

ITN 15-0026
ATTACHMENT B
RESPONSIBLE VENDOR REVIEW FORM

Contracts pursuant to this competitive solicitation will be awarded to Vendors who are both responsible and responsive. A "responsible vendor" is a Vendor who has the capability in all respects to fully perform the contract requirements and the integrity and reliability that will assure good faith performance. See Section 287.012(25), Fla. Stat.

1. Definitions.

For purposes of this Due Diligence Review the terms listed below shall have the following meanings:

- a. Affiliate – means Entities that are related through some form of common ownership or control.
- b. Director – means a person appointed or elected to a governing board of a company or corporation, who is responsible for deciding and managing the organization's overall policies and direction.
- c. Entity - means a company, corporation, partnership, or sole proprietorship.
- d. Officer - means a person in a company or corporation that is charged with day to day management level responsibilities and who has authority to act on behalf of the organization. Officer positions typically include roles such as president, vice president, secretary, treasurer, chief financial, chief technology or chief executive.
- e. Principal – means any person who has controlling authority or is in the leading position to make decisions on behalf of a company, corporation, partnership, sole proprietorship, or other legal entity.
- f. Vendor – means both the entity submitting a response or proposal to this competitive solicitation and also includes its principals, owners, officers, partners, and Affiliates.

2. Due Diligence Review. To determine if a Vendor is "responsible" to receive a contract award, as required in Section 287.057, Fla. Stat., Citizens will conduct a review of the Vendor ("Due Diligence Review"). A Due Diligence Review will generally cover:

- a. The financial soundness of the entity submitting the proposal or response;
- b. Vendor's operational capability;
- c. Vendor's integrity, fitness and trustworthiness; and
- d. Vendor's reliability.

The Due Diligence review will occur throughout the evaluation and negotiation phases of this procurement.

3. Responsibility Factors. The Due Diligence Review conducted for each solicitation is based upon considerations such as the estimated contract value, the contract's complexity, the level of risk related to the contractual obligations, and the criticality to Citizens' mission.

Any of the following may affect a Vendor's responsibility including, but not limited to:

- a. Professional credentialing and required authority to perform the contractual obligations set forth in the solicitation;
- b. Criminal charges, judgments, convictions, plea agreements, withholding of adjudication, or pre-trial interventions;
- c. Civil judgments or settlements for any action against Vendor related to fraud;
- d. Governmental enforcement or regulatory proceedings for civil or statutory violations;
- e. Lack of financial soundness, which might include issues bankruptcies, insolvencies or other financial impairments; and
- f. Vendor's contracts terminated for cause.

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4. **Vendor Required Information.** Vendors are required to fully and accurately answer the questions set forth below, and for each “YES” answer provide a detailed written explanation and attach copies of relevant documents.
- a. Within the past ten (10) years, has Vendor has been the subject of any disciplinary actions regarding against a professional license or other license to conduct business?
☐ YES ☐ NO
 - b. Within the past ten (10) years, has Vendor been subject to any criminal charges, judgments, convictions, plea agreements, withholding of adjudication, or pre-trial interventions?
☐ YES ☐ NO
 - c. Within the past ten (10) years, have there been any civil judgments or settlements for any actions against Vendor related to fraud?
☐ YES ☐ NO
 - d. Within the past ten (10) years, has Vendor been subject to any governmental enforcement or regulatory proceedings for civil or statutory violations?; and
☐ YES ☐ NO
 - e. Within the past ten (10) years, has the Entity submitting the Response or Proposal had any of its contracts terminated for cause?
☐ YES ☐ NO
5. **Financial Assessment.** The financial soundness of the entity submitting the proposal or response to this competitive solicitation will be evaluated using a separate form.