

**RFP-22-71266
BUSINESS PROPOSAL
ATTACHMENT E**

Instructions: Please provide answers in the shaded areas to all questions. Reference all attachments in the shaded area.

Business Proposal

- 2.3.1 General (optional)** - Please introduce or summarize any information the Respondent deems relevant or important to the State's successful acquisition of the products and/or services requested in this RFP.

Astbury Water Technology, Inc. (Astbury) has been the incumbent service provider for operation of the wastewater and water systems at the Putnamville Correctional Facility since 2012. It is our belief that all parties have been very satisfied with the manner in which we have performed the services including Department of Correction Management and regulators at the Indiana Department of Environmental Management. The requirements of this contract are extremely complex and require experience, expertise, and dedication. We believe that our past performance demonstrates our capability in all of these areas.

- 2.3.2 Respondent's Company Structure** - Please include in this section the legal form of the Respondent's business organization, the state in which formed (accompanied by a certificate of authority), the types of business ventures in which the organization is involved, and a chart of the organization. If the organization includes more than one (1) product division, the division responsible for the development and marketing of the requested products and/or services in the United States must be described in more detail than other components of the organization. Please enter your response below and indicate if any attachments are included.

Astbury Water Technology is a domestic for-profit corporation, registered and formed In the State of Indiana. Our Business ID is 199-607-0434. A copy of our registration is attached as is our organizational chart. Astbury provides professional operation and maintenance of water and wastewater utilities throughout the state of Indiana.

- 2.3.3 Respondent's Diversity, Equity and Inclusion Information** - With the Cabinet appointment of a Chief Equity, Inclusion and Opportunity Officer, on February 1, 2021, the State of Indiana sought to highlight the importance of this issue to the state. Please share leadership plans or efforts to measure and prioritize diversity, equity, and inclusion. Also, what is the demographic compositions of Respondents' Executive Staff and Board Members, if applicable.

A memorandum detailing Astbury's diversity and inclusion plan is attached.

- 2.3.4 Company Financial Information** - This section must include documents to demonstrate the Respondent's financial stability. Examples of acceptable documents include most recent Dunn & Bradstreet Business Report (preferred) or audited financial statements for the two (2) most recently completed fiscal years. If neither of these can be provided, explain why, and include an income statement and balance sheet, for each of the two most recently completed fiscal years.

If the documents being provided by the Respondent are those of a parent or holding company, additional information should be provided for the entity/organization directly responding to this RFP. That additional information **should explain the business relationship between the entities and demonstrate the financial stability of the entity/organization which is directly responding to this RFP.**

A copy of the most recent Dunn and Bradstreet business report is attached.

- 2.3.5 Integrity of Company Structure and Financial Reporting** - This section must include a statement indicating that the CEO and/or CFO, of the responding entity/organization, has taken personal responsibility for the thoroughness and correctness of any/all financial information supplied with this proposal. The areas of interest to the State in considering corporate responsibility include the following items: separation of audit functions from corporate boards and board members, if any, the manner in which the organization assures board integrity, and the separation of audit functions and consulting services. The State will consider the information offered in this section to determine the responsibility of the Respondent under IC 5-22-16-1(d).

The company CEO and CFO take full responsibility for all financial information provided to Dun & Bradstreet. The company enjoys excellent credit ratings and can provide financial statements upon request, however, we understand that the Dun & Bradstreet report suffices for this purpose.

- 2.3.6 Contract Terms/Clauses** - Please provide the requested information in RFP Section 2.3.6. Additional rows may be added if necessary.

Contract Term Identifier and Header	Suggested Language Change	Rationale for suggested change

2.3.7 References - Reference information is captured on **Attachment H** Respondent should complete the reference information portion of the **Attachment H** which includes the name, address, and telephone number of the client facility and the name, title, and phone/fax numbers of a person who may be contacted for further information if the State elects to do so. The rest of **Attachment H** should be completed by the reference and **emailed DIRECTLY** to the State. The State should receive three (3) **Attachment Hs** from clients for whom the Respondent has provided products and/or services that are the same or similar to those products and/or services requested in this RFP. **Attachment H** should be submitted to idoareferences@idoa.in.gov. **Attachment H** should be submitted no more than ten (10) business days after the proposal submission due date listed in Section 1.24 of the RFP. Please provide the customer information for each reference.

Customer 1	
Legal Name of Company or Governmental Entity	Indiana Department of Transportation
Company Mailing Address	100 N. Senate Ave., N 758-FM
Company City, State, Zip	Indianapolis, IN 46204
Company Website Address	IN.gov/INDOT
Contact Person	Matthew Frazer
Contact Title	Facilities Project Manager
Company Telephone Number	317-233-0582
Company Fax Number	317-233-8581
Contact E-mail	mfrazer@indot.in.gov
Industry of Company	Government
Customer 2	
Legal Name of Company or Governmental Entity	Town of Plainfield Indiana
Company Mailing Address	986 S. Center St.
Company City, State, Zip	Plainfield, IN 46168
Company Website Address	TownofPlainfield.com
Contact Person	Dennis Unterreiner
Contact Title	Deputy Utility Dir.
Company Telephone Number	317-754-5174, extension 615
Company Fax Number	
Contact E-mail	dunterreiner@townofplainfield.com
Industry of Company	Municipal government
Customer 3	
Legal Name of Company or Governmental Entity	Indiana Department of Correction, Putnamville Correctional Facility
Company Mailing Address	1946 W. US Highway 40
Company City, State, Zip	Greencastle, IN 46135
Company Website Address	IDOC.in.gov

Contact Person	Dennis Taylor
Contact Title	Physical Plant Director
Company Telephone Number	765-653-8441, extension 402
Company Fax Number	
Contact E-mail	detaylor@idoc.in.gov
Industry of Company	Indiana Department of Correction

2.3.8 Registration to do Business – Per RFP 2.3.8, Respondents providing the products and/or services required by this RFP must be registered to do business by the Indiana Secretary of State. The Secretary of State contact information may be found in Section 1.18 of the RFP. This process must be concluded prior to contract negotiations with the State. It is the successful Respondent's responsibility to complete the required registration with the Secretary of State. Please indicate the status of registration, if applicable. Please clearly state if you are registered and if not provide an explanation.

Astbury Water Technology is actively registered with the Secretary of State, Business ID 1996070434

2.3.9 Authorizing Document - Respondent personnel signing the Executive Summary of the proposal must be legally authorized by the organization to commit the organization contractually. This section shall contain proof of such authority. A copy of corporate bylaws or a corporate resolution adopted by the board of directors indicating this authority will fulfill this requirement. Please enter your response below and indicate if any attachments are included.

As indicated on the attached business details from the Indiana Secretary of State, Daniel T Astbury is the president of Astbury Water Technology is duly authorized for signing all contracts and documents. Additionally, we have attached a copy of a corporate resolution authorizing Mr. Astbury to sign and submit this proposal and any subsequent contract.

2.3.10 Diversity Subcontractor Agreements -

- a. Per RFP Section 1.21, Minority & Women's Business Enterprises (MBE/WBE), and 1.22 Indiana Veteran Owned Small Business Subcontractor (IVOSB), explain process followed to engage with potential MBE, WBE and IVOSB owned, Indiana certified businesses listed on Division of Supplier Diversity site. List the businesses invited to discuss the opportunity for potential partnership.

Given the specific nature of the work performed by our company, we identified several certified businesses that could potentially be of assistance on this particular contract. Emails were sent to those those identified and the ones who responded and

were able to provide the information needed and who best demonstrated the capability were selected to fill these needs. In this case, we were only able to utilize an MBE and IVOSB to meet our needs. We were not able to find a suitable WBE contractor to meet the needs of this contract in an economical fashion.

- b. If not proposing each MBE, WBE or IVOSB subcontractor partnership, explain the rationale for declining to do so. Complete this for each category not proposed.

We were not able work out the details to engage an WBE contractor able to meet the needs of this contract in an economical fashion.

2.3.11 Evidence of Financial Responsibility – Removed at the request of the agency.

2.3.12 General Information - Each Respondent must enter your company's general information including contact information.

Business Information	
Legal Name of Company	Astbury Water Technology Inc.
Contact Name	Daniel Astbury
Contact Title	Pres.
Contact E-mail Address	dastbury@astburygroup.com
Company Mailing Address	5940 W. Raymond St.
Company City, State, Zip	Indianapolis, IN 46241
Company Telephone Number	317-290-1471
Company Fax Number	317-290-1670
Company Website Address	www.astburywatertechnology.com
Federal Tax Identification Number (FTIN)	35-1986047
Number of Employees (company)	100
Years of Experience	42
Number of U.S. Offices	Four
Year Indiana Office Established (if applicable)	1979
Parent Company (if applicable)	Not applicable
Revenues (\$MM, previous year)	
Revenues (\$MM, 2 years prior)	
% Of Revenue from Indiana customers	85%

- a. Does your Company have a formal disaster recovery plan? Please provide a yes/no response. If no, please provide an explanation of any alternative solution your company has to offer. If yes, please note and include as an attachment.

No. Our company is constantly aware of potential problems and prepared to deal with any type of disaster. We carry significant insurance coverage.

- b. What is your company's technology and process for securing any State information that is maintained within your company?

Our internal servers are protected by VPN servers and dual factor identification is required for access to email accounts and servers

2.3.13 Experience Serving State Governments - Please provide a brief description of your company's experience in serving state governments and/or quasi-governmental accounts.

Astbury has extensive experience in providing these exact services to state, municipal, and federal government entities. These include the Department of Correction, the Indiana Department of Transportation, the Federal Aviation Authority, and numerous municipal governments

2.3.14 Experience Serving Similar Clients - Please describe your company's experience in serving customers of a similar size to the State with similar scope. Please provide specific clients and detailed examples.

In addition to the governmental entities outlined above, the services are provided to numerous private utilities, regional utility districts, industrial facilities, and environmental consultants.

2.3.15 Payment – Removed at the request of the agency.

2.3.16 Extending Pricing to Other Governmental Bodies –Removed at the request of the agency.