

ATTACHMENT B

Firm Responsibility Information

Each responding firm must provide in its submittal a fully completed Attachment B - Firm Responsibility Information. This Attachment B includes several forms, as follows:

- (1) Corporate Profile
- (2) Financial & Resource Capacity
 - (a) Time Availability for Key Personnel
- (3) Insurance Coverage
- (4) Legal Proceedings
- (5) Statement of Past Performance
- (6) Conflicts of Interest Questionnaire & Disclosure Statement
- (7) Certification Regarding Debarment and Suspension

Each form in this Attachment B must be completed in its entirety. Please type the information into the forms using Adobe Reader or other compatible Adobe product. The forms in this Attachment B contain rules, which means that many of the boxes / spaces will auto fill depending on your answers to the questions. If you have any issues with the forms please contact the Council's staff person designated in Section IX, Part A of the solicitation documents.

A responding firm is NOT permitted to substitute its own format or information for the forms included in this Attachment B.

If you need additional space to provide the information requested in this Attachment B, please use the form titled "Additional Information."

An authorized representative of the responding firm **must sign and date** the certification provided below. **A typed signature is not acceptable.**

The Council does not expect responding firms to provide any confidential or proprietary information on any form contained in this Attachment B; however, the Council does expect a responding firm to provide sufficient information that the Council can use to make a responsibility determination. Incomplete or inaccurate information is not acceptable.

A submittal that does include the information necessary for the Council to make its determination regarding a firm's responsibility may result in the Council determining that the responding firm is not responsible and is, therefore, ineligible to be awarded a contract for the project.

Responding firms should be aware that the Council may deem a firm's submittal non-responsive and reject the submittal for:

- (1) Failure to sign this Attachment B,**
- (2) Failure to provide all of the information requested in this Attachment B, or**
- (3) Failure to provide sufficient information for the Council to make a responsibility determination.**

The Council reserves the right to waive minor errors, omissions, or technicalities in this Attachment B as determined to be in the best interest of the Council.

CERTIFICATION

By signing below, I certify that I am authorized to sign this Attachment B on behalf of my firm and that the information contained in each of the forms contained in this Attachment B (as noted in #1 - 7 above) is accurate and complete to the best of my knowledge.

Responding Firm _____

Name & Title of Authorized Official _____

Signature of Authorized Official _____

Date _____

ATTACHMENT B Firm Responsibility Information

#1 - Corporate Profile

Each submittal must include a Corporate Profile Form for the prime contractor. ***Firms that intend to use subcontractors or work in some form of joint venture partnership must provide this form for each subcontractor or joint venture partner.***

☐ This form is for the Prime Contractor. ☐ This form is for a Subcontractor. ☐ This form is for a Joint Venture Partner.

Firm Name _____ Phone Number _____

Business Address

Street & City _____ State _____ Zip Code _____

Year Established _____ In which State was your firm organized or incorporated? _____

Type of Ownership _____ DUNS # _____ ☐ No DUNS #

Is your firm registered to do business in Missouri? ☐ Yes ☐ No Is your firm registered to do business in Illinois? ☐ Yes ☐ No ☐ N/A

Firms must be properly registered to do business prior to beginning work for the project. If the IL business registration "N/A" box is checked, then only a MO business registration is required for the project.

In the space provided below, please describe your firm's core business.

What is the estimated percentage of total revenues that your firm generates from the type of services described in the solicitation documents? _____

Does your firm have a former name / year established? ☐ Yes ☐ No Does your firm have a parent company or a subsidiary? ☐ Yes ☐ No

If your firm has a former name, year established, a parent company, or a subsidiary, in the space provided below, please describe your firm's former name, year established, parent company name and location, or subsidiary name and location, as applicable.

In the space provided below, please provide a summary description of your firm's experience complying with generally accepted accounting principles (if applicable) and applicable state and federal accounting practices (i.e. documenting costs, segregating costs, etc.).

In the space provided below, please provide a summary description of your firm's contract management and accounting procedures.

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#2 - Financial & Resource Capacity

A responding firm is **not** required to include this form in its submittal for the firm's subcontractors or joint venture partners; however, the Council reserves the right to request this information for the firm's subcontractors or joint venture partners.

Responding Firm

In the space provided below, please provide a summary description of your firm's current financial strength (i.e. total revenues, access to lines of credit, etc.) and a description of what information your firm can provide to substantiate its current financial situation (i.e. audit reports / statements, financial statements, etc.). Please attach any relevant, non-confidential supporting documentation or provide a URL where the Council can review this information.

In the space provided below, please provide a summary description of the available resources that your firm can use to complete the project, including your firm's ability to obtain additional resources if needed. Resources include, but are not limited to: staff / personnel, office equipment / space, access to subcontracted resources, and any special materials, programs, etc. that may be required to complete the project.

Within the previous 3 years, has your firm been involved in any bankruptcy or reorganization? ☐ Yes ☐ No

In light of your firm's current and anticipated work commitments and the time frame estimated for the project (see Section II of the solicitation documents), does your firm have the capacity to successfully complete the project within the estimated performance period? ☐ Yes ☐ No

Please complete the Time Availability for Key Personnel form that is provided on the next page.

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#2 - Financial & Resource Capacity - (a) Time Availability for Key Personnel

For each key person that will be assigned to the project, please provide the information requested below. The information regarding current or anticipated projects should reflect only those projects that will be or likely will be occurring during the estimated performance period of the project (**see Section II of the solicitation documents**). The key personnel listed below should be the same persons identified in Section III, Part B, Sub-Part 1, #3 of the solicitation documents.

Responding Firm _____

Name & Title	Project Role	Firm	List of Current or Anticipated Projects	% of Time Committed to Other Projects	Hrs. Committed to the Council's Project

Attach as many of these forms as needed to capture all of your firm's key personnel.

ATTACHMENT B Firm Responsibility Information

#3 - Insurance Coverage

A responding firm, and each subcontractor hired to work on the project, will be required to meet certain minimum insurance coverage requirements if the firm is awarded a contract for the project. The Council's standard insurance coverage requirements are described in Appendix 2 - Draft Contract Terms & Conditions, Paragraph 5. **Please select one of the options listed below.**

Responding Firm _____

- ☐ #1 - My firm's current insurance coverage meets the Council's standard insurance coverage requirements.
- ☐ #2 - My firm's current insurance coverage does not meet the Council's standard insurance coverage requirements, but my firm is able to obtain the coverage necessary to meet the Council's requirements.
- ☐ #3 - My firm's current insurance coverage does not meet the Council's standard insurance coverage requirements and my firm will not be able to obtain the coverage necessary to meet the Council's requirements. My firm's current insurance coverage is described below.

Please indicate which types of insurance coverage your firm currently carries and indicate the amount of coverage your firm carries. If professional liability insurance is not required for the project (see Appendix 2, Paragraph 5), check the "N/A" box.

- ☐ Commercial General Liability Insurance Coverage **Aggregate** **Per Occurrence**
- ☐ Commercial Automobile Liability Insurance Coverage **Per Accident**
- ☐ Professional Liability Insurance Coverage ☐ N/A **Aggregate** **Per Claim**

The final insurance coverage requirements will be determined by the Council, in consultation with the firm selected for the contract award. The Council reserves the right to require higher or lower insurance coverage requirements where warranted. The final insurance coverage requirements will be included in any contract entered into between the Consultant and the Council.

Once the contract is awarded, the Consultant may be required to submit proof that it has the agreed upon type and amount of insurance (see Appendix 2, Paragraph 5).

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#4 - Legal Proceedings

The following questions ask a responding firm to indicate whether or not it has had any legal proceedings or does have any on-going or pending legal proceedings (i.e. arbitration, complaint, administrative process, court action, etc.). The answers that your firm provides to the questions below should be answered "Yes" only if: ***The legal proceeding was filed by an owner, client, contractor, or governmental entity against your firm for any project within the previous 5 years.***

Responding Firm _____

Has your firm had a legal proceeding or does it have an on-going or pending legal proceeding that meets the criteria listed above and that was due to:

Your firm's non-performance? ☐ Yes ☐ No *If "Yes," was non-performance related to:*

Failure to complete a project on time? ☐ Yes ☐ No ☐ N/A

Failure to complete a project at all? ☐ Yes ☐ No ☐ N/A

Unsatisfactory performance? ☐ Yes ☐ No ☐ N/A

Providing products of a poor quality? ☐ Yes ☐ No ☐ N/A

Your firm's breach or default of contract? ☐ Yes ☐ No *If "Yes," were the proceedings based on:*

Misfeasance? ☐ Yes ☐ No ☐ N/A

Error? ☐ Yes ☐ No ☐ N/A

Omission? ☐ Yes ☐ No ☐ N/A

Failure to perform? ☐ Yes ☐ No ☐ N/A

Other? _____ ☐ N/A

Your firm's violation of:

State law? ☐ Yes ☐ No

Federal law? ☐ Yes ☐ No

State or federal rules or regulations related to:

business ethics? ☐ Yes ☐ No

conflicts of interest? ☐ Yes ☐ No

the procurement process? ☐ Yes ☐ No

Please provide any additional information that you believe will help the Council make a determination regarding your firm's responsibility in light of the legal proceedings described above.

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#5 - Statement of Past Performance (pg. 1 of 2)

The following questions ask a responding firm to provide information about its past performance on the Council's projects, other publicly funded projects, or in general. Each responding firm must indicate whether or not it has successfully completed past projects.

Responding Firm _____

Has your firm ever performed work for the Council? ☐ Yes ☐ No

If "Yes," in the space provided below, please describe the project (i.e. name, dates, etc.), your firm's role in the project (i.e. prime contractor), and indicate whether your firm successfully completed the project.

In the previous 3 years, has your firm ever performed work on other publicly funded projects? ☐ Yes ☐ No

If "Yes," in the space provided below, please describe a few of the most recent projects (i.e. names, dates, clients, etc.), your firm's role in the projects (i.e. prime contractor), and indicate whether your firm successfully completed the projects.

☐ N/A If your firm has not worked for the Council or on other publicly funded projects, then, in the space provided below, please describe your firm's performance on a few of its most recent projects (i.e. names, dates, clients, etc.), your firm's role in the projects (i.e. prime contractor), and indicate whether your firm successfully completed the projects.

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#5 - Statement of Past Performance (pg. 2 of 2)

As it relates to contracts your firm has or has had with the Council: ☐ N/A

Is your firm currently in breach or default of a contract? ☐ Yes ☐ No

Is your firm currently delinquent or past due on any monies owed to the Council? ☐ Yes ☐ No

Firms that are currently in breach or default of a Council contract or that owe the Council monies may be deemed ineligible for a contract award.

In the previous 3 years, has your firm ever had a client (e.g. person / entity contracting with your firm) that:

Terminated the contract for breach or default? ☐ Yes ☐ No *If "Yes," please indicate the # of times this has occurred.* _____

Sued to compel performance? ☐ Yes ☐ No *If "Yes," please indicate the # of times this has occurred.* _____

Sued to recover damages including, but not limited to: upon alleged breach of contract, misfeasance, error or omission, or other alleged failure of your firm to perform as required by the contract? ☐ Yes ☐ No *If "Yes," please indicate the # of times this has occurred.* _____

Called upon a surety to perform the work? ☐ Yes ☐ No *If "Yes," please indicate the # of times this has occurred.* _____

Please provide any additional information that explains any "Yes" answers to the questions on this page 2 of 2 or any other information that you believe will help the Council make a determination regarding your firm's responsibility in light of the performance issues described on this form.

#6 - Conflicts of Interest Questionnaire & Disclosure Statement (pg. 1 of 2)

Instructions

The Council's Conflicts of Interest Policy was included as part of the solicitation documents for the above captioned project. Please refer to this policy for a description of the Council's policies and procedures regarding this Conflicts of Interest Questionnaire & Disclosure Statement (Statement). The definition for each relevant term used in this Statement can also be found in the Council's Conflicts of Interest Policy.

Each responding firm must complete this Statement in full and include a copy in its submittal.

(A) If the responding firm answers "Yes" to any of the questions, then the responding firm must check box #1 below and attach the following: (i) the applicable question number; (ii) a concise description of the conflict; (iii) an explanation as to why the situation does not affect the firm's ability to objectively perform the contract or does not / will not present an unfair competitive advantage to the firm; and (iv) a concise description of the efforts the firm has taken, or proposes to take, to mitigate the effects of the interest.

(B) If the responding firm answers "No" to each question, then the responding firm must check box #2 below certifying that there is no interest and that, to the best of its knowledge and belief, there is no affiliation / relationship that exists that is relevant to a possible conflict of interest.

When completing this questionnaire, please keep the following in mind:

1. "Organizations that are expected to benefit from the project / solicitation" are those organizations that are listed in Section V, Part E of the solicitation documents.
2. References to the firm's "employees" include all personnel of the responding firm, including part-time, contract, or temporary employees.
3. References to committees or sub-committees refer to every committee or sub-committee of the Council or STARRS including the Board of Directors of each organization. These references also include those committees set-up to monitor, oversee, or coordinate specific projects. Membership on any committee or sub-committee includes non-voting or ex officio membership.
4. References to the "firm" include the firm's proposed subcontractors / subconsultants; therefore, the answers given below must take into account the prior, present, or planned activities, relationships, contracts, or financial interests of the subcontractors / subconsultants.

Responding Firm _____

Questions

I. INTERESTS - The questions below relate to the prior, present, or planned interests of the responding firm. Please refer to the Council's Conflicts of Interest Policy for the definition of "prior," "present," and "planned" interests. *A firm must respond "Yes" to the question if the firm has an interest, including if the interest is in regard to the Council itself, STARRS, or the organizations that are expected to benefit from the project / solicitation.*

- A. **Prior Interest** - In the past year (from the date the solicitation was issued) did the firm engage in activities, relationships, or contracts or have any financial interests that are directly related to the Council's project? ☐ Yes ☐ No
- B. **Prior Interest** - Has the firm ever engaged in activities, relationships, or contracts or have any financial interests that were conducted / engaged in as a prior part or phase of the Council's project? ☐ Yes ☐ No
- C. **Present Interest** - Is the firm presently engaged in activities, relationships, or contracts or does the firm presently have any financial interests that are directly related to the Council's project? ☐ Yes ☐ No
- D. **Planned Interest** - Does the firm have any planned activities, relationships, or contracts or financial interests that are directly related to the Council's project? ☐ Yes ☐ No

II. COMMITTEES & SUB-COMMITTEES - The questions below relate to the membership on or participation in meetings of the committees and sub-committees of the Council and STARRS. Please refer to note #3 in the Instructions for information about what is meant by "committee" or sub-committee."

- A. Are any of the firm's employees presently members of any Council or STARRS committees or sub-committees? ☐ Yes ☐ No
- B. In the past year (from the date the solicitation was issued) were any of the firm's employees members of any Council or STARRS committees or sub-committees? ☐ Yes ☐ No

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#6 - Conflicts of Interest Questionnaire & Disclosure Statement (pg. 2 of 2)

II. COMMITTEES & SUB-COMMITTEES, con't.

- C. Did any of the firm's employees attend any Council or STARRS committee or sub-committee meeting where the project / solicitation was discussed? ☐ Yes ☐ No

III. COMMUNICATIONS - The questions below relate to communications with the staff / personnel of the Council, STARRS, the organizations that are expected to benefit from the project / solicitation, or any member of Council or STARRS committees or sub-committees. Communications include oral discussions and e-mails or other written correspondence. *A firm must answer "Yes" to the question only if the firm's communications were in regard to the project / solicitation and were with any person other than the person identified in Section IX, Part A of the solicitation documents.*

- A. Did any of the firm's employees communicate with any staff / personnel of the Council? ☐ Yes ☐ No
- B. Did any of the firm's employees communicate with any staff / personnel of STARRS? ☐ Yes ☐ No
- C. Did any of the firm's employees communicate with any staff / personnel of the organizations that are expected to benefit from the project / solicitation? ☐ Yes ☐ No
- D. Did any of the firm's employees communicate with any member of Council and/or STARRS committees or sub-committees? ☐ Yes ☐ No

IV. SPECIFICATIONS / SCOPE OF WORK FOR PROJECT / SOLICITATION - The questions below relate the development of the specifications / scope of work for the project / solicitation. "Assist" includes providing any information that was used to create the specifications / scope of work for the project / solicitation, except for information that was provided as part of a request for information or similar formal process initiated by the Council. *A firm must answer "Yes" to the question if the assistance was provided directly to the Council itself or if it was provided to STARRS, any of the organizations that are expected to benefit from the project / solicitation, or any member of Council or STARRS committees or sub-committees.*

- A. Did any of the firm's employees assist with the development of the specifications / scope of work for the project / solicitation? ☐ Yes ☐ No

Based on the information contained in this Statement (please check one):

- ☐ #1 -- My firm does / may have an interest, as described in the Council's Conflicts of Interest Policy, and I have provided the information required by Part A of the Instructions above (**Additional Information MUST be attached**). *A firm must check box #1 if the firm answered "Yes" to any of the questions in this Statement.*

OR

- ☐ #2 -- My firm does not have an interest, as described in the Council's Conflicts of Interest Policy, and that, to the best of my knowledge and belief, there is no affiliation that exists that is relevant to possible conflicts of interest. *A firm may only check box #2 if it answered "No" to each question in this Statement.*

Please note that if a box is not checked, then the Council will assume that your firm has a conflict of interest and may disqualify it from the procurement process or may deem your firm's submittal non-responsive.

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#7 - Certification Regarding Debarment and Suspension

Please read the certification below and check the appropriate box. If you are unable to provide this certification, then you must provide an explanation in the space provided below.

Responding Firm _____

☐ **#1 - I certify that, to the best of my knowledge and belief, that the responding firm and its principals:**

- (a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded by any State or Federal department or agency;
- (b) Have not within a three-year period preceding its submission for the above captioned project been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
- (c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (b) of this certification; and
- (d) Have not within a three-year period preceding its submission for the above captioned project had one or more public transactions (Federal, State or local) terminated for cause or default.

☐ **#2 - I am unable to certify to any of the statements in this certification. An explanation must be provided in the space below.**

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Additional Information

Use this page to provide any information that you either could not provide on Forms #1 - 7 or that you believe is relevant to the Council's responsibility determination. You may attach as many of these sheets that you need.

Please make sure that you indicate which form and question for which you are providing additional information (i.e. Form #7, Box #2; Form #1, Former Firm Names, etc.)

Responding Firm _____