and costs of every name and description, including attorney's fees, arising from or relating to personal injury, damage to real or personal tangible property, or any other tortious conduct or act of negligence alleged to be caused in whole or in part by the Contractor, its agents, employees, partners, or subcontractors, including the Contractor's Professional Staff, to the fullest extent allowed by Florida law.

#### **13. Representations**

The Contractor understands that any misstatements or lack of candor by the Contractor about the qualifications or availability of it or its personnel constitutes a breach of the resulting Contract and may be grounds for immediate termination of the Contractor's services by the Commission. The Contractor represents further that it is freely entering into this Contract of its own volition, has had sufficient opportunity to seek and consult with counsel, and is not under duress from the Commission or any other person.

**14. Waivers**

The Commission shall not be deemed to have waived any of its rights or remedies hereunder unless such waiver is in writing and signed by the Commission. No delay or omission on the part of the Commission in exercising any rights or remedies shall operate as a waiver of such right or remedy or any other rights or remedies. A waiver on any one occasion shall not be construed as a bar or waiver of any right or remedy on future occasions.

**15. Prohibition Against Assignment**

This Contract may not be assigned by the Contractor, in whole or in part, except by prior written authorization by the Commission's Contract Manager.

**16. Notices**

All legal or other notices and other communications required or permitted to be given under this Contract other than routine operational communications must be in writing and must be hand delivered, or mailed via U.S. mail or express overnight courier with a reliable system for tracking delivery, or confirmed facsimile or electronic mail with a copy sent by another means specified herein, addressed to the respective parties as follows:

To Commission:

The Florida Commission on Ethics  
Kerrie J. Stillman, Executive Director  
325 John Knox Rd Building E, Suite 200  
Tallahassee, FL 32303  
stillman.kerrie@leg.state.fl.us

and

The Florida Legislature, Office of Legislative Services  
Kyle Gray, General Counsel  
111 West Madison Street, Suite 874  
Tallahassee, FL 32399-1400  
gray.kyle@leg.state.fl.us

To Contractor: \_\_\_\_\_

\_\_\_\_\_

Email: \_\_\_\_\_

The effective date of any notice under this Contract shall be the date of delivery or refusal of such notice, and not the date of mailing.

**17. Contract Manager**

The Contract Manager on behalf of the Commission is Kerrie Stillman, Executive Director, 325 John Knox Rd Building E, Suite 200, Tallahassee, FL 32303. The Contract Manager on behalf of the Contractor is \_\_\_\_\_. All written and verbal approvals referenced in the Contract must be obtained from the parties' Contract Managers or their designees, and all notices must be given to the parties' Contract Managers.

**18. Public Records**

Unless specially exempted by law, all records made or received by the Contractor in conjunction with this Contract may be public records available for inspection by the public in accordance with the provisions of Article I, Section 24, The Constitution of the State of Florida, and Section 11.0431, Florida Statutes. If the Contractor receives a request for public records, the Contractor shall immediately notify the Commission's Contract Manager of the request and shall coordinate the production of records to the requestor with the Commission's Contract Manager. However, in order to ensure that records subject to any exemption are not disclosed, the Contractor shall not allow any inspection of or otherwise disclose any information found in said documents or records unless and until so directed by the Commission's Contract Manager. Refusal of the Contractor to allow public access to such records after approved by the Commission's Contract Manager shall constitute grounds for termination of this Contract.

**19. Confidentiality and Safeguarding Information**

The Contractor or the Contractor's employees and/or Professional Staff may obtain access to confidential or exempt information pursuant to the services provided under this Contract. The provisions of Section 11.0431, F.S., Chapter 119, F.S., and other applicable state and federal laws will govern disclosure of any confidential or exempt information.

The Contractor must implement procedures to ensure the protection and confidentiality of all data, files, and records involved with this Contract. Except as necessary to fulfill the terms of this Contract and with the permission of the Commission, the Contractor and the Contractor's employees and/or Professional Staff shall not divulge to third parties any confidential or exempt information obtained by the Contractor or its agents, distributors, resellers, subcontractors, officers, employees, or Professional Staff in the course of performing services pursuant to this Contract, including, but not limited to, security procedures, business operations information, commercial/proprietary information, or information considered confidential and/or exempt under the provisions of Section 11.0431, F.S. or Chapter 119, F.S. in the possession of the Commission or the Legislature.

The Contractor and the Contractor's employees and/or Professional Staff agree not to use



or disclose any information concerning a recipient of services under this Contract for any purpose not in conformity with state and federal law or regulations except upon written consent of the Commission, if applicable.

The Contractor agrees to abide by all applicable Commission security procedures and policies. The Contractor (including its Professional Staff, employees, subcontractors, agents, representatives, or any other individuals to whom Contractor exposes confidential information obtained under this Contract), shall not store, or allow to be stored, any confidential information on any portable storage media (*e.g.*, laptops, thumb drives, hard drives, *etc.*) or peripheral device with the capacity to hold information, except upon written consent of the Commission. Failure to strictly comply with this provision shall constitute a breach of contract.

The Contractor shall notify the Commission in writing of any disclosure of unsecured confidential information obtained by the Contractor, its Professional Staff, employees, subcontractors, agents, or representatives which is not in compliance with the terms of the Contract (of which it becomes aware). The Contractor also shall report to the Commission any Security Incidents of which it becomes aware, including those incidents reported to the Contractor by its Professional Staff, employees, subcontractors, agents, representatives, or any other individuals to whom Contractor exposes confidential information obtained under this Contract. For purposes of this Contract, "Security Incident" means the attempted or successful unauthorized access, use, disclosure, modification, or destruction of Commission information in the Contractor's possession or electronic interference with Commission operations; however, random attempts at access shall not be considered a Security Incident. The Contractor shall make a report to the Commission not more than twenty-four (24) hours after the Contractor learns of such use or disclosure. The Contractor's report shall identify, to the extent known: (i) the nature of the unauthorized use or disclosure, (ii) the confidential information used or disclosed, (iii) who made the unauthorized use or received the unauthorized disclosure, (iv) what the Contractor has done or shall do to mitigate any deleterious effect of the unauthorized use or disclosure, and (v) what corrective action the Contractor has taken or shall take to prevent future similar unauthorized use or disclosure.

In the event of a breach of security concerning confidential personal information involved with this Contract, the Contractor shall comply with section 501.171, F.S. When notification to affected persons is required under this section of the statute, the Contractor shall provide that notification, but only after receipt of the Commission's approval of the contents of the notice. Defined statutorily, and for purposes of this Contract, "breach of security" or "breach" means the unauthorized access of data in electronic form containing personal information. Good faith access of personal information by an employee or agent of the Contractor does not constitute a breach of security, provided that the information is not used for a purpose unrelated to Contractor's obligations under this Contract or is not subject to further unauthorized use.

## 20. Amendments

No oral modifications to this Contract are permitted. All modifications to this Contract must be in writing and signed by both parties.

Notwithstanding the order listed in Section 2 of this Contract, amendments executed after the Contract is executed may expressly change the provisions of the Contract. If they do so expressly, then the most recent amendment will take precedence over anything else that is part of the Contract.

This Contract is executed upon signature of authorized officers as of the dates signed below:

### The Florida Commission on Ethics:

\_\_\_\_\_  
By: \_\_\_\_\_  
(Print Name)

Title: \_\_\_\_\_  
(Print title)

Date: \_\_\_\_\_

### Contractor:

\_\_\_\_\_  
By: \_\_\_\_\_  
(Print Name)

Title: \_\_\_\_\_  
(Print title)

Date: \_\_\_\_\_

## ATTACHMENT B

### Scope of Work

The Call Center Staffing Services (Call Center) will answer calls to aid individual filers (Filers) regarding the Commission's new web-based system, the Electronic Financial Disclosure Management System (EFDMS), with the online filing process. EFDMS provides the Commission with the ability to support the management of financial disclosure filings of constitutional officers, state officers and other persons designated by law to timely file their required financial disclosure forms.

#### 1.1 Professional Staff Services (Services)

The Commission anticipates needing the following full-time Professional Staff resources in order to provide the Call Center for EFDMS. The Commission is seeking, as a minimum requirement, those Vendors that can provide resources as described below:

A **Project Manager** for coordination and stability of the project and **Customer Service Hotline Representatives** to handle Filer Inquiries, including, but not limited to: basic filing inquiries; EFDMS login inquiries; inquiries related to filing status changes; EFDMS system navigation inquiries; EFDMS document uploading inquiries; and other Filer and EFDMS system issues that arise.

Position	To start no later than	Duration – no later than
Project Manager	4/8/2024	7/31/2024
Customer Service Hotline Representative (10 staff)	4/8/2024	7/31/2024

The Professional Staff will work eight (8) hour days, five (5) days a week, during traditional business hours, Monday-Friday (8:00am to 5:00pm EST), excluding holidays, until dismissal by the Commission or a modified work schedule is approved. The Commission will only be invoiced for the actual hours worked by the Professional Staff. All Services will be performed by the Professional Staff under the direct supervision of the Vendor's Project Manager.

The Commission's Contract Manager or their designee will provide direction and guidance to the Vendor, via communications with either the Vendor's Contract Manager or Project Manager, regarding the objectives the Commission seeks to accomplish under the Contract in accordance with the Contract and this Scope of Work (SOW). However, the Commission's Contract Manager is not responsible for supervising the Professional Staff. Instead, the Vendor will be fully and solely responsible to the Commission throughout the entire engagement for the coordination, oversight, control, actions, work product, quality control, inactions, errors, and failures of its Professional Staff.

In the event that one of the Professional Staff is no longer available due to events beyond the control of the Vendor, the Vendor agrees that it will obtain prior written consent from the Commission's Contract Manager for any Professional Staff changes assigned to the resulting Contract. The Vendor must provide the Commission's Contract Manager with its request for a staff change, a reason for substitution, along with a copy of the staff resume describing roles and experience of each new Professional Staff to be assigned to this Contract. The Commission's Contract Manager agrees that substitution or addition of staff shall not be unreasonably denied. All additional and replacement staff will work under the same guidelines.

The Vendor shall conduct a Level 2 background check on the Vendor's Professional Staff before the commencement of Services. The Commission reserves the right to reject a candidate or revoke an Award, in its sole discretion, for an unacceptable background check. Background checks are conducted in order to ensure the safety and security of the Commission's employees, the Filers, and the sensitive data to which Professional Staff may gain access in their scope of duties. Vendor and Professional Staff must not disclose any confidential or exempt information under Section 11.0431, F.S. or Chapter 119, F.S., that they view or have access to, in conjunction with their duties under the Contract, consistent with the provisions of Section 19 of the Contract.

The Professional Staff will be expected to assist the Commission by performing the following tasks including, but not limited to:

- Answering inbound calls
- Addressing problems and complaints of Filers
- Providing proper solutions
- Responding to the needs of Filers
- Providing information on the new electronic filing process
- Helping Filers complete and file the appropriate forms online
- Routing complex calls to appropriate Commission staff
- Documenting each Filer contact in EFDMS
- Documenting technical issues, escalation of questions, or technology issues in the issue tracking system

## **1.2 Deliverables**

Deliverables of the Project Manager include, but are not limited to:

- Primary contact with the Commission
- Overall coordination of Professional Staff assigned to the project
- Providing reports on call volume and questions to the Commission
- Training new Professional Staff
- Resolving problems
- Coordinating Professional Staff replacement

Deliverables of the Professional Staff include, but are not limited to:

- Reasonable call handling times
  - Time frames will be established by the Commission and may change throughout the filing season
- Resolution of Filers' inquiries with the first call request
- Documentation of Filer contacts in EFDMS
- Customer satisfaction
- Routing complex calls quickly in order to achieve an efficient resolution

### **1.3 Start Date**

The Project Manager and the Customer Service Hotline Representatives must be able to begin providing Services no later than April 8, 2024 and will continue until dismissed by the Commission or through July 31, 2024. However, the Commission may negotiate for a start date earlier than April 8, 2024 if required.

If requested, the Vendors will assist the Commission by providing additional Professional Staff as needs are identified throughout the Term of the Contract.

The Commission may request, at any time and in its sole discretion, that the Vendors remove the Professional Staff from performing the Services. The Commission may request that the Vendors submit other Professional Staff that meet the minimum requirements of the Professional Staff Positions (RFQ Attachment H) and the Scope of Work in order to continue providing the Services.

*The Florida Commission of Ethics:*

*Vendor:*

\_\_\_\_\_

Alight Solutions

Date: \_\_\_\_\_

Date: 12/19/2023

**ATTACHMENT C**  
**Policies 3.5 and 3.5.1, Joint Policies and Procedures**

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OFFICE OF LEGISLATIVE SERVICES  
FINANCE AND ACCOUNTING OFFICE

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**3.5 INVOICE PROCESSING PROCEDURE**

The Finance & Accounting Office will perform the following actions on each invoice:

- (1) Audit each invoice, including any duplicate invoices, for compliance with the contractual agreement or purchase order and mathematical accuracy, and determine if the payment is properly authorized or not previously paid;
- (2) Record information into the State's accounting system; and
- (3) Maintain voucher files with supporting documentation, files of unpaid purchase orders, and other files as necessary to maintain adequate accounting control and documentation.

**3.5.1 INVOICE PROCESSING TIME LIMITS**

- (1) A voucher authorizing payment of an invoice submitted to a unit of the Legislature will be filed with the Department of Financial Services (DFS) no later than 20 days after receipt of the invoice and receipt, inspection, and approval of the goods or services, except that, in the case of a bona fide dispute, the voucher will contain a statement of the dispute and authorize payment only in the amount not disputed. Approval and inspection of goods or services will take no longer than five working days unless the bid specifications, purchase order, or contract specifies otherwise. If a voucher filed within the 20-day period is returned by DFS because of an error, it will nevertheless be deemed timely filed. For the purposes of determining the receipt of invoice date, the Legislature is deemed to receive an invoice on the date on which a proper invoice is first received in the Finance & Accounting Office. The Legislature is deemed to receive an invoice on the date the invoice was postmarked if the Finance & Accounting Office failed to annotate the invoice with the date of receipt at the time it actually received the invoice.
- (2) The Finance & Accounting Office will keep a record of the date of receipt of the invoice; dates of receipt, inspection, and approval of the goods or services; date of the voucher; and date of issuance of the warrant in payment thereof.
- (3) The Legislature may make partial payments to a contractor upon partial delivery of goods or services or upon partial completion of construction when a request for such partial payment is made by the contractor and approved by the legislative unit. Provisions of this section will apply to partial payments in the same manner as they apply to full payments.
- (4) Travel and other reimbursements to state officers and employees will be the same as payments to vendors pursuant to this section.

**ATTACHMENT D**  
**Resumes of Proposed Project Manager**

Resumes shall provide a description of the Project Manager's experience within the last seven (7) years for performing similar project management services for a call center.

The Vendor may submit and is encouraged to submit more than one (1) resume of proposed Project Manager with its Quote.

(Resume for each Project Manager Position)

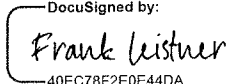
Please see provided, "Alight Solutions - CC Implementation Manager Bio.pdf"

The remainder of this page is intentionally left blank.

**ATTACHMENT E**  
**Non-Collusion Statement**

I certify that this Quote is made without prior understanding, agreement, or connection with any corporation, firm or person submitting a Quote for the same services, and is in all respects fair and without collusion or fraud. I agree to abide by all conditions of this Quote and certify that I am authorized to sign this document for the organization and that the organization is in compliance with all requirements of this Request for Quote including, but not limited to, certification requirements. In submitting this Quote, the organization offers and agrees that, upon acceptance, the organization is deemed to have sold, assigned, and transferred to the State of Florida all rights, title and interest in and to all causes of action it may now or hereafter acquire under the antitrust laws of the United States and the State of Florida relating to the particular commodities or services which may be purchased or acquired by the State of Florida or political subdivision thereof.

Vendor: Alight Solutions

Signature:  40EC78F2E0E44DA...  
(Authorized Officer)

Name: Frank Leistner  
(Printed or typed name/title)

RFQ No. #598: Call Center Staffing Services



**ATTACHMENT F**  
**Disclosure Information**

Upon reasonable inquiry, the organization discloses on the lines below:

That the following identified owner, officer, director, employee, agent or lobbyist who is/was a current or former member, officer or employee of the Florida Legislature or the Commission, and was, is, or will be significantly involved in preparing or approving this contract, representing the interests of the organization regarding this contract, or doing the work covered under this contract.

That the following identified current or former member or employee of the Florida Legislature or the Commission, owns, directly or indirectly, an interest of five percent (5%) or more of the total assets or capital stock in the company.

Name: N/A Title: \_\_\_\_\_

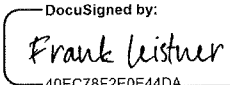
Name: N/A Title: \_\_\_\_\_

Name: N/A Title: \_\_\_\_\_

If none, check here X

RFQ No. #598: Call Center Staffing Services

Name of Vendor: Alight Solutions

By: 40EC78F2E0E44DA  
(Signature)

By: Frank Leistner  
((Printed or typed name/title))

Telephone: 904-234-3908 Date: 12/19/2023

**ATTACHMENT G**  
**Reference Form**

Please use the format below for submitting references.

**Reference Client 1:** The State Board of Administration of Florida

Contact Person and Title: Mini Watson, Director of Administration

Mailing Address: 1801 Hermitage Blvd, Suite 100, Tallahassee, FL 32308

Phone Number: 850-413-1496

Email Address: mini.watson@sbafla.com

Type of Services: Defined Contribution Plan Administration, Call Center

Term of Services: 10+ Years

Client Reference Type: ☒ Public Sector ☐ Private Client

**Reference Client 2:** Upon Finalist Selection

Contact Person and Title: \_\_\_\_\_

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

Phone Number: \_\_\_\_\_

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

Type of Services: \_\_\_\_\_

Term of Services: \_\_\_\_\_

Client Reference Type: ☐ Public Sector ☐ Private Client

**Reference Client 3:** Upon Finalist Selection

Contact Person and Title: \_\_\_\_\_

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

Phone Number: \_\_\_\_\_

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

Type of Services: \_\_\_\_\_

Term of Services: \_\_\_\_\_

Client Reference Type: ☐ Public Sector ☐ Private Client

Vendor Name: Alight Solutions

RFQ #598

## **ATTACHMENT H**

### **Professional Staff Positions**

#### **Program Management**

#### **Project Manager**

The Project Manager is responsible for overall coordination of Professional Staff, responding to inquiries from the Commission and resolving any staffing deficiencies. Establishes and assists with implementation of staffing services to ensure project success, adhering to high quality services, standards, and meeting the Commission's expectations. Directs and monitors Professional Staff work efforts, evaluates situations, and determines appropriate action for problems or complaints. Tracks issues, identifies resources needed, and escalates issues to the Commission when necessary for timely resolution. Must possess extensive knowledge and expertise in project management practices and must demonstrate strong customer-focused skills.

Good communication and collaboration skills are a must as this individual will work closely with Commission staff.

This Project Manager professional will be expected to perform the following tasks and deliver services and products as outlined:

- Responsible for the management of Professional Staff assigned to the project;
- Monitor project progress;
- Solve issues that arise;
- Ensure staff are performing to the Commission's satisfaction.
- Mastery of the EFDMS tasks to be performed by Professional Staff

#### **Education, Experience, Knowledge, and Abilities:**

#### **Required:**

Associate's or Bachelor's Degree or technical institute degree/certificate or equivalent work experience.

A minimum of four or more years of managing projects and related work experience.

Pass a Level 2 background check.

## **ATTACHMENT H**

### **Professional Staff Positions**

#### **Customer Service Hotline Representative**

As a member of the Customer Service Team, the Customer Service Hotline Representative is responsible for responding to inquiries and providing information to individual filers calling the Commission. Responsible for providing support services to individual filers of the online site with technical assistance and guidance relative to problems involving user login, browser, and other system-related inquiries from individual filers calling the Commission. Records all customer contact information into a call log. Evaluates situations, determines appropriate response and escalates, if necessary, to the designated specialist or resource for resolution of the individual filer's problem or complaint. Tracks issues escalated for resolution to ensure individual filers receive a timely response. Must have knowledge demonstrating strong customer-focused skills.

Good communication and collaboration skills are a must as this individual will work closely with Commission staff and will interact directly with individual filers.

This Customer Service Hotline Representative professional will be expected to perform the following tasks and deliver services and products as outlined:

- Provide customer hotline services of low to medium complexity;
- Answers questions such as:
  - Why am I required to file this form?
  - How do I log in?
  - How can I be removed from the list of persons required to file?
  - System navigation
  - Answering certain questions related to completing Form 1
  - Questions about how to upload .pdf documents to EFDMS
  - Specific questions about completing the CE Form 1 Statement of Financial Interests
  - Questions/answers for issues addressed in the instructions and FAQ
- Function somewhat independently;
- Work under the general direction of more senior customer service representatives, supervisors or managers;
- Generally follow documented procedures and checklists.

#### **Education, Experience, Knowledge, and Abilities: Required:**

Associate's or Bachelor's Degree or technical institute degree/certificate in or equivalent work experience.

A minimum of three or more years of related work experience.

Pass a Level 2 background check.

**ATTACHMENT I**  
**Cost Sheet**  
**Call Center Staffing Services RFQ #598**

This Cost Sheet shall specify an hourly rate for each Professional Staff candidate identified in this RFQ. Vendors may propose more than one candidate for *every* requested position.

<b>Professional Staff Position</b>	<b>Proposed Candidate(s) Name</b>	<b>Candidate's Hourly Rate</b>
Project Manager ( <i>will award one</i> )	To Be Determined	
Customer Service Hotline Representative ( <i>will award 10</i> )	To Be Determined	

*(If additional space is needed, attach a continuation page to the Cost Sheet.)*

Vendor must specify and itemize any implementation fee or additional fees that will apply, if any \$

<b>Fee Description</b>	<b>Purpose</b>	<b>Amount</b>
Hiring activities, representatives' desktops, and basic IVR configuration to route calls	Implementation Fee	

*(If additional space is needed, attach a continuation page to the Cost Sheet.)*

Vendor: Alight Solutions

# Customer Care Implementation Domain Manager

## Responsibilities and Experience

Alight's Customer Care Domain Manager is part of our Global PMO Implementation team at Alight Solutions. Within this role, Customer Care Domain Managers are accountable for all customer care aspects of medium to large scale change control project work. Project scope may include new client implementations, new service implementation for existing clients, conversions, upgrades, re-implementations, hotlines or spin-offs as well as identified complex change control projects.

Our Customer Care Domain Managers have several years' worth of Customer Care experience. Past roles may include Customer Care Domain Consultant focusing on product, tools and training, Customer Care Unit Manager, Customer Care Team Manager, and Customer Care Client Manager. Alight's Domain Managers client experiences span both ongoing service delivery and implementation on all Alight platforms.

Domain Managers work with clients to ensure successful implementations by using project management methodologies and serving as the control account manager for all of the Customer Care work packages which include customer care requirements, project management, service center staffing, telephony set-up, customer care training, desktop set-up, online tool support, and transitioning the implementation to the ongoing team and client.

**ATTACHMENT I**  
**Cost Sheet**  
**Call Center Staffing Services RFQ #598**

This Cost Sheet shall specify an hourly rate for each Professional Staff candidate identified in this RFQ. Vendors may propose more than one candidate for *every* requested position.

Professional Staff Position	Proposed Candidate(s) Name	Candidate's Hourly Rate
Project Manager ( <i>will award one</i> )	To Be Determined	
Customer Service Hotline Representative ( <i>will award 10</i> )	To Be Determined	

*(If additional space is needed, attach a continuation page to the Cost Sheet.)*

Vendor must specify and itemize any implementation fee or additional fees that will apply, if any \$

Fee Description	Purpose	Amount
Hiring activities, representatives' desktops, and basic IVR configuration to route calls	Implementation Fee	

*(If additional space is needed, attach a continuation page to the Cost Sheet.)*

Vendor: Alight Solutions