

## ATTACHMENT C RESPONSIBLE VENDOR REVIEW

### RFP 15-0013 INSURANCE COMPANY FINANCIAL DATA SERVICES

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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 phase (and negotiation phase in an ITN) 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?  
☐ 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
  - f. Has the Entity submitting the Response or Proposal had a claims services contract(s) with Citizens terminated for cause? See Section 2.3, Minimum Requirements of RFP 14-0019.  
☐ YES    ☐ NO
5. **Other Requirements.** The following, additional due diligence items are contained within the provisions of RFP 14-0019:
- a. **Financial Assessment.** The financial soundness of the entity submitting the proposal or response to this competitive solicitation will be evaluated separately as outlined within RFP 14-0019, Section 3.6, Response Contents, Tab E, Financial Information.
  - b. **Certification of Criminal History.** Vendors are required to include a completed and signed copy of Attachment M (Certification of Criminal History) in their response for each identified Firm Principal as detailed in RFP 14-0019 Section 2.6, Criminal Background Investigation. [Note: upon notification of award, Vendor must submit a criminal background investigation report for each Firm Principal.]
  - c. **Certificate of Insurance.** Vendors are required to include in TAB A of their response a current Certificate of Insurance, as defined in Attachment A of RFP 14-0019, Adjusting Services Contract.

**SIGNATURE:**

By my signature below, I certify that I am an Authorized Representative of the Vendor named below, and that all of the information provided above is true and complete to the best of my knowledge:

\_\_\_\_\_  
Print Your Name

\_\_\_\_\_  
Print Vendor Name

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date