

Capital Conflict of Interest Procedure

General Information

Any identified potential conflicts of interest in Section 2 on the [Financial Disclosures and Potential Conflicts of Interest form](#)(s) must be reviewed and resolved through appropriate University and State personnel. Below are general guidelines to follow for processing forms:

1. Identified potential conflicts of interest need to be vetted through the University process for both Prime and Sub Vendors.
2. If a Prime Vendor and/or Sub Vendor identifies a potential conflict(s) of interest, it must be forwarded to the University Office of Capital Programs and Real Estate Services (UOCPRES) with the required documentation.
 - a. Any Professional Services Consultants that will be interviewed and have submitted a disclosure form that identifies a potential conflict(s) of interest (COI) may be sent to UOCPRES for a preliminary internal review prior to interview.
3. Potential conflicts must be vetted through the COI review process including University and State review prior to the award being submitted for review and posting to the IPHEC Bulletin.
 - a. Vendors will not receive a “blanket waiver” for future contracts with the University. The form and any identified potential conflicts of interest must follow the process for each submittal/proposal/contract.
4. The Award posting sent electronically to UOCPRES must include:
 - a. The standard award information.
 - b. [Financial Disclosures and Potential Conflicts of Interest form](#)(s).
 - c. [Certifications and Statutory Requirements form](#).
 - d. A determination letter from the PPB indicating that the identified potential Conflict of Interest has been reviewed and does not impact the University contracting with the Vendor.
5. The fully executed contract that is filed at the Board of Trustees office must have attached:
 - a. [Financial Disclosures and Potential Conflicts of Interest form](#)(s) received with the PPB waiver.
 - b. [Certifications and Statutory Requirements form](#) received with the PPB waiver.
 - c. A determination letter from the PPB indicating that the identified potential conflict of interest has been reviewed and does not impact the University contracting with the Vendor.

PLEASE NOTE: The contract in the Upside Contract System no longer requires the Financial Disclosures and Certifications forms as attachments.

6. The project procurement file must have:
 - a. [Financial Disclosures and Potential Conflicts of Interest form\(s\)](#).
 - b. [Certifications and Statutory Requirements form](#).
 - c. All documentation sent and received from the Vendor, University COI contact, State Purchasing Officer (SPO)/Chief Procurement Officer (CPO), and Procurement Policy Board (PPB) related to an identified potential conflict of interest.
 - d. A determination letter from the PPB indicating that the identified potential Conflict of Interest has been reviewed and does not impact the University contracting with the Vendor.

Review Process

1. CCU reviews the submitted Financial Disclosure and Potential Conflicts of Interest form and the Certification and Statutory Requirements form provided by the Vendor at the time of bid or proposal submittal. (If procurement is not done via QBS or bid, then with contract.)
 - a. Refer to the checklists available to assist in reviewing the forms and identifying items that require vetting.
 - i. [Financial Disclosure Checklist](#)
 - ii. [Certifications Checklist](#)
2. If a Potential COI is identified in Section 2, CCU does the following:
 - a. Download the PPB [Conflict of Interest Review Request form](#) and complete all sections.
 - b. Electronically forward the completed form to UOCPRES for signature along with the following documentation:
 - i. Copy of the advertisement.
 - ii. Copy of the Financial Disclosure form indicating the potential COI.
 - iii. Copy of a boilerplate contract or agreement that will be used to create the project specific contract. Sample standard contracts/agreements may be found at the links below:
 1. [Contractor Contracts](#)
 2. [Professional Services Agreements](#)
 - iv. Prequalification information – CDB Prequalification letter for Design Professionals (from proposal) or signed CAPS Prequalification for Contractors.

- v. Prior PPB Conflict of Interest Review letter for this Vendor.
3. The COI designee will:
 - a. Review the documentation for completeness and ask any questions for clarity.
 - b. Sign the Conflict of Interest Request for Review as the Agency/University Representative.
 - c. Forward all documentation to the SPO/CPO.
 4. The SPO/CPO will:
 - a. Review the documentation and ask any questions for clarity.
 - b. Provide signature on the Conflict of Interest Request for Review.
 - c. Forward all documentation to the PPB.
 5. The PPB will:
 - a. Review the documentation and ask any questions for clarity.
 - b. Provide a determination letter to all the parties involved.

Contact Information

All potential conflict of interest relating to capital procurement for the University are to be reviewed by Joseph Vitosky, Assistant Vice President for Capital Programs and Real Estate Services, joev@uillinois.edu.