

# Sample Security Contractor Responsibility Questionnaire

## Section 1: Business Organization/Structure

Indicate the organizational structure of your firm:

<input type="checkbox"/> Corporation: Date incorporated: ____/____/____ State of incorporation:
<b>LIST THE CORPORATION'S CURRENT OFFICERS.</b>
President:
Vice President:
Secretary:
Treasurer:
Do any additional officers appear on the licensing records of your firm? <input type="checkbox"/> Yes <input type="checkbox"/> No If yes, please list the names of those officers on a separate page.
<input type="checkbox"/> Check the box only if your firm is a publicly traded corporation.
List those who own 5% or more of the corporation's stocks, and indicate wherever applicable the relationship by birth or marriage of listed owners to company officers. Attach additional pages if more space is needed. Publicly traded corporations need not list the owners of 5% or more of the corporation's stocks.
<input type="checkbox"/> Limited Liability Company: Date of formation: ____/____/____ State of formation:
List members who own 5% or more of the company. Attach additional pages if more space is needed.
<input type="checkbox"/> Partnership: Date formed: ____/____/____ State of formation:
List all partners in your firm. Attach additional pages if more space is needed.
<input type="checkbox"/> Sole Proprietorship: Date started: ____/____/____
List any firm(s) that you have been associated with as an owner, partner, or officer for the last five years. Attach additional pages if more space is needed. Do not include ownership of stock in a publicly traded company in your response to this question.

## Section 2: Ownership and Name Changes

1. Is your firm a subsidiary, parent, holding company, or affiliate of another firm?  Yes  No

*If YES, explain on a separate page the relationship between your firm and the associated firms. Include information about an affiliated firm only if one firm owns 50% or more of another firm, or if an owner, partner or officer of your firm holds a similar position in another firm.*

2. Have any of the firm's owners, partners, or officers operated a similar business in the past five years?  Yes  No

*If YES, list on a separate page the names and addresses of all such businesses, and the person who operated the business. Indicate if any of these businesses filed for bankruptcy or owed payments to any governmental authority.*

3. Has the firm changed names in the past five years?  Yes  No

*If YES, list on a separate page all prior names, addresses, and the dates they were used. Explain the reason for each name change in the last five years.*

4. Are any of your firm's licenses held in the name of a corporation or partnership?  Yes  No

*If YES, list on a separate page the name of the corporation.*

### Section 3: Financial Resources and Responsibility

5. Is your firm now, or has it ever been at any time in the last five years, the debtor in a bankruptcy case?  Yes  No

*If YES, explain on a separate page the circumstances surrounding each instance.*

6. Are any of your firm's officers, owners or partners now, or have they ever been at any time in the last five years, the debtor in a bankruptcy case?  Yes  No

*If YES, explain on a separate page the circumstances surrounding each instance.*

7. Is your company in the process of, or in negotiations toward, being sold?  Yes  No

*If YES, explain the circumstances on a separate page.*

9. Are all of your firm's security officers fully bonded and insured as required by the law of each jurisdiction in which it operates?  Yes  No

10. Please attach the following documents to this questionnaire:

Reviewed or Audited Financial Statements, dated within the last 12 months, reflecting the most recent 12 month, fiscal year activity. Complete Financial Statements include the following components:

- Letter of Credit/Loan from Bank or Other Underwriter of Working Capital
- Covenants under Letter of Credit/Loan
- Balance Sheet
- Statement of Income and Retained Earnings
- Statement of Cash Flows
- Notes
- Supplemental Schedules

## Section 4: Performance History

11. How many years has your firm been in business? \_\_\_\_\_ Years.
12. Has your firm ever held any contracts with [PUBLIC AGENCY] or any of its departments?  
 Yes  No
- If YES, list on a separate page all contracts your firm has had with [PUBLIC AGENCY] for the last 10 years. For each contract listed in response to this question, include: (a) entity name; (b) purpose of contract; (c) total cost; (d) starting date; and (e) ending date.*
13. List on a separate page all contracts your firm has had with any private or governmental entity (other than this agency) over the last five years that are similar to the work to be performed on the contract for which you are bidding or proposing. For each contract listed in response to this question, include: (a) entity name; (b) purpose of contract; (c) total cost; (d) starting date; and (e) ending date.
- Check the box if you have not had any similar contracts in the last five years
14. In the past five years, has a governmental or private entity or individual terminated your firm's contract prior to completion of the contract?  Yes  No
- If YES, explain on a separate page the circumstances surrounding each instance.*
15. In the past five years, has your firm used any subcontractor to perform work on a government contract when you knew that the subcontractor had been suspended or debarred by a governmental entity?  
 Yes  No
- If YES, explain on a separate page the circumstances surrounding each instance.*
16. In the past five years, has your firm been suspended, debarred or determined to be a non-responsible bidder or contractor?  Yes  No
- If YES, explain on a separate page the circumstances surrounding each instance.*

## Section 5: Disputes

17. In the past five years, has your firm been the defendant in court on a matter related to any of the following issues? For parts (a) and (b) below, check Yes even if the matter proceeded to arbitration without court litigation. For part (c), check Yes only if the matter proceeded to court litigation. If you answer Yes to any of the questions below, explain the circumstances surrounding each instance on a separate page. You must include the following in your response: the name of the plaintiffs in each court case; the specific causes of action in each case; the date each case was filed; and the disposition/current status of each case.
- (a) Payment to subcontractors?  Yes  No
- (b) Work performance on a contract?  Yes  No
- (c) Employment-related litigation brought by an employee?  Yes  No

18. In the past five years, has your firm received reimbursement for legal defense from clients on public or private contracts?  Yes  No

*If YES, explain on a separate page the circumstances surrounding each instance.*

19. In the past five years, has your firm been assessed liquidated damages on a contract?  Yes  No

*If YES, explain on a separate page the circumstances surrounding each instance and identify all such projects, the amount assessed and paid, and the name and address of the client.*

20. On a separate page, please list all judgements against your firm made in the last five years, and indicate current status of the judgement (ie, paid, under appeal, outstanding).

## Section 6: Compliance with Worker Protection, Licensing and Non-Discrimination Laws

21. In the last five years, has the Federal Occupational Safety and Health Administration, or any State OSHA jurisdiction, cited and assessed penalties against your firm for any “serious”, “willful” or “repeated” violations of its safety or health regulations, or any other reportable incidents that led to proposed or paid fines, damages or litigation?  Yes  No

*If YES, attach a separate signed page listing each citation.*

22. Do all firm employees have all licenses and certifications required by the law of each jurisdiction in which it operates?  Yes  No

23. In the last five years, was there any occasion(s) which your firm was required, by a compliance agency, to pay either back wages or penalties for failure to comply with any applicable Federal laws including the Federal Service Contract Act (SCA) Fair Labor Standards Act (FLSA), the Contract Work Hours and Safety Standards Act (CWHSSA) , or the Davis-Bacon Act?  Yes  No

*If YES, explain on separate page.*

24. In the last five years, was there any occasion(s) which your firm was required, by a compliance agency, to pay either back wages or penalties for your own firm’s failure to comply with any prevailing wage laws?  Yes  No

*If YES, explain on separate page.*

25. In the last five years, have any unfair labor practice charges been filed against your firm, or has the National Labor Relations Board issued any complaints against your firm under the National Labor Relations Act?  Yes  No

26. On a separate page list all instances within the past five years where a finding of discrimination was made against your firm or any of its owners, partners or officers in a legal or administrative proceeding alleging that the firm discriminated against its employees, subcontractors, vendors, or suppliers, and a description of the status or resolution of that complaint, including any remedial action taken. (The term “owner” does not include owners of stock in your firm if the firm is a publicly traded corporation.)

## Section 7: Business Integrity

27. For questions (a), (b), and (c) below, check Yes if the situation applies to your firm. For these questions, the term “firm” includes any owners, partners, or officers in the firm. (The term “owner” does not include owners of stock in your firm if the firm is a publicly traded corporation.) If you check Yes to any of the questions below, explain on a separate page the circumstances surrounding each instance.

- (a) Is a governmental entity or public utility currently investigating your firm for making (a) false claim(s) or material misrepresentation(s)?  Yes  No
- (b) In the past five years, has a governmental entity or public utility alleged or determined that your firm made (a) false claim(s) or material misrepresentation(s)?  Yes  No
- (c) In the past five years, has your firm been convicted, found liable or reached a settlement agreement in a civil suit for, making (a) false claim(s) or material misrepresentation(s) to any governmental entity or public utility?  Yes  No

28. In the past five years, has your firm or any of its owners or officers been convicted of a crime involving the bidding of a government contract, the awarding of a government contract, the performance of a government contract, or the crime of fraud, theft, embezzlement, perjury, or bribery? For this question, the term “owner” does not include those who own stock in a publicly traded corporation.

Yes  No

If **YES**, explain on a separate page the circumstances surrounding each instance.

## CERTIFICATION UNDER PENALTY OF PERJURY

I certify under penalty of perjury under the laws of [State] that I have read and understand the questions contained in this questionnaire and the responses contained on all Attachments. I further certify that I have provided full and complete answers to each question, and that all information provided in response to this Questionnaire is true and accurate to the best of my knowledge and belief.

<b>Print Name</b>	<b>Date</b>
<b>Signature</b>	<b>Title</b>