

APPENDIX B: REQUIRED FORMS

COMPANY INFORMATION AND REQUIRED DISCLOSURES FORM

PART A:	COMPANY INFORMATION FORM
PART B:	CONFLICT OF INTEREST STATEMENT
PART C:	NON-COLLUSION AFFIDAVIT
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Part A: Company Information Form

<u>Instructions</u>	
(1)	Proposers must complete all Parts of this Form, including this Part A.
(2)	Proposers should include all requested attachments to this Part A.
(3)	Proposers should delete this instructions box and additional instruction notes prior to submitting this Form.

COMPANY INFORMATION FORM

A. PROPOSER & OFFICIAL REPRESENTATIVE	
1. Name of Entity Completing This Form:	[]
2. Name and Contact Information of Proposer's Official Representative	[] Phone: [] Email: []
B. ENTITY INFORMATION	
1. Type of Entity:	Corporation Limited Liability Company Partnership Other: <i>[If Other, provide explanation]</i>
2. Name of Officials/Constituent Firms:	<i>[if a corporation, provide name and address of each corporate officer and all stockholders owning more than 5% of the corporation stock]</i> <i>[if entity other than a corporation, name and address of each partner, member, and/or constituent firm who own more than 5% interest in the entity]</i>

3.	Year Established:	[]
4.	Jurisdiction Where Entity Formed or Incorporated:	[if United States, provide state] [if other than United States, provide country]
5.	Federal Tax ID No.:	[]
6.	State of Colorado Business License No.	[]
7.	Successor in Interest to Entity/Entities (if any, within past five years):	[]
8.	Additional Legal Names of Entity: <i>(if applicable, list any DBA names, trade or abbreviated names, or different Federal Tax IDs under which the entity has previously operated along with the status of such name (active or inactive))</i>	[]
9.	Business address:	[]
10.	Headquarters address:	[]
11.	Location(s) of office performing work:	[]
12.	Firm's relevant licenses, registrations and credentials:	[]
13.	Organizational Documents/Evidence of Right to Do Business in Colorado Attached: <i>(Attach copies of the organizational documents and, if available, evidence of the entity's right to conduct business in the State of Colorado.)</i>	
	Yes	No: [if No, provide explanation]

Part B: Conflict of Interest Statement

Instructions

- (1) Proposers must complete all Parts of this Form , including this Part B.
- (2) If no conflicts of interest exist, Proposer should enter, “Not Applicable,” in the “Narrative of Organizational Conflicts of Interest” section.
- (3) Proposers should delete this instructions box and additional instruction notes prior to submitting this Form .

CONFLICT OF INTEREST STATEMENT

I, the undersigned, am an authorized representative of [*Proposer Company Name*] and this statement is submitted in accordance with the Request for Proposals (as amended, the “**RFP**”). issued by the Yampa Valley Regional Transportation Authority (the “**Authority**”). Capitalized terms that are used below but not defined in this statement have the meaning given them in the RFP.

I hereby certify on behalf of [*Proposer Company Name*] that no actual, perceived, or potential conflict of interests exist as it relates to the procurement contemplated in the RFP, except as disclosed below in this statement.

NARRATIVE OF ORGANIZATIONAL CONFLICT OF INTEREST (if any)

Proposer: _____

Name of Official Representative: _____

Official Representative Signature: _____

Date: _____

Part C: Non-Collusion Affidavit

Instructions

- (1) Proposers must complete all Parts of this Form, including this Part C.
- (2) Proposers should delete this instructions box and additional instruction notes prior to submitting this Form 2.

NON-COLLUSION AFFIDAVIT

I, the undersigned, am an Official Representative of [*Proposer Company Name*] (the “firm”) and this affidavit is submitted with the Request for Proposals (as amended, the “**RFP**”). issued by the Yampa Valley Regional Transportation Authority (the “**Authority**”). Capitalized terms that are used below but not defined in this statement have the meaning given them in the RFP.

The undersigned, attests that:

- (a) the Proposal is not made in the interest of, or on behalf of, any undisclosed person, partnership, company, association, organization, joint venture, limited liability company, or corporation;
- (b) the Proposal is genuine and is not a collusive or sham Proposal;
- (c) the Proposer has not directly or indirectly induced or solicited any other Proposer to put in a false or sham Proposal, and has not directly or indirectly colluded, conspired, connived, or agreed with any Proposer or anyone else to put in a sham Proposal or that anyone will refrain from proposing;
- (d) the Proposer has not in any manner, directly or indirectly, sought by agreement, communication, or conference with anyone to fix the prices of Proposer or any other Proposer, or to fix any overhead, profit, or cost element included in the Proposal, or of that of any other Proposer, or to secure any advantage against the Authority or anyone interested in the proposed agreement;
- (e) all statements contained in the Proposal are true and, further, Proposer has not, directly or indirectly, submitted its prices or any breakdown thereof, or the contents thereof, or divulged information or data relative thereto, or paid, and will not pay, any fee to any corporation, partnership, company, association, joint venture, limited liability company, organization, Proposal depository, or any member, partner, joint venture member, or agent thereof to effectuate a collusive or sham Proposal;
- (f) The Proposer will not, directly or indirectly, divulge information or data regarding the price or other terms of its Proposal to any other Proposer, or seek to obtain information or data regarding the price or other terms of any other Proposal, until after award of the Professional Services Agreement or rejection of all Proposals and cancellation of the RFP; and
- (g) I have made a diligent inquiry of all members, officers, employees, and agents of my firm with responsibilities relating to the preparation, approval, or submission of my firm’s Proposal in connection with the RFP and have been advised by each of them that he or she has not participated in any communication, consultation, discussion, agreement, collusion, act or other conduct inconsistent with any of the statements and representations made in this affidavit.

The undersigned under the penalties of perjury, affirms the truth hereof.

Proposer: _____

Name of Official Representative: _____

Official Representative Signature: _____

Date: _____

Part D: Debarment and Suspension Certification

Instructions

- (1) Proposers must complete all Parts of this Form, including this Part D.
- (2) Proposers should include all requested attachments to this Form.
- (3) Proposers should delete this instructions box and additional instruction notes prior to submitting this Form.

DEBARMENT AND SUSPENSION CERTIFICATION

I, the undersigned, am an authorized representative of [*Proposer Company Name*] and this certification is submitted in accordance with the Request for Proposals (as amended, the “**RFP**”). issued by the Yampa Valley Regional Transportation Authority (the “**Authority**”). Capitalized terms that are used below but not defined in this statement have the meaning given them in the RFP.

The undersigned certifies to the best of its knowledge and belief, that it and its principals:

- (a) are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded by any federal department or agency from the transactions contemplated in the RFP;
- (b) have not within a 3-year period preceding this Proposal 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 3-year period preceding this application/proposal had one or more public transactions (federal, state or local) terminated for cause or default.

Where Proposer is unable to certify to any of the statements in this certification, it will attach a certification to its Proposal stating that it is unable to provide the certification and explaining the reasons for such inability.

Proposer: _____

Name of Official Representative: _____

Official Representative Signature: _____

Date: _____

Part E: Claims History Questionnaire

Instructions

- (1) Proposers must complete all Parts of this Form, including all tables in this Part E.
- (2) This Form shall be completed with respect to the Proposer and all Key Personnel.
- (3) If an entity has no record of the relevant claims history in any table in this form or if the requested information in any table in this form is not available, enter a declaratory statement to that effect.
- (4) Insert additional rows to any table below, if needed.
- (5) Proposers should delete this instructions box and additional instruction notes prior to submitting this Form.

CLAIMS HISTORY QUESTIONNAIRE

Proposer Name: []

Date: []

TABLE 1: LITIGATION, CLAIMS, DISPUTE PROCEEDINGS, AND ARBITRATION

NAME OF PROPOSER OR KEY PERSONNEL			
Owner/Agency/Entity that Initiated the Action	Brief Description of Action	Resolution of Action (please note if the action is outstanding)	Current Owner: Contact Name + Phone/ Email

TABLE 2: ASSESSMENT OF LIQUIDATED DAMAGES FOR DEFICIENT PERFORMANCE

NAME OF PROPOSER OR KEY PERSONNEL				
Owner/Agency/Entity that Initiated the Action	Triggering Event for Liquidated Damages	Amount Assessed (\$US)	Brief Description of Damage Claims by Owner + Resolution	Current Owner: Contact Name + Phone/Email

TABLE 3: DISCIPLINARY ACTION, DEBARMENT, SUSPENSION AND ACTIONS/ PROCEEDINGS

NAME OF PROPOSER OR KEY PERSONNEL		
Owner/Agency/Entity that Initiated the Action	Brief Description of Action + Resolution	Current Owner: Contact Name + Phone/Email

TABLE 4: TERMINATION FOR CAUSE AND DEFAULTS FOR DEFICIENT PERFORMANCE			
NAME OF PROPOSER OR KEY PERSONNEL			
Owner/Agency/Entity that Initiated the Action	Amount Assessed (\$US)	Brief Description of Action + Resolution	Current Owner: Contact Name + Phone/Email

Proposer:

Name of Official Representative:

Official Representative Signature:

Date:

PRIOR EXPERIENCE FORM

Instructions

- (1) Proposers must complete this Form in accordance with the RFP.
- (2) Duplicate this Form as necessary so as to include all requested industry experience (i.e. provide a table for each instance of prior experience).
- (3) Bracketed and italic text in the “Response” column constitutes additional guidance for completing this Form, which should be deleted when completing the Form.
- (4) Proposers should delete this instructions box and additional instruction notes prior to submitting this Form.

INFORMATION REGARDING INDUSTRY EXPERIENCE

Proposer Name: []

Date: []

No.	Required Information	Response
<u>I. Background Information</u>		
	Owner/Procuring Authority + Location:	
	Type of Owner/Procuring Authority:	<i>[e.g. city, State, regional transportation authority, non-profit, LLC]</i>
	Description of Scope of Services and Work:	
	Contract Term:	<i>[State both total term length and start and end dates for the contract]</i>
	Current Status:	
<u>II. Technical Information</u>		
	Relevance to Proposer's Approach to Scope of Work:	<i>[Brief description of how the identified engagement demonstrates key elements of the Proposer's anticipated approach.]</i>
<u>III. Reference</u>		
	Name:	
	Title and Employer (current):	
	Title and Employer (at time of project/	
	Role on the project:	

	Relationship to project owner:	
	Phone and Email:	
	Location and Time Zone:	
	Other:	