



**CITY OF HOUSTON**  
**FINANCE DEPARTMENT**  
Strategic Procurement Division

**Sylvester Turner**

Mayor

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March 18, 2016

**SUBJECT:** Letter of Clarification No. 2  
Financial Advisory Services

**REFERENCE:** RFP No.: S33-T25656

**TO:** All Prospective Respondents

**This Letter of Clarification is issued for the following reasons:**

1. Provide a response to the following questions.

**RFP  
Section**

1. Part IV, section 2.5.2 (page 13)  
**Question** The City's RFP requires at least three references of projects where key personnel performed in a similar role as that proposed for this project. Is the City looking for at least three references for the aggregate team, or three references for each member of the key personnel (i.e., if there are four key personnel, that would be 4 x 3, or 12 project references)? We believe the requirement is for at least three references in aggregate, but wanted to clarify.  
**Response** The City of Houston is looking for information that validates the experience of key personnel working on projects in a similar role. The references for key personnel can be those listed for the company as long as the key personnel actually worked on the project that was similar in scope to the City of Houston requirement. Otherwise, you will need to list separate references.
2. Part IV, section 2.5.2  
**Question** Are the references required in Part IV, section 2.5.2 in addition to the references to be included in "Exhibit I – References, List of Previous Customers"?  
**Response** See response to questions 1.
3. 2.5.2  
**Question** a. Qualifications and Experience of Proposer: Does the City want at least 3 references for the firm or 3 references for each of the key personnel assigned to the project?  
b. Are references also required for MWBE sub-consultants?  
**Response** a. See response to question 1  
b. No

**RFP  
Section**

4. 2.7 **Question** a. Financial Stability: If a firm doesn't not prepare audited financial statements, would Federal Tax Returns for the two most recent years be acceptable without a letter opinion, balance sheet, schedules and auditor's notes? Also, is this information required for MWBE sub-consultants?
- b. And, can this tax return information be marked as "Confidential" under the City's procurement procedures?
- Response** a. Federal Tax Returns are acceptable. No, to MWBE
- b. Yes, you may mark it as "Confidential", but please be mindful that all information submit to the City of Houston is subject to the Open Records Request Act.
5. 2.8 **Question** Legal Action: Please clarify if this submission requires both pending and recent litigation and settlements or just pending actions?
- Response** Pending only.
6. **Question** a. Exhibit II, Attachment "A" – Schedule of M/WBE participation:
- Can we use a % in the "Agreed Price" column?
  - Given this is a per transaction service, please advise how to address Total Bid Amount (also applies to attachment "B")?
- b. Can multiple MWBE firms be listed who may serve in the same role but not at the same time or on the same transaction?
- Response** c. Please confirm eligible MWBE certified financial advisor firms?
- a. 1. No.
  - 2. This amount is your total proposal cost.
  - b. Yes
  - c. Please contact our Office of Business Opportunity at 832.393.0600 or use the following link to search for certified MWBE firms.  
<https://houston.mwdbe.com/FrontEnd/VendorSearchPublic.asp>
7. **Question** Is the form on page 23 of the RFP a continuation of Exhibit II, Attachment "A" on the prior page?
- Response** Yes.
8. **Question** Does Exhibit II, Attachment "D" apply and need to be completed if there has been no MWBE utilization/work performed prior to the RFP submission?
- Response** No, this form is to be used by the successful contractor to report the progress of the project.
9. Page 12, 1.6 **Question** The RFP specifies that the proposal may only be delivered by hand or courier. Are any shipping services (UPS, Fedex) included in the definition of "courier"?
- Response** Yes.
10. Page 13, 2.4.1 **Question** Does the City want each proposer to respond to each item in 3.0 (pages 5 – 8) – Public Financing Related Services or will a summary suffice?
- Response** Please provide a response to each item listed.

*Partnering to better serve Houston*



- f. the signature of the protestor

Protests shall be submitted to:  
Chief Procurement Officer  
City of Houston  
901 Bagby, B300  
Houston, TX 77002

4.2 The City recognizes three types of protests:

- a. Protests regarding solicitation (Pre-Bid Protest)  
Any protest regarding a solicitation published by the City shall be filed no later than five (5) days before the opening of bids (if a competitive bid) or due date for submittals or proposals (if an RFP/RFQ), as appropriate. Any protest filed after the due date raising issues regarding the solicitation will not be considered.
- b. Protests regarding the evaluation of bids, qualifications, or proposals (Pre-Award Protest)  
Any protest regarding the evaluation of bids, qualifications, or proposals by the City must be filed no later than ten (10) days after:  
opening of bids (if a bid); or  
due date (if RFQ/RFP); or  
notification that the interested party's bid or proposal has been rejected.  
Any protest received after the deadline will not be considered.
- c. Protests regarding award of contract (Post-Award Protest)  
Upon receipt of a timely and properly filed protest regarding the award of a contract, the City will not issue a notice to proceed or submit an order for goods until the protest has been resolved, provided such delay will not be detrimental to the interests of the City.

## **PART VI – INSTRUCTIONS TO PROPOSERS**

### **1.0 Pre-Proposal Conference**

A Pre-Proposal Conference will be held at the date, time, and location as indicated on the first page of the RFP document. Interested Proposer(s) should plan to attend. It will be assumed that potential Proposer(s) attending this meeting have reviewed the RFP in detail, and are prepared to bring up any substantive questions not already addressed by the City.

### **2.0 Additional Information and Specification Changes**

Requests for additional information and questions should be addressed to the Finance Department, Strategic Procurement Division Buyer Conley Jackson, telephone: 832.393-8733, fax: 832.393.8759, or e-mail (preferred method to): [conley.jackson@houstontx.gov](mailto:conley.jackson@houstontx.gov) no later than 12:00 p.m., CST, March 4<sup>th</sup>, 2016. The City of Houston shall provide written responses to all questions received in writing before the submittal deadline. Questions received from all Proposer(s) shall be answered and sent to all Proposer(s) who are listed as having obtained the RFP. Proposer(s) shall be notified in writing of any changes in the specifications contained in this RFP.

### **3.0 Letter(s) of Clarification**

- 3.1. All Letters of Clarification and interpretations to this Solicitation shall be in writing. Any Letter of Clarification(s) or interpretation that is not in writing shall not legally bind the City of Houston. Only information supplied by the City of Houston in writing or in this RFP should be used in preparing Proposal responses.
- 3.2. The City does not assume responsibility for the receipt of any Letters of Clarification sent to Proposer(s).