EAST-WEST GATEWAY
Council of Governments
Creating Solutions Across Jurisdictional Boundaries

Firm Responsibility Information
Detailed Questionnaire

EAST-WEST GATEWAY
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Project Name & Solicitation #	

As part of the final stages of the procurement process for the above-captioned project, the Council must make a final determination regarding your firm's responsibility. The Council is not permitted to award a contract to a firm, including the firm's subcontractors / joint venture partners, that the Council determines is not responsible. Section II, Part A, Sub-Part 2, #2 of the solicitation documents for this project provides a definition of a "responsible firm" and also describes the factors that the Council uses to make its firm responsibility determination.

In order to make this determination, the Council needs additional information. This Questionnaire includes the following forms:

(1) Financial & Technical Resources
(2) Legal Proceedings, Integrity & Business Ethics

Each form 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 Questionnaire may contain rules, which means that the boxes / spaces will auto fill depending on your answers to the questions.

You are NOT permitted to substitute your own format or information for the forms included in this Questionnaire.

If you need additional space to provide the information requested in this Questionnaire, please use the form titled "Additional Information." You may also attach additional sheets, as needed, in order to provide the requested information.

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

Please note that, if your firm's Questionnaire does not include the information necessary for the Council to make its determination regarding your firm's responsibility, then the Council may find that your firm is not responsible and is, therefore, ineligible to be awarded a contract for the project.

Also note that the requirements regarding firm responsibility apply equally to your firm's subcontractors / joint venture partners; therefore, prior to engaging a subcontractor or joint venture partner, it is your firm's responsibility to ensure that the subcontractor / joint venture partner will meet the Council's firm responsibility requirements. The Council may require that your firm's subcontractors also complete this Questionnaire.

If you have issues using this form or if you have questions about the information requested in this Questionnaire or the documentation that needs to be submitted to the Council, please contact:

CERTIFICATION

By signing below, I certify that I am authorized to sign this Firm Responsibility Information - Detailed Questionnaire on behalf of my firm and that the information contained in each of the forms contained in this Questionnaire (as noted in #1 and #2 above) is accurate and complete to the best of my knowledge.

My firm is providing the goods requested as: ☐ ***the prime firm.*** ☐ ***a subcontractor.*** ☐ ***a joint venture partner.***

Firm Name _____

Name & Title of Authorized Official _____

Signature of Authorized Official _____

Date _____

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Project Name & Solicitation #

#1 - Financial & Technical Resources (pg. 1 of 1)

Firm Name _____

Your firm must answer each of the questions below regarding your firm's financial and technical resources. As indicated below, your firm must attach additional documentation to demonstrate that it has the necessary financial and technical resources to successfully complete the Council's project.

Financial Resources

1. Does your firm currently have sufficient financial resources to meet its obligations? ☐ Yes ☐ No

2. Does your firm currently have access to, or does it have the ability to access, a line of credit or similar financial resources? ☐ Yes ☐ No

3. Within the previous 3 years, has your firm ever been **unable** to perform or complete a project due to insufficient financial resources? ☐ Yes ☐ No

4. Is your firm currently or, within the previous 3 years, has your firm been involved in any bankruptcy or reorganization? ☐ Yes ☐ No

Technical Resources

1. Does your firm's staff have the licenses (e.g. business, professional) required to perform the work for this project? ☐ Yes ☐ No ☐ N/A

2. Does your firm have access to, or have the ability to access, the resources necessary to successfully complete the Council's project? ☐ Yes ☐ No

   Resources include, but are not limited to, staff, office space, subcontractors, software, materials, etc.

3. Does your firm have the capacity to successfully complete the Council's project within the estimated performance period? ☐ Yes ☐ No

   This should be measured after considering your firm's current and anticipated work commitments and the time frame estimated for the project (see Attachment A of the solicitation documents).

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#2 - Legal Proceedings, Integrity & Business Ethics (pg. 1 of 2)

The following questions pertain to your firm's record of integrity and business ethics. Your firm must answer each question and provide additional information for any "Yes" answers. ***References to "firm" means any owner, principal, officer, stockholder with a controlling interest, or any employee that is involved in the procurement or contracting process for the project.***

Firm Name _____

Is your firm currently, or in the previous 3 years has your firm been, subject to any of the following:

1.	a criminal investigation, an indictment, a judgment, a conviction, or any grant of immunity for any business related conduct constituting a crime under federal, state, or local government law including, but not limited to: fraud, extortion, bribery, racketeering, price-fixing or bid collusion, or any crime related to truthfulness or business conduct?	☐ Yes	☐ No
2.	a federal, state, or local governmental / agency investigation for a civil or criminal violation for any business related conduct?	☐ Yes	☐ No
3.	a federal, state, or local government contract suspension or termination for cause prior to the completion of the term of a contract?	☐ Yes	☐ No
4.	a federal, state, or local government suspension or debarment from the contracting process?	☐ Yes	☐ No
5.	a finding, for any reason, of non-responsibility by any federal, state, or local governmental entity?	☐ Yes	☐ No
6.	a federal, state, or local government denial of a lease or contract award for non-responsibility?	☐ Yes	☐ No
7.	an agreement for voluntary exclusion from contracting with a federal, state, or local governmental entity?	☐ Yes	☐ No
8.	a citation, violation order, sanction, pending administrative hearing or proceeding for violations of:		
	(a) federal, state, or local labor laws or regulations,	☐ Yes	☐ No
	(b) business or professional license standards,	☐ Yes	☐ No
	(c) unemployment insurance or workers' compensation coverage or claim requirements,	☐ Yes	☐ No
	(d) ERISA,	☐ Yes	☐ No
	(e) human rights laws,	☐ Yes	☐ No
	(f) federal citizenship or immigration laws, or	☐ Yes	☐ No
	(g) federal anti-trust regulations or laws.	☐ Yes	☐ No
9.	an administrative proceeding or civil action seeking specific performance or restitution in connection with any federal, state, or local contract or lease?	☐ Yes	☐ No
10.	a denial, decertification, revocation, or forfeiture of Disadvantaged Business Enterprise (DBE), Women's Business Enterprise (WBE), or Minority Business Enterprise (MBE) status or certification?	☐ Yes	☐ No
11.	a rejection of a low bid on a federal, state, or local contract due to a failure to meet statutory affirmative action or D/W/MBE status requirements on a previously held contract?	☐ Yes	☐ No

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#2 - Legal Proceedings, Integrity & Business Ethics (pg. 2 of 2)

Firm Name

12. In the previous 3 years, has your firm failed to file returns or pay any applicable federal, state, or local government taxes? ☐ Yes ☐ No

13. Does your firm currently have or, in the previous 3 years, has your firm had an unsatisfied judgement, injunction, or lien obtained by any federal, state, or local governmental entity / agency based on taxes owed and fines and penalties assessed by the entity / agency? ☐ Yes ☐ No

14. In the previous 3 years, has an owner, client, contractor, or governmental entity filed a legal action against your firm for any of the following:

    (a) your firm's failure to complete a project on time or at all? ☐ Yes ☐ No

    (b) your firm's unsatisfactory performance? ☐ Yes ☐ No

    (c) your firm providing products of a poor quality? ☐ Yes ☐ No

    (d) your firm's breach or default of contract for misfeasance, error, omission, or failure to perform? ☐ Yes ☐ No

If you answered "Yes" to any of the questions above, provide additional information regarding the finding, including, but not limited to, the current status, resolution, etc. and describe why the matter in question does not merit a Council finding of non-responsibility.

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Additional Information

Use this form to provide any information that you either could not provide on prior pages or that you believe is relevant to the Council's firm responsibility determination. You may attach as many of these sheets that you need to provide the requested information.

Please make sure that you indicate the form and question for which you are providing additional information (i.e. Form #1, Question #2; Form #2, Question #1, etc.)

Firm Name _____

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