CITY OF HOUSTON
REQUEST FOR QUALIFICATION (RFQ)
CONSULTING SERVICES FOR LONG-RANGE
SOLID WASTE MANAGEMENT PLAN
SOLICITATION NO.: S74-Q26279

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<th>Date Issued:</th>
<th>June 9, 2017</th>
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<tr>
<td>Pre-Submission Conference:</td>
<td>June 21, 2017, @ 10:00 A.M.</td>
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<tr>
<td>Location:</td>
<td>Strategic Procurement Division</td>
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<td>Conference Room 2</td>
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<td>Houston, TX 77002</td>
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<td>Pre-Submission Questions Deadline:</td>
<td>June 23, 2017, @ 2:00 P.M.</td>
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<td>Solicitation Due Date:</td>
<td>July 6, 2017 @ 10:00 A.M.</td>
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<td>Solicitation Contact Person:</td>
<td>Elnora Williams</td>
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<td>832-393-0209</td>
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Project Summary: Three (3) year contract to retain the professional services of a qualified individual, group or consulting firm to develop a long-range municipal solid waste management plan including strategies and methodologies for waste reduction, recycling and reuse.

NIGP Code: 918 - 32

MWBE Goal: 11%

Jerry Adams, Chief Procurement Officer
June 9, 2017
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PART I – GENERAL INFORMATION

1.0 GENERAL

1.1 The City of Houston Solid Waste Management Department ("SWMD") request Submittals from Respondents having experience and qualifications in conducting activities related to and developing a long range solid waste reduction, management and recycling plan. Respondents experience should include utilizing related services, including, but not limited to, a needs and cost analysis for the disposition of municipal solid waste including recyclable materials and organics; stakeholder engagement; and infrastructure evaluation.

1.2 SWMD is seeking to retain the professional services of a qualified individual, group or consulting firm that has demonstrated competency to work on the development of a long-range municipal solid waste management plan including strategies and methodologies for waste reduction, recycling and reuse. A statement of your interest and qualifications regarding this project is herein requested and solicited. SWMD is seeking responses that will identify applicant’s strengths and examples of past work and success.

2.0 BACKGROUND

2.1 The City of Houston (City) is the 4th largest city in the United States and is one that is diverse in so many aspects: people, culture, housing and the weather to name a few. Therefore, wise management of solid waste services in a tight economy is critical. The Solid Waste Management Department has an annual budget in FY2017 of approximately $80.9 million dollars that is funded by the City's General Fund with monies generated from property taxes.

2.2 With a census-estimated 2014 population of 2,285 million within a land area of 676.0 square miles (1,750.8 km2), it also is the largest city in the Southern United States, as well as the seat of Harris County. It is the principal city of Houston–The Woodlands–Sugar Land, the fifth-most populated metropolitan area in the United States. Projections for the next 20 years indicate continued growth in the number of residents and concurrent increases in solid waste generation in the City and the region.

2.3 The City of Houston’s Solid Waste Management Department recommends that the City develop a 20-year, integrated Solid Waste Management Plan ("Plan"). The City requires a comprehensive and integrated solid waste management plan that considers and addresses all components of an integrated solid waste management system using the following hierarchy:

- Source Reduction
- Reuse
- Recycling
- Resource Recovery
- Landfilling
- Sustained operation of solid waste services, whether public or private.

2.4 There are several key questions that will need to be addressed in the Plan as the City prepares for the next 20 years. Some of these are:

- What are the benefits and costs associated with providing single family residents with a third cart for organics recycling?

- What are the benefits and costs associated with the City implementing a variable rate “Pay-as-You-Throw” trash collection program for residents?
• What are the best management strategies for construction debris?

• What are the best management strategies for organic waste? What are the benefits and costs associated with implementing various types of composting programs?

• How can the City effectively engage with businesses to reduce waste generated, increase recycling, increase reuse and increase composting?

• What policies are most effective and would be most appropriate for Houston in working with the business community to achieve shared goals and outcomes?

• How can commercial waste and recycling be effectively tracked and measured?

• What means/methods will be used to pay for solid waste programs?

• More than half of City of Houston residents live in multi-family residences and apartments that do not receive City collection and recycling services. What policies need to be put in place to ensure that those multi-family residences and apartments that do not receive City collection and recycling services also have access to convenient recycling services?

3.0 OBJECTIVES

3.1 Objectives for the development of the City’s Solid Waste Management Plan are to:

3.1.1 Develop a strategic plan for managing solid waste in the Houston metropolitan area through both disposal and recycling/reuse for the next 20 years that meets federal and state laws and regulations.

3.1.2 Develop goals and SMART (specific, measurable, attainable, relevant, time-bound) objectives for the City’s solid waste management program.

3.1.3 Facilitate citizen input to the planning process for solid waste management.

4.0 APPENDIX A – REFERENCE MATERIAL, DEFINITIONS AND EXAMPLES

4.1 Reference Material:

City of Houston: Chapter 39 – Solid Waste and Litter Control:

4.2 Title 30 Texas Administrative Code (30 TAC) §330, Subchapter U:

4.3 Texas Health and Safety Code Chapter 365: Texas Litter Abatement Act:
http://www.statutes.legis.state.tx.us/Docs/HS/htm/HS.365.htm
4.4 Definitions and Examples of Goals, Objectives, and Action Items:

4.4.1 Goal

4.4.1.1 Definition:
A goal is a broad idea that we want to achieve. Goals are general intentions and are not specific enough to be measured. They are also typically long term.

4.4.1.2 Example:
Increase source reduction, reuse and recycling in the City in order to minimize waste generation and waste disposal requirements.

4.4.2 Objective

4.4.2.1 Definition:
Objectives are much more in depth than goals. An objective is a specific target within a general goal. Objectives should be specific, measurable, attainable, relevant, and time-bound (SMART). They typically have a short to medium timeframe. There will be one or more objectives associated with each goal.

4.4.2.2 Example:
Decrease single family/townhouse residents' per capita waste generation to the lesser of five hundred (500) pounds or 25% of the current waste generated, per person per year by 2037.

4.4.3 Action

4.4.3.1 Definition:
Actions are detailed steps we plan to take to reach our goals and objectives.

4.4.3.2 Examples:
1. Provide automated carts to single family/townhouse residents for organics collection.
2. Implement a Pay-As-You-Throw (PAYT) collection system for single family/townhouse residents.
3. Implement an environmental fee for the purposes of developing and sustaining solid waste program.
4. Distribute educational material on an annual basis to all single family residents to promote source reduction, reuse and recycling.
5. Hold a home composting workshop for residents twice a year.

5.0 SOLICITATION SCHEDULE

Listed below are the important dates for this Request for Qualification (RFQ).

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<tr>
<th>EVENT</th>
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<tr>
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Questions from Respondents Due to City            June 23, 2017  
Submittals Due from Respondents           July 6, 2017  
Notification of Intent to Award (Estimated)  September 28, 2017  
Council Agenda Date (Estimated)          October 18, 2017  
Contract Start Date (Estimated)         October 25, 2017  

PART II – SCOPE OF WORK

1.0 GENERAL

1.1 The City of Houston, Texas is soliciting Submittals from Respondents having experience and qualifications in the area identified in this solicitation. Each Submittal must contain evidence of the Respondent’s experience and abilities in the specified area and other disciplines directly related to the proposed work. Other information required by the City includes the submission of profiles and resumes of the staff to be assigned to the project, references, illustrative examples of similar work performed, and other information that will clearly demonstrate the Respondent’s expertise in the area of the services sought by this solicitation. Respondents are encouraged to elaborate on their qualifications and performance data or staff expertise, as well as provide alternative concepts.

1.2 The Contractor shall be responsible for researching, collecting and analyzing information, engaging citizens in an outreach effort, taking a strategic view of the next 20 years, and preparing a solid waste management plan for submission to the City of Houston Solid Waste Management Department. Respondents are encouraged to submit sample project documents and materials from similar projects they have completed. Respondents must address in their Submittals how they shall accomplish the tasks and produce the deliverables listed in the following sections, including a proposed project timeline. The Submittal shall be divided into tasks and subtasks for ease of project management. A project manager shall be assigned by the City to serve as the primary point of contact for the Contractor.

2.0 Mandatory Requirements

2.1 The following requirements are mandatory. If the Selection Committee should conclude after its initial review of a Submittal that one or more of the mandatory requirements are not met, the Submittal will be considered non-responsive and will not be evaluated further.

2.1.1 Respondents shall have a minimum of seven (7) years of experience in developing solid waste management plans and providing expertise to local governments in areas related to strategic planning and management of solid waste, hazardous waste and implementing successful waste reduction and recycling programs.

2.1.2 Respondents shall have at least three (3) such plans that were created and developed within the past 15 years, with at least one within the last five (5) years, for other jurisdictions located in diverse US metropolitan areas. The Selection Committee must be able to verify this experience from the references provided in Part III, Section 4.0, “Experience and Qualifications of Respondent” for Respondent(s) to meet this criterion.

2.1.3 Respondent shall comply with the City's Minority and Women Business Enterprise ("MWBE") programs as set out in Chapter 15, Article V of the City of Houston Code of Ordinances. Contractor shall make good faith efforts to award subcontracts or supply agreements in at least 11% of the value of this Agreement to MWBEs.

3.0 INFORMATION AND SERVICES PROVIDED BY THE CITY

3.1 The City will provide at no cost to the Contractor certain information and services to assist in the
completion of the Project. Contractor is responsible for verifying information provided, and obtaining any additional information needed for project completion. Such information and services may include, but are not limited to the following:

- General information on solid waste facilities that are available in the region.
- Information from the City’s Planning & Development Department on, housing inventory, population growth, transportation systems, geographic factors, open space and preservation, and other enforcement codes.
- Information on existing and potential solid waste management programs and activities.
- Past solid waste management data reports.
- Input in the development of the City’s solid waste management program goals and SMART objectives.
- Project manager to serve as the primary point of contact for the Contractor and to assist in arranging and facilitating meetings/presentations as outlined in the Scope of Work.
- Feedback on deliverables in accordance with the Scope of Work and the project schedule.

4.0 ORIENTATION AND GOAL SETTING

4.1 At the outset of the Project, the Contractor shall meet with City staff, collect data about the City’s current practices in solid waste management, develop goals and prepare a findings report:

4.1.1 Meet with City staff for a project orientation meeting in order to provide an understanding of project goals, schedule, specific issues, City policies, and opportunities and/or problems relating to solid waste management within the City. Prior to the meeting, the Contractor shall be responsible for reviewing and understanding the reference documents (see Appendix A) of this Request for Qualification, and all relevant and applicable local, state and federal laws.

4.1.2 Develop solid waste management program goals, SMART objectives and action items with input from City staff, the Ad Hoc Solid Waste Management Plan Advisory Committee (SWMPAC), residents, businesses and other interested parties. The SWMPAC is a committee that will be appointed by the Mayor and composed of members that represent the SWMD, City of Houston Legal Department, Houston Independent School District (HISD), the Houston-Galveston Area Council (H-GAC), the environmental and sustainability community, residents, businesses and the solid waste industry. The SWMPAC will guide the development of the plan and ensure extensive public participation in the plan’s development.

4.2 Related Deliverables:

4.2.1 The Contractor shall be responsible in consultation with the City’s project manager for arranging and facilitating a project orientation meeting and tour with City staff.

4.2.2 The Contractor shall prepare meeting minutes of the project orientation meeting with City staff.

4.2.3 The Contractor shall prepare a memorandum listing the draft solid waste management program goals and SMART objectives in an MSWord format or any other easily convertible format. The goals, presented to, and edited by staff, will be incorporated in the final Solid Waste Management Plan.

5.0 SOLID WASTE FACILITY INVENTORY

5.1 The Contractor shall conduct an inventory of the characteristics of solid waste facilities that are available in the region to use; characteristics include but are not limited to remaining and projected capacity, life
expectancy, overview of operations, location and transportation costs, environmental impact of using, operating costs, and other pertinent information.

5.1.1 Types of facilities located in the region that are to be inventoried include: municipal solid waste landfills (Type I); waste-to-energy facilities; transfer stations; recycling facilities (all types); recycling drop off centers; Material Recovery Facilities (MRFs); construction, demolition and debris landfills (Type IV); ash management facilities; household hazardous waste management facilities; used oil recycling; waste tire management; battery recycling and litter control practices. This list may not be inclusive; the Contractor will be responsible for ensuring that all facilities are identified and accurately designated.

5.1.2 Medical waste management facilities and hazardous waste treatment, storage and disposal facilities (TSDFs) should be included in the inventory for informational purposes but a complete evaluation of these waste facilities is not required for the Plan.

5.1.3 Operational details of each facility and any limiting factors that may inhibit current or future operations must be provided. Annual tonnage limits or limits on emissions which control the amount of municipal solid waste that can be managed should be clearly identified to determine future capacities and opportunities for continued reliance on these facilities.

5.1.4 Any facility proposed for use by the City will be evaluated to determine operating conditions, materials handled, and capacity availability.

5.1.5 The effect of regulations and their impact on solid waste facilities. Any changes that have affected solid waste management solutions and operational costs and enforcement procedures.

5.2 Related Deliverables:

5.2.1 The Contractor shall prepare a findings report containing the information in an MSWord format or any other easily convertible format. The findings, presented to, and edited by City staff, will be incorporated in the final Plan.

6.0 WASTE QUANTITIES AND PROJECTIONS

6.1 The Contractor shall analyze existing solid waste and recycling data, estimate waste quantities and material types, project the waste stream during the Plan period and prepare a findings report. This will include at a minimum the following:

6.1.1 Review existing solid waste and recycling data and audit data collection and storage procedures. Determine and recommend data management procedures for the ongoing collection, tracking, management, and reporting of solid waste of each type produced within the area of the solid waste management plan.

6.1.2 Project the waste stream for the next 20 years using information such as, TCEQ and EPA data, population growth, transportation systems, geographic factors, open space and preservation, and other enforcement codes, and any other information that is useful in determining solid waste generated in the City. Significant information is available from the City’s Planning & Development Department.

6.1.3 Estimate waste generation activities and rates from the residential, commercial and industrial sectors to determine future waste generation rates and material types to be characterized. Prepare strategies to accommodate all municipal solid waste, construction, demolition and debris, and recyclables generated in the City using data compiled during the previous task.
6.1.4 Clearly state the methodologies utilized; TCEQ, EPA etc. utilized to calculate waste generation quantities, both existing and projected as required in the Plan. The methodologies must reference the source of data and all assumptions clearly identified to allow City staff to easily replicate and validate any estimated waste quantities referenced in the Plan. The Plan shall include sensitivity analysis to show the impact of strategic drivers on the waste quantities and shall include recommendations to manage and where necessary, mitigate waste quantities where they are deemed to have negative financial or environmental impacts on the City.

6.1.4.1 Waste generation quantities for each individual type of solid waste generated must be clearly identified. This analysis will aid in determining any gaps, if any, that currently exists in the management of the different waste types; identify and recommend policies and procedures to manage and mitigate, where necessary each waste type.

6.1.4.2 This portion of the work effort must clearly show the existing waste generation rates and the future rates for each individual commodity and tie both of the rates to the existing and proposed future waste management practices. This evaluation will result in recognition of waste management practices that are satisfactory for the volume generated and those practices where sufficient capacity is unavailable. The identification of gaps in both the existing and future waste management practices for each individual commodity will define the need for sufficient waste management capacities to accommodate the quantities generated in the future.

6.2 Related Deliverables:

6.2.1 The Contractor shall prepare a findings report containing the information in an MSWord format or any other easily convertible format. The findings, presented to, and edited by City staff, will be incorporated by the Contractor into the final Solid Waste Management Plan.

7.0 WASTE MANAGEMENT ACTIVITY ANALYSIS

7.1 The Contractor will use the 20-year solid waste generation rates estimated during the prior task as a basis to review the current system of waste management activities, and prepare a findings report.

7.2 The Contractor will also identify and project source reduction initiatives that could impact the waste stream, research emerging technologies that may become available to manage solid waste and identify and project future potential markets for recyclables.

7.3 The Contractor will also determine if there is sufficient disposal capacity to meet the City’s needs once source reduction, recycling and diversion activities have been exhausted.

7.4 The Contractor will also determine if there is a need for regulation(s) or sustaining fees for program management.

7.5 The following list will be used as a guide to document and describe existing and potential waste management activities. Much of this information can be obtained from City staff. The City will rely on the Contractor to provide additional pertinent information as necessary.

7.5.1 SOURCE REDUCTION

7.5.1.1 Survey and describe existing and planned City programs.

7.5.1.2 Identify State/City policies and regulations regarding source reduction.

7.5.1.3 Identify current public education efforts.
7.5.1.4 Identify future programs for consideration.

7.5.2 REUSE & RECYCLING

7.5.2.1 Describe current programs.

7.5.2.2 Describe new, planned or expanded programs.

7.5.2.2 Investigate barriers to and needs for market development.

7.5.2.3 Develop listing of existing markets for recyclables in the area.

6.5.2.5 Identify and describe potential viable reuse and recycling options for implementation in the City of Houston.

7.5.3 COLLECTION AND TRANSFER OPERATIONS

7.5.3.1 Identify existing collection practices and transfer operations.

7.5.3.2 Identify opportunities for environmental benefits and safety regarding collection practices.

7.5.3.3 Identify and describe viable collection practice options for implementation in the City of Houston.

7.5.3.4 Identify fees required, if any, to maintain the City’s collection and transfer operations over the next twenty (20) years and best practices.

7.5.4 ENERGY/RESOURCE RECOVERY

7.5.4.1 Describe the operations and capacity of the landfills within the H-GAC; remaining useful lives and closure requirements; ash disposal plans (brief description of possible reuses of ash); recovery and sale of ferrous and nonferrous metals; inspection for and removal of hazardous materials;

7.5.4.2 Identify and describe any viable options for backup capacity.

7.5.4.3 Describe current and projected landfill and operation, past, current and projected rate of use.

7.5.4.4 Describe current and future regulatory environment and needs of the City to maintain compliance with these evolving regulations.

7.5.5 IDENTIFY AND DESCRIBE ANY OPTIONS FOR BACKUP CAPACITY

7.5.5.1 Describe current and projected landfill and operations; past, current and projected rate of use; remaining useful life and closure requirements.

7.5.5.2 Identify and describe any options for backup capacity.

7.5.6 CONSTRUCTION AND DEMOLITION DEBRIS LANDFILLS (TYPE IV)

7.5.6.1 Describe current Type IV landfills and practices; current rate of use; estimate of remaining useful life; assessment of future needs.
7.5.6.2 Project the effect(s) and impact(s) of closing one or more Type IV landfills on the remaining landfills.

7.5.6.3 Discuss efforts that would promote source reduction, reuse and recycling.

7.5.6.4 Identify potential changes in landfill operation as a result of possible new regulations.

7.5.6.5 Identify and describe viable options for construction and demolition debris management, Reuse and Recycling.

7.5.7 LITTER CONTROL

7.5.7.1 Describe the extent of illegal disposal.

7.5.7.2 Describe current litter control programs.

7.5.7.3 Identify and describe other viable initiatives for litter control.

7.5.7.4 Identify and describe regulatory program needs to include best practices and funding methodologies and options.

7.6 Related Deliverables:

7.6.1 The Contractor shall prepare a findings report containing the information in an MSWord format or any other easily convertible format. The findings will be reviewed by City staff before they are incorporated by the Contractor into the final Solid Waste Management Plan.

8.0 STRATEGIC ANALYSIS

8.1 The Contractor will analyze the information collected, current solid waste activities, and future projections to determine the gap between the City’s solid waste management practices/resources today and where the City needs to be moving during the next 20 years.

8.1.1 This strategic analysis will be completed in coordination with City staff. Various solid waste options and scenarios will be explored, described, and evaluated. Strategic planning relies on the ability of the investigators to be knowledgeable about new technologies and relevant proposed and potential regulatory programs that may materially affect the future of solid waste management. These potential regulatory programs must be identified and their effect on solid waste management practices must be adequately described to help determine the viability and reliability of any strategy recommended for the 20-year term of the plan.

8.1.2 Recommendations will be made as to the best strategies to employ during the Plan period while complying with the intent of the regulations to protect public health, public safety, the environment and natural resources.

8.2 Related Deliverables:

8.2.1 The Contractor shall prepare a findings report containing the information in an MSWord format or any other easily convertible format. The findings will be reviewed by City staff before they are incorporated by the Contractor into the final Solid Waste Management Plan.
9.0 SOLID WASTE MANAGEMENT PLAN ADOPTION:

9.1 The Contractor will prepare a draft and final Solid Waste Management Plan suitable for submission to the Mayor and City Council. This Plan must incorporate the information gained in the activities above in terms of the inventory and analysis of current facilities and programs, current and projected waste generation rates, the strategic research and alternatives, and the information gained from staff meetings and public outreach. The draft of the Plan is due to the City by twelve (12) months after a contract countersignature date, and the final document incorporating other comments must be completed by eighteen (18) months after a contract countersignature date, for submission to the Mayor and City Council. Twenty-five (25) copies of the draft and final documents must be delivered in presentation quality in a bound format. Electronic copies (MSWord and PDF) of the draft and final Plan will also be submitted.

9.1.1 The Plan will incorporate the research, data compilation, analysis, strategic planning and evaluation to demonstrate integrated waste management practices for the term of the Plan. Alternative approaches to current practices will be explored and evaluated.

9.1.2 The Plan must clearly indicate for each individual waste or recyclable material to be generated in the City, the quantity of material to be generated, how that quantity could be managed during the 20-year term and where that waste management technique will be accomplished.

9.1.3 Transportation factors, which influence waste management decisions, must be incorporated into the evaluation, including waste collection processes. Additionally, all waste management activities evaluated for plan development must identify the potential environmental issues of that solid waste management practice.

9.1.4 The Plan must clearly define the City's solid waste management goals, SMART objectives and actions. See the Appendix A of this Request for Qualification for definitions and examples.

9.1.5 The Plan must include a detailed implementation strategy for the 20-year term that will enable the City to accomplish the goals and objectives identified in the Plan. The implementation strategy must include the following:

9.1.5.1 Prioritized actions (giving preference to activities in the following order of priority: source reduction, reuse, recycling, resource recovery, incineration and landfilling) and the associated goal and objective(s) that it will help achieve.

9.1.5.2 Implementation schedule of the actions identified in the plan, including milestones towards meeting the goals and objectives of the Plan and the parties responsible for meeting each milestone.

9.1.5.3 Identify best practices for the funds and resources necessary for implementing the actions identified in the Plan and strategies for obtaining the funding Houston needs.

9.1.5.4 A framework for monitoring and evaluating implementation performance.

9.1.6 The Plan will be formatted according to a pre-approved outline designed jointly between the Contractor and the City. The reason for agreeing on the outline is to ensure that all regulatory requirements are met in an easily understandable, well-organized approach. This outline will form the Table of Contents for the document, which must include page numbers and tabs with individual section titles. The Table of Contents will also include comprehensive lists of figures and tables, each of which will include the figure/table number, its title and its corresponding page number. The City requests that the Contractor include graphic depictions to enhance the clarity of the concepts and information embodied in the document. The Plan will include an Executive Summary, which can serve as a stand-alone document summarizing the City’s Plan.
9.1.7 The Plan is not complete until the Mayor and City Council accepts it via Council Motion or Resolution.

9.2 Related Deliverables:

9.2.1 A draft Table of Contents including comprehensive lists of figures and tables, each of which will include the figure/table number, its title and its corresponding page number.

9.2.2 Twenty-five (25) draft copies of the Plan to be used during the Public Hearing and comment period and twenty-five (25) final copies of the Solid Waste Management Plan, bound and ready for submission to the Mayor and City Council.

9.2.3 Electronic (MSWord and PDF) files of the draft and final Plan.

10.0 PUBLIC OUTREACH

10.1 The Contractor shall propose a broad-based public outreach process that specifies how and when the public (including residents, business owners, and other interested parties) will be engaged throughout the Project. The Contractor shall specify the methods it will use to achieve meaningful public participation in the Project. The Contractor shall consider multiple means of obtaining input both during and outside of identified meetings. The Contractor shall provide a description of how it will use web-based services, social media, and other digital means of communication for public outreach and feedback. The successful Contractor will also participate with City staff during meetings of the SWMD.

10.2 Related deliverables:

10.2.1 The Contractor shall provide the City with a public outreach plan for City review and approval that includes a detailed strategy and timeline for engaging the public and all stakeholders in the Project. The public outreach plan shall include the orientation strategy to introduce the Project to the public.

10.2.2 The Contractor shall implement its City-approved public outreach plan. The Contractor in consultation with the City’s project manager shall be responsible for arranging and facilitating all public meetings/presentations. The Contractor shall be responsible for producing meeting materials (including meeting minutes), visual presentations, or any other resources or material necessary to engage the public.

10.2.3 A summary report of the information and views presented by citizens during public outreach, using MS Word format. The findings will be incorporated in the final Solid Waste Management Plan, after staff review. The public outreach process and summary of comments will be addressed in the final Solid Waste Management Plan.

11.0 PROJECT MANAGEMENT

11.1 The Contractor must manage this project so the final Solid Waste Management Plan will be completed on time as specified in any resulting contract. Quality control and project management processes for completing this project will be expected and should be explained in the Submittal.

11.2 The Contractor must submit monthly status reports about the progress made toward accomplishing the tasks, draft findings and recommendations, issues identified, delays encountered in the accomplishing the work, and a current work plan and timeline for the project.

11.3 The Contractor must attend and record notes from project meetings, the frequency of which will be negotiated with City staff.
11.4 Related Deliverables:

11.4.1 Project management shall include written monthly status reports, current work plan, timeline, and notes from project meetings.

PART III – SUBMITTAL CONTENT AND ORGANIZATION

Submittal shall respond fully to this RFQ, and the information provided shall be organized and provided in the following order and tabbed as follows:

1.0 Table of Contents

1.1 The Table of Contents shall indicate the below required material included in the Submittal by Tab and page number.

2.0 Offer & Submittal Form

2.1 SUBMITTAL MUST BE SIGNED AND NOTORIZED BY AN AUTHORIZED REPRESENTATIVE(S) OF THE RESPONDENT, WHICH MUST BE THE ACTUAL LEGAL ENTITY THAT WILL PERFORM THE CONTRACT IF AWARDED. (EXHIBIT I-A).

3.0 Executive Summary (max. two (2) pages)

3.1 The Executive Summary shall contain complete legal name of Respondent, and all proposed subcontractors, company profile, and length of time in business. The Executive Summary shall abridge Respondent's overall capabilities, capacity and proposed approach for accomplishing the services specified herein.

4.0 Experience and Qualifications of Respondent

4.1 The Respondent shall submit a listing of all contracts awarded to the firm by local governmental agencies in the last seven (7) years to substantiate the firm meets the mandatory requirements of the solicitation. Each listing shall include the following:

a. Name of jurisdiction or governmental agency that awarded the contract;

b. Date the contract was awarded;

c. Title of the contract awarded; and

d. Contact person that can verify the information (include person’s email address and phone number. Nonworking phone numbers and emails will nullify the project as counting towards experience.

4.2 The Respondent shall submit three (3) sample projects that were awarded to the firm by another jurisdiction. At least one project shall have been completed within the past five (5) years. The following information must be submitted for each project:

a. Name of jurisdiction or governmental agency that awarded the project;

b. Date of the award;

c. Scope of the project;
d. Initial and final duration of the project;

e. Initial and final award amount; and

f. Contact person that can verify the information. Include person’s email address and phone number. Nonworking phone numbers and emails will nullify the project as counting towards experience.

4.3 The Respondent shall have proven management skills and technical competence including specialized experience in the development of solid waste management plans and implementation for various municipalities.

4.4 Respondent shall have demonstrated performance in providing well organized, accurate and fully coordinated planning documents with projects completed on time and within budget. Respondent shall submit a listing of relevant contracts that were awarded to the firm by other jurisdictions for similar work as those contained in this RFQ. This referenced contract shall demonstrate applicable skills and experience to successfully complete the scope of work described in this RFQ. The listing shall indicate:

a. Services provided by the Respondent;

b. For whom the work was performed (include name of jurisdiction or company, contact person and that person’s email address and phone number, inactive emails and phone numbers will be deduction of points);

c. Identify the strength and weakness of the services provided under the listed work, and why it was rated as such; and

d. Copy of the organizational structure (i.e. organizational chart) and primary office locations of the project team personnel.

5.0 Experience and Qualifications of Project Team (max. four (4) pages in addition to one (1) page resumes)

5.1 A list of key personnel proposed to be assigned to perform Work under the Contract, including direct supervisors and key technical personnel, account manager(s) and staff;

5.2 Individual resumes with office locations for the assigned staff and identification of role in the requested scope of work, including subcontractors.

5.3 The name of the proposed contract administrator and a description of his or her experience with similar contracts, including contracts with public sector organizations;

5.4 The name of the individual who will be responsible for customer service and problem resolution for the Respondent and a description of his or her relevant experience; and

5.5 The key personnel named in Respondent’s Submittal shall remain on the Contract throughout the term of the Contract. No diversion or replacement may be made without City Project Manager’s prior approval.

6.0 Methodology and Approach of Delivery of Services (max. six (6) pages)

6.1 Respondents shall provide a work plan in sufficient detail by appropriate reference of the Scope of Work described in Part II, their understanding of the scope, technical requirements and the proposed approach to fulfil the requirements of the project.
6.2 The Respondent shall demonstrate their familiarity with the City of Houston solid waste management processes, state and federal rules and regulation surrounding solid waste management.

6.3 Respondents shall describe their quality-assurance/quality control (QA/QC) program and indicate how the program will be applied to the delivery of the required services.

6.4 Include a project management chart detailing all major tasks and subtasks, deliverables and other critical path items.

6.5 Detail any concerns or potential risks your firm foresee with the Scope of Work described in this RFQ, including your firm’s proposed solutions to mitigate those risks and or concerns.

6.6 The City expects to conduct the Project over a period of no longer than eighteen (18) months. Respondent shall submit a proposed schedule to complete the entire project within this time period. The project schedule shall address the proposed scope of work and include an approximate timeline for completing each of the individual tasks and deliverables for that task as described in the scope of work. Demonstrate project team’s capability of timely response and ability to meet milestones.

7.0 Appendices

7.1 The content of this tab is left to the Respondent's discretion. However, the Offeror should limit materials included here to those that will be helpful to the City in understanding the services proposed.

8.0 Respondent References

8.1 Provide reference information that includes the company name, address, phone number, contact person, contact person phone number and email. (EXHIBIT I-B)

8.2 References contacts must be people that were directly involved in the previous projects listed and who have first-hand knowledge of the performance of the Respondent and its proposed staff/team. The City will contact the references to verify the information Respondent provided and/or to solicit comments

9.0 Required Forms with Submission:

9.1 List of Proposed Subcontractors (Exhibit I-C)


9.3 Affidavit of Ownership (Exhibit III)

9.4 Anti-Collusion Statement (Exhibit IV)

9.5 Conflict of Interest Questionnaire (Exhibit V)

9.6 Respondent Contact Directory (Exhibit VI)

9.7 Required Submittal Checklist (Exhibit VII)

*NOTE: Exhibits I - V are available at the City of Houston Strategic Procurement Forms website: [http://purchasing.houstontx.gov/forms.shtml](http://purchasing.houstontx.gov/forms.shtml)
Exhibit VI is uploaded in Word format under the RFQ.

10.0 Pricing/fee Schedule:

10.1 Detailed pricing/fee schedule shall be submitted in a separate sealed envelope from the qualifications submittal package. The pricing/fee schedule shall be submitted in the following format:

10.1.1 Outline of individual tasks in the scope of work

10.1.2 Hourly rates and the number of hours by task assigned to individual members of the team

10.1.3 Work assigned to subcontractors

10.1.4 List of direct expenses (i.e. duplication, printing, express mail, etc., must be specific)

10.1.5 Travel expenses (include rationale of this request)

PART IV – RESPONDENT SUBMISSION INSTRUCTIONS

1.0 General Information

1.1 Number of Copies: Submit six (6) copies of your Submittal, including one (1) printed original signed in BLUE ink, and additional six (6) electronic thumb drives submitted in a sealed envelope bearing the assigned solicitation number located on the first page of this RFQ solicitation document to:

1.1.1 Office of the City Secretary
   City Hall Annex, Public Level
   900 Bagby Street
   Houston, Texas 77002

1.1.2 The City of Houston shall bear no responsibility for submitting responses on behalf of any Respondent.

1.2 Pricing/fee Schedule: Detailed pricing/fee schedule shall be submitted in a separate sealed envelope from the qualifications submittal package.

1.3 Time for Submission. Submissions shall be submitted no later than the date and time indicated for submission within this RFQ. Late Submittals shall not be considered and shall be returned, unopened.

1.4 Format. Submission shall be left-bound with information presented on double-sided pages. Material shall be organized to mirror the sequential order of the submission requirements and separated by labeled tabs. Expensive paper and binders are discouraged since submitted materials shall not be returned.

1.5 Complete Submission. Respondents shall carefully review all requirements and submit all documents and information as instructed within this RFQ. Incomplete submissions may result in submissions being deemed non-responsive, and may not be considered for further evaluation.

1.6 Packaging and Labeling. Respondent’s package shall clearly indicate name of Respondent, title and number of RFQ, and a due date and time for submission deadline. All listed submission requirements shall be included within the submitted response.

1.7 Timely Delivery of Submissions. The Respondent’s submission with their signed Offer and Submittal Form shall be delivered by hand or to the address shown on the cover sheet of this RFQ. (Include the
RFQ number on all packages delivered.) If using an express delivery service, the Respondent’s package shall be delivered to the designated address listed on page seven (7). Packages delivered by express mail services to other off-site City mailroom locations may not be re-delivered on time to be considered for further consideration.

1.8 Late Submissions. The Respondent is responsible for ensuring that its submission is received at the time, date, place, and office specified on page nine (9). The City assumes no responsibility for any submission not received, regardless of whether the delay is caused by the U.S. Postal Service, a courier delivery service, or by some other act or circumstance.

PART V – EVALUATION AND SELECTION PROCESS

1.0 An evaluation committee shall evaluate Respondents’ submissions in accordance with the evaluation criteria listed in Part VI. Upon completion of the evaluation, the committee may develop a short list of Respondent(s) meeting the technical competence requirements. The shortlisted Respondent(s) may be scheduled for a structured oral presentation, demonstration, interview and negotiations, and be at no cost to the City of Houston. Following these City-to-Respondents’ meetings, the evaluation team will summarize their findings and recalculate their scores, if needed. However, the evaluation committee reserves the right to issue letter(s) of clarification when deemed necessary to any or all Respondent(s). The oral presentations, demonstrations and/or interviews may be recorded and/or videotaped.

1.1 Interviews/Oral Presentations/Demonstrations

1.1.1 The City reserves the right to request and require that each Respondent meet with the evaluation committee to further discuss their submission at a later scheduled date and time. No Respondent is entitled to this opportunity, and no Respondent shall be entitled to attend presentations of any other Respondent. If necessary, Respondents may be required to meet with the evaluation committee more than once.

1.2 Selection Process

1.2.1 Upon review of all information provided by shortlisted Respondents, the evaluation committee shall make a recommendation for selection to City officials. The City reserves the right to check references on any projects performed by the respondent whether provided by the Respondent. Selected Respondent will be submitted for approval by the appropriate City officials. The City of Houston intends to select a Respondent that best meets the City’s needs and provides the overall best value. Upon approval of the selected Respondent, a contract will be executed by the appropriate City officials.

1.3 Best and Final Offer

1.3.1 City reserves the right to request a Best and Final Offer (BAFO) after finalist Respondent(s) clarifying points, if necessary.

1.3.2 Upon receipt of all BAFO’s, the evaluation committee shall re-evaluate final responses. Typically, the turnaround time for responding to the City’s BAFO is generally five (5) to seven (7) business days.

PART VI – EVALUATION CRITERIA

1.0 Mandatory Requirements (Pass/Fail)

2.0 Experience and Qualifications of Respondent (30 Points)

3.0 Experience and Qualifications of Proposed Team (20 Points)
4.0 Methodology and Approach of Delivery of Services (35 Points)

5.0 Overall Quality and Completeness of Submittal (15 Points)

6.0 M/WBE Participation (Pass/Fail)

PART VII – SPECIAL CONDITIONS

1.0 No-Contact Period

1.1 Neither Respondent(s) nor any person acting on Respondent(s)’s behalf shall attempt to influence the outcome of the award by the offer, presentation or promise of gratuities, favors, or anything of value to any appointed or elected official or employee of the City of Houston, their families or staff members. All inquiries regarding the solicitation are to be directed to the designated City Representative identified on the first page of the solicitation. Upon issuance of the solicitation through the pre-award phase and up to the date the City Secretary publicly posts notice of any City Council agenda containing the applicable award, aside from bidder’s formal response to the solicitation, through the pre-award phase, written requests for clarification during the period officially designated for such purpose by the City Representative, neither Respondent(s) nor persons acting on their behalf shall communicate with any appointed or elected official or employee of the City of Houston, their families or staff through written or oral means in an attempt to persuade or influence the outcome of the award or to obtain or deliver information intended to or which could reasonably result in an advantage to any bidder. However, nothing in this paragraph shall prevent a bidder from making public statements to the City Council convened for a regularly scheduled session after the official selection has been made and placed on the City Council agenda for action, or to a City Council committee convened to discuss a recommendation regarding the solicitation.

2.0 Equal Opportunity Employment

2.1 The City of Houston Ordinance Section 15-17 establishes Equal Employment Opportunity Contract Compliance requirements for all City of Houston contracts involving the expenditure of Fifty Thousand Dollars ($50,000) or more. Any contract for professional services that results from this RFQ will provide that the failure to carry out the requirements set forth in the City of Houston Equal Employment Opportunity Program shall constitute a breach of contract and may result in termination of the agreement or contract. In addition, the City may take any such additional remedy as deemed appropriate.

3.0 Minority and Woman Business Enterprises (M/WBE)

3.1 Contractor shall comply with the City’s Minority and Women Business Enterprise (“MWBE”) program requirements as set out in Chapter 15, Article V of the City of Houston Code of Ordinances. The MWBE goal on this project is 11% of the contract. Contractor shall make good faith efforts to award subcontracts or supply agreements in at least 11% of the value stated in this Agreement to MWBE’s. Contractor acknowledges that it has reviewed the requirements for good faith efforts on file with the City’s Office of Business Opportunity (OBO) and shall comply with them.

4.0 Protests

4.1 An interested party may file a protest on the basis that the City has failed to comply with applicable federal or state law or with City ordinances. The subject of the protest shall be limited to fraud, corruption, or illegal acts undermining the objectivity and integrity of the procurement process. A protest must be filed in accordance with the timing requirements set forth herein and must include:
4.1.1 The name, address, telephone number, and email address of the protestor.
4.1.2 The number of the solicitation.
4.1.3 Information confirming that the protestor is an interested party.
4.1.4 A written statement of the grounds for the protest and the law or ordinance alleged to have been violated. The statement shall be accompanied by relevant supporting documentation and the relief requested.
4.1.5 The signature of the protestor.

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

4.3 The City recognizes three types of protests:

4.3.1 Protests regarding solicitation (Pre-Submission Protest).

4.3.2 Any Pre-Submission Protest regarding a solicitation published by the City shall be filed no later than five days before the opening of bids (if a competitive bid), or due date for Submittals of an RFQ.

4.3.3 Protests regarding the evaluation or rejection of bids, qualifications, or proposals (Pre-Award Protest).

4.3.4 Any Pre-Award Protest regarding the evaluation of bids, qualifications, or proposals by the City must be filed no later than five business days prior to the City Council meeting at which the award appears on the agenda.

4.4 Protests made after City Council’s decision to award a contract (Post-Award Protest):

4.4.1 Any protest regarding the award of a contract must be submitted no later than five calendar days after the date of the award.

4.5 Any protest received after the applicable deadline will not be considered.

PART VIII – INSTRUCTIONS TO RESPONDENTS

1.0 Pre-Submission Conference

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

2.0 Additional Information and Specification Changes

2.1 Requests for additional information and questions shall be addressed to the Finance Department, Strategic Procurement Division Buyer Elnora Williams, telephone: 832.393.0209, or e-mail (preferred method to): elnora.williams@houstontx.gov no later than 2:00 P.M., CST Friday, June 16, 2017. The City of Houston shall provide written responses to all questions received in writing before the Submittal deadline. Questions received from all Respondent(s) shall be answered and sent to all Respondent(s) who are listed as having obtained the RFQ. Respondent(s) shall be notified in writing of any changes in the specifications contained in this RFQ.
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 RFQ should be used in preparing Submission responses.

3.2 The City does not assume responsibility for the receipt of any Letters of Clarification sent to Respondent(s).

4.0 Examination of Documents and Requirements

4.1 Each Respondent shall carefully examine all RFQ documents and thoroughly familiarize themselves with all requirements prior to submitting a Submission to ensure that the Submission meets the intent of this RFQ.

4.2 Before submitting a Submission, each Respondent shall be responsible for making all investigations and examinations that are necessary to ascertain conditions and affecting the requirements of this RFQ. Failure to make such investigations and examinations shall not relieve the Respondent from obligation to comply, in every detail, with all provisions and requirements of the RFQ.

5.0 Exceptions to Terms and Conditions

5.1 All Exceptions included with the Submission shall be submitted in a clearly identified separate Section of the Submission in which the Respondent clearly cites the specific paragraphs within the RFQ where the Exceptions occur. Any Exceptions not included in such a section shall be without force and effect in any resulting contract unless such Exception is specifically referenced by the Chief Procurement Officer, City Attorney, Director(s) or designee in a written statement. The Respondent’s preprinted or standard terms will not be considered by the City as a part of any resulting contract.

5.2 All Exceptions that are contained in the Submission may negatively affect the City’s Submission evaluation based on the evaluation criteria as stated in the RFQ, or result in possible rejection of Submission.

6.0 Post-Submission Discussions with Respondent(s)

6.1 It is the City’s intent to commence final negotiation with the Respondent(s) deemed most advantageous to the City. The City reserves the right to conduct post-Submission discussions with any Respondent(s).

PART IX - REQUIRED FORMS TO BE SUBMITTED BY AWARDED CONTRACTOR ONLY

1.0 Required forms are available at the City of Houston Strategic Procurement Forms website: http://purchasing.houstontx.gov/forms.shtml

1.1 Certificate of Insurance and Applicable Endorsements.

1.2 Drug Compliance Agreement Attachment “A,” Drug Policy Compliance Declaration Attachment “B,” and Contractor’s Certification of No Safety Impact Positions Attachment “C” and “D”.

1.3 City Contractors’ Pay or Play Program Acknowledgement Form-1, and Pay or Play Certification of Compliance Form-2.

1.4 Hire Houston First Affidavit:

1.4.1 Download Copy at: [http://www.houstontx.gov/obo/hirehoustonfirst.html](http://www.houstontx.gov/obo/hirehoustonfirst.html) and submit to Office of Business Opportunity, Houston Business Solutions Center by e-mail to [houstonbsc@houstontx.gov](mailto:houstonbsc@houstontx.gov) or by fax to 832-393-0650, or submit copy with Response.

1.5 Certificate of Interested Parties Form (Form 1295)

1.5.1 Download form at: [https://www.ethics.state.tx.us/forms/1295.pdf](https://www.ethics.state.tx.us/forms/1295.pdf)

1.6 Requested information outlined in the scope of work and other additional relevant/supporting information, or alternate submissions.

**PART X – GENERAL TERMS AND CONDITIONS – SAMPLE CONTRACT (ATTACHMENT I)**

1.0 Sample Contract attached under solicitation file.

REMAINING PORTION OF PAGE INTENTIONALLY LEFT BLANK
EXHIBIT I-A
OFFER AND SUBMITTAL

NOTE: SUBMISSION MUST BE SIGNED AND NOTARIZED BY AN AUTHORIZED REPRESENTATIVE(S) OF THE RESPONDENT, WHICH MUST BE THE ACTUAL LEGAL ENTITY THAT WILL PERFORM THE CONTRACT IF AWARDED. WHEN THE TOTAL FIXED PRICE IS PROVIDED, IT SHALL REMAIN FIRM FOR A PERIOD OF ONE-HUNDRED EIGHTY (180) DAYS.

"THE RESPONDENT WARRANTS THAT NO PERSON OR SELLING AGENCY HAS BEEN EMPLOYED OR RETAINED TO SOLICIT OR SECURE THIS CONTRACT UPON AN AGREEMENT OR UNDERSTANDING FOR A COMMISSION, PERCENTAGE, BROKERAGE, OR CONTINGENT FEE, EXCEPTING BONA FIDE EMPLOYEES. FOR BREACH OR VIOLATION OF THIS WARRANTY, THE CITY SHALL HAVE THE RIGHT TO ANNUL THIS AGREEMENT WITHOUT LIABILITY OR, AT ITS DISCRETION, TO DEDUCT FROM THE CONTRACT PRICES OR CONSIDERATION, OR OTHERWISE RECOVER THE FULL AMOUNT OF SUCH COMMISSION, PERCENTAGE, BROKERAGE OR CONTINGENT FEE."

Respectfully Submitted:

____________________________________________________________________________________
(Print or Type Name of Contractor – Full Company Name)

City of Houston Vendor No. (If already doing business with City):
______________________________________________________________________________

Federal Identification Number:
____________________________________________________________________________________

By: _____________________________________________________________________________
(Signature of Authorized Officer or Agent)

Printed Name: ___________________________________________________________________
Title: __________________________________________________________________________
Date: __________________________________________________________________________

Address of Contractor:
Street Address or P.O. Box
City – State – Zip Code

Telephone No. of Contractor: (_____) _________________________________________________

Signature, Name and title of Affiant: __________________________________________________

(Notary Public in and for)
____________________________________________________________________________________
County, Texas

My Commission Expires: __________ day of ____________________________ 20
EXHIBIT I-B
REFERENCES
LIST OF PREVIOUS CUSTOMERS

1. Company Name: __________________________ Phone No.: ______________________
   Address: __________________________________________________________________________________
   Contact Name/Title: __________________________ Contact Phone No.: ______________________
   Contact Email: _____________________________________________________________________________
   Project Name/Title: _________________________________________________________________________
   Award Date: ___________________________ Completion Date: __________________________
   Description: ______________________________________________________________________________

2. Company Name: __________________________ Phone No.: ______________________
   Address: __________________________________________________________________________________
   Contact Name/Title: __________________________ Contact Phone No.: ______________________
   Contact Email: _____________________________________________________________________________
   Project Name/Title: _________________________________________________________________________
   Award Date: ___________________________ Completion Date: __________________________
   Description: ______________________________________________________________________________

3. Company Name: __________________________ Phone No.: ______________________
   Address: __________________________________________________________________________________
   Contact Name/Title: __________________________ Contact Phone No.: ______________________
   Contact Email: _____________________________________________________________________________
   Project Name/Title: _________________________________________________________________________
   Award Date: ___________________________ Completion Date: __________________________
   Description: ______________________________________________________________________________

4. Company Name: __________________________ Phone No.: ______________________
   Address: __________________________________________________________________________________
   Contact Name/Title: __________________________ Contact Phone No.: ______________________
   Contact Email: _____________________________________________________________________________
   Project Name/Title: _________________________________________________________________________
   Award Date: ___________________________ Completion Date: __________________________
   Description: ______________________________________________________________________________
EXHIBIT I-C  
LIST OF SUBCONTRACTOR(S)

The following is a list of Subcontractors we propose to engage on the following items of Work. Any item of Work which does not designate a Subcontractor will be done by the firm submitting the Submission.

<table>
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<th>SEGREGATED PART OF WORK</th>
<th>SUBCONTRACTOR/SUPPLIER</th>
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**EXHIBIT II**
**ATTACHMENT “A”**
**SCHEDULE OF M/WBE PARTICIPATION**

**DATE OF REPORT:** _________________________________

**BID NO.:** _________________________________

**FORMAL BID TITLE:** ________________________________

<table>
<thead>
<tr>
<th>NAME OF MINORITY/WOMEN SUBCONTRACTOR</th>
<th>OFFICE OF BUSINESS OPPORTUNITY CERTIFICATION NO.</th>
<th>STREET ADDRESS AND CITY, STATE, ZIP CODE</th>
<th>TELEPHONE NO.</th>
<th>SCOPE OF WORK</th>
<th>AGREED PRICE</th>
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**TOTAL...........................................................................** $__________

**M/WBE PARTICIPATION AMOUNT......................................** $__________%

**TOTAL BID AMOUNT..................................................** $__________
IF YOU HAVE USED YOUR BEST EFFORTS TO CARRY OUT THE CITY’S M/WBE POLICY BY SEEKING SUBCONTRACTS AND
SUPPLY AGREEMENTS WITH MINORITY AND WOMEN BUSINESS ENTERPRISES, YET FAILED TO MEET THE STATED
PERCENTAGE GOAL OF THIS BID DOCUMENT, LIST BELOW YOUR GOOD FAITH EFFORTS FOR COMPLIANCE (DEFINITION OF
REQUIREMENTS CAN BE OBTAINED THROUGH THE OFFICE OF BUSINESS OPPORTUNITY AT (713) 837-9000).

THE UNDERSIGNED WILL ENTER INTO A FORMAL AGREEMENT WITH THE MINORITY AND/OR WOMEN SUBCONTRACTORS AND
SUPPLIERS LISTED IN THIS SCHEDULE CONDITIONED UPON AWARD OF A CONTRACT FROM THE CITY.

NOTE:
ALL FIRMS LISTED ABOVE MUST BE CERTIFIED (OR ELIGIBLE FOR CERTIFICATION) BY THE OFFICE OF BUSINESS OPPORTUNITY.
THIS SCHEDULE OF M/WBE PARTICIPATION SHOULD BE RETURNED, IN DUPLICATE, WITH THE BID FORM.

BIDDER COMPANY NAME

SIGNATURE OF AUTHORIZED OFFICER OR AGENT OF BIDDER

NAME (TYPE OR PRINT)

TITLE
EXHIBIT II
ATTACHMENT “B”
OFFICE OF BUSINESS OPPORTUNITY AND
CONTRACT COMPLIANCE M/WBE UTILIZATION REPORT
NOTICE OF INTENT

THIS AGREEMENT IS SUBJECT TO MEDIATION AND CAN BE INITIATED BY THE COMPANIES SIGNED BELOW OR THE OFFICE OF BUSINESS OPPORTUNITY.

To: City of Houston
    Administering Department

Date: __________________________

Project Name and Number ____________________________________________

Bid Amount: ___________________ M/W/SBE Goal: ________________________

_____________________________________________________________________, agrees to enter into a contractual agreement with

Prime Contractor

____________________________________, who will provide the following goods/services in connection

MWSBE Subcontractor

with the above-referenced contract:

_____________________________________________________________________

for an estimated amount of $___________________ or ___________________% of the total contract value.

_______________________________________________________________________ is currently certified with the City of Houston’s Office of Business

(M/W/SBE Subcontractor) Opportunity to function in the aforementioned capacity.

_______________________________________________________________________ Intend to

Prime Contractor ___________________ M/W/SBE Subcontractor ___________________

work on the above-named contract in accordance with the M/W/DBE Participation Section of the City of Houston Bid Provisions, contingent upon award of the contract to the aforementioned Prime Contractor.

Signed (Prime Contactor) ___________________ Signed (M/W/SBE Subcontractor) ___________________

Printed Signature ___________________ Printed Signature ___________________

Title ___________________ Date ___________________ Title ___________________ Date ____________
EXHIBIT II
ATTACHMENT “C”
CERTIFIED M/WBE SUBCONTRACT TERMS

CITY OF HOUSTON CERTIFIED MWSBE SUBCONTRACT TERMS

Contractor shall ensure that all subcontracts with M/WSBE subcontractors and suppliers are clearly labeled “THIS CONTRACT IS SUBJECT TO MEDIATION” and contain the following terms:

1. _______________________(M/WSBE subcontractor) shall not delegate or subcontract more than 50% of the work under this subcontract to any other subcontractor or supplier without the express written consent of the City of Houston’s Office of Business Opportunity Director ("the Director").

2. _______________________(M/WSBE subcontractor) shall permit representatives of the City of Houston, at all reasonable times, to perform 1) audits of the books and records of the subcontractor, and 2) inspections of all places where work is to be undertaken in connection with this subcontract. Subcontractor shall keep such books and records available for such purpose for at least four (4) years after the end of its performance under this subcontract. Nothing in this provision shall affect the time for bringing a cause of action or the applicable statute of limitations.

3. Within five (5) business days of execution of this subcontract, Contractor (prime contractor) and Subcontractor shall designate in writing to the Director an agent for receiving any notice required or permitted to be given pursuant to Chapter 15 of the Houston City Code of Ordinances, along with the street and mailing address and phone number of such agent.

These provisions apply to goal-oriented contracts. A goal-oriented contract means any contract for the supply of goods or non-professional services in excess of $100,000.00 for which competitive submissions are required by law; not within the scope of the MBE/WBE/SBE program of the United States Environmental Protection Agency or the United States Department of Transportation; and which the City Chief Procurement Officer has determined to have significant MWSBE subcontracting potential in fields which there are an adequate number of known MBEs, WBE’s, and/or SBE’s (if applicable) to compete for City contracts.

The MWSBE policy of the City of Houston will be discussed during the pre-submission conference. For information, assistance, and/or to receive a copy of the City’s Affirmative Action Policy and/or Ordinance, contact the Office of Business Opportunity Division at 832.393.0600, 611 Walker Street, 7th Floor, Houston, Texas 77002.
EXHIBIT II
ATTACHMENT “D”
OFFICE OF BUSINESS OPPORTUNITY AND
CONTRACT COMPLIANCE M/WBE UTILIZATION REPORT

Report Period: _____________________

PROJECT NAME & NUMBER: ____________________________  AWARD DATE: ____________________________
PRIME CONTRACTOR: ____________________________  CONTRACT NO.: ____________________________
ADDRESS: ____________________________  CONTRACT AMOUNT: ____________________________
LIAISON/PHONE NO.: ____________________________  M/WBE GOAL: ____________________________

<table>
<thead>
<tr>
<th>M/WBE SUB/VENDOR NAME</th>
<th>DATE OF OBO CERTIFICATION</th>
<th>DATE OF SUBCONTRACT</th>
<th>SUBCONTRACT AMOUNT</th>
<th>% OF TOTAL CONTRACT</th>
<th>AMOUNT PAID TO DATE</th>
<th>% OF CONTRACT TO DATE</th>
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Use additional pages if needed. Submit by the 15th day of the following month.
Provide support documentation on all revenues paid to end of the report period to:
M/WBE’s to reflect up/down variances on Contract amount.

Office of Business Opportunity
ATTN: Carlecia Wright 713-837-9000
611 Walker, 7th Floor
Houston, Texas 77002
EXHIBIT III
AFFIDAVIT OF OWNERSHIP OR CONTROL

INSTRUCTION: ENTITIES USING AN ASSUMED NAME SHOULD DISCLOSE THAT FACT TO AVOID REJECTION OF THIS AFFIDAVIT. THE FOLLOWING FORMAT IS RECOMMENDED: CORPORATE/LEGAL NAME DBA ASSUMED NAME.

STATE OF __________________
COUNTY OF __________________

BEFORE ME, the undersigned authority, on this day personally appeared ________________________________
______________________________ [FULL NAME] (the “Affiant”), ________________________________
______________________________ [STATE TITLE/CAPACITY WITH CONTRACTING ENTITY] of ________________________________
______________________________ [CONTRACTING ENTITY’S CORPORATE/LEGAL NAME] (“Contracting Entity”), who being by me duly sworn on oath stated as follows:

1. Affiant is authorized to give this affidavit and has personal knowledge of the facts and matters herein stated.

2. Contracting Entity seeks to do business with the City in connection with ________________________________
______________________________ [DESCRIBE PROJECT OR MATTER] which is expected to be in an amount that exceeds $50,000.

3. The following information is submitted in connection with the proposal, submission or bid of Contracting Entity in connection with the above described project or matter.

4. Contracting Entity is organized as a business entity as noted below (check box as applicable).

FOR PROFIT ENTITY: NON-PROFIT ENTITY:

[ ] SOLE PROPRIETORSHIP [ ] NON-PROFIT CORPORATION
[ ] CORPORATION [ ] UNINCORPORATED ASSOCIATION
[ ] PARTNERSHIP
[ ] LIMITED PARTNERSHIP
[ ] JOINT VENTURE
[ ] LIMITED LIABILITY COMPANY
[ ] OTHER (Specify type in space below)

5. The information shown below is true and correct for the Contracting Entity; and

6. All owners of 10% or more of the Contracting Entity and, where the Contracting Entity is a non-profit entity, the required information has been shown for each officer, i.e., president, vice-president, secretary, treasurer, etc. [NOTE: IN ALL CASES, USE FULL NAMES, LOCAL BUSINESS AND RESIDENCE ADDRESSES AND TELEPHONE NUMBERS. DO NOT USE POST OFFICE BOXES FOR ANY ADDRESS. INCLUSION OF E-MAIL ADDRESSES IS OPTIONAL, BUT RECOMMENDED. ATTACH ADDITIONAL SHEETS AS NEEDED.]
**Contracting Entity**

<table>
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<tr>
<th>Name: ________________________________</th>
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</table>

**Business Address [NO./STREET] ________________________________**

**[CITY/STATE/ZIP CODE] ________________________________**

Telephone Number (_____) ________________________________

Email Address [OPTIONAL] ________________________________

Residence Address [NO./STREET] ________________________________

**[CITY/STATE/ZIP CODE] ________________________________**

Telephone Number (_____) ________________________________

Email Address [OPTIONAL] ________________________________

**10% Owner(s) or More (IF NONE, STATE “NONE.”)**

<table>
<thead>
<tr>
<th>Name: ________________________________</th>
</tr>
</thead>
</table>

**Business Address [NO./STREET] ________________________________**

**[CITY/STATE/ZIP CODE] ________________________________**

Telephone Number (_____) ________________________________

Email Address [OPTIONAL] ________________________________

Residence Address [NO./STREET] ________________________________

**[CITY/STATE/ZIP CODE] ________________________________**

Telephone Number (_____) ________________________________

Email Address [OPTIONAL] ________________________________
7. Optional Information

Contracting Entity and/or [NAME OF OWNER OR NON-PROFIT OFFICER] is actively protesting, challenging or appealing the accuracy and/or amount of taxes levied against [CONTRACTING ENTITY, OWNER OR NON-PROFIT OFFICER] as follows:

Name of Debtor: ________________________________

Tax Account Nos. ________________________________

Case or File Nos. ________________________________

Attorney/Agent Name ________________________________

Attorney/Agent Phone No. (_____) ________________________________

Tax Years ________________________________

Status of Appeal [DESCRIBE] ________________________________

Affiant certifies that he or she is duly authorized to submit the above information on behalf of the Contracting Entity, that Affiant is associated with the Contracting Entity in the capacity noted above and has personal knowledge of the accuracy of the information provided herein, and that the information provided herein is true and correct to the best of Affiant’s knowledge and belief.

______________________________________________
Affiant

SWORN TO AND SUBSCRIBED before me this ______ day of ________________, 20__.

(Seal)

______________________________________________
Notary Public

NOTE: This affidavit constitutes a government record as defined by Section 37.01 of the Texas Penal Code. Submission of a false government record is punishable as provided in Section 37.10 of the Texas Penal Code. Attach additional pages if needed to supply the required names and addresses.
EXHIBIT IV
ANTI-COLLUSION STATEMENT

Anti-Collusion Statement

The undersigned, as Respondent, certifies that the only person or parties interested in this Submittal as principals are those named herein; that the Respondent has not, either directly or indirectly entered into any Agreement, participated in any collusion, or otherwise taken any action in restraint of free competitive bidding in connection with the award of this Contract.

__________________________   __________________________________
Date       Respondent Signature
CONFlict of interest questionnaire:
Chapter 176.006 of the Local Government Code (“the code”) requires a Vendor/Contractor to file a Conflict of Interest Questionnaire (CIQ) with the City.

NOTE: Vendors/Contractors or Agents should not complete the CIQ if a conflict, as described below, does not exist. Only Vendors/Contractors or Agents that actually have a conflict, as described below, must file a CIQ.

Who must file a CIQ?
A Vendor/Contractor or Agent of a Vendor/Contractor does not have to file a CIQ unless they intend to enter or is considering entering into a contract with the City or:
1. has an employment or other business relationship with the Local Government Officer/Family Member;
or
2. has given the Local Government Officer/Family Member one or more gifts with the aggregate value exceeding $250.00.

When must the Vendor/Contractor or Agent file a CIQ?
The completed CIQ must be filed with the City Chief Procurement Officer not later than the 7th business day after the date the Vendor/Contractor or Agent:
1. begins discussions or negotiations to enter into a contract with the City;
2. submits an application to the City in response to a request for qualifications or bids, correspondence, or any other writing related to a potential contract with the City;
3. becomes aware of an employment or other business relations with the Local Government Officer/Family Member;
4. becomes aware that he/she has given one or more gifts to the Local Government Officer/Family Member that exceeds $250.00; or
5. an event that would make the CIQ incomplete or inaccurate.

What is a business relationship?
Under Chapter 176, business relationship means a connection between two or more parties based on the commercial activity of one of the parties. The term does not include:
1. a transaction that is subject to a rate or fee regulation by a governmental entity;
2. a transaction conducted at a price and subject to terms available to the public; or
3. a purchase or lease of goods or services from a person who is chartered by a state or federal agency and is subject to regular examination and reporting to that agency.

The Conflict of Interest Questionnaire is available for downloading from the Texas Ethics Commission’s website at http://www.ethics.state.tx.us/forms/CIQ.pdf.

The Original Conflict of Interest Questionnaire shall be filed with the Administration and Regulatory Affairs Department’s Record Administration (Lourdes Coss, City Chief Procurement Officer, 901 Bagby, Concourse Level, Houston, Texas 77002). Vendors and Contractors required to file shall include a copy of the form as part of the BID/Qualifications package. Any questions about filling out this form should be directed to your attorney.
# CONFLICT OF INTEREST QUESTIONNAIRE

**FOR VENDOR OR OTHER PERSON DOING BUSINESS WITH LOCAL GOVERNMENTAL ENTITY**

**FORM CIQ**

<table>
<thead>
<tr>
<th>OFFICE USE ONLY</th>
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<tr>
<td>Date Received</td>
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This questionnaire reflects changes made to the law by H.B. 1491, 80th Leg., Regular Session. This questionnaire is being filed in accordance with Chapter 176, Local Government Code by a person who has a business relationship as defined by Section 176.001(1-a) with a local governmental entity and the person meets requirements under Section 176.006(a).

By law this questionnaire must be filed with the records administrator of the local governmental entity not later than the 7th business day after the date the person becomes aware of facts that require the statement to be filed. See Section 176.006, Local Government Code.

A person commits an offense if the person knowingly violates Section 176.006, Local Government Code. An offense under this section is a Class C misdemeanor.

1. **Name of person who has a business relationship with local governmental entity.**

2. **Check this box if you are filing an update to a previously filed questionnaire.**

   (The law requires that you file an updated completed questionnaire with the appropriate filing authority not later than the 7th business day after the date the originally filed questionnaire becomes incomplete or inaccurate.)

3. **Name of local government officer with whom filer has employment or business relationship.**

   **Name of Officer**

   This section (item 3 including subparts A, B, C & D) must be completed for each officer with whom the filer has an employment or other business relationship as defined by Section 176.001(1-a), Local Government Code. Attach additional pages to this Form CIQ as necessary.

   **A.** Is the local government officer named in this section receiving or likely to receive taxable income, other than investment income, from the filer of the questionnaire?

   - [ ] Yes
   - [ ] No

   **B.** Is the filer of the questionnaire receiving or likely to receive taxable income, other than investment income, from or at the direction of the local government officer named in this section AND the taxable income is not received from the local governmental entity?

   - [ ] Yes
   - [ ] No

   **C.** Is the filer of this questionnaire employed by a corporation or other business entity with respect to which the local government officer serves as an officer or director, or holds an ownership of 10 percent or more?

   - [ ] Yes
   - [ ] No

   **D.** Describe each employment or business relationship with the local government officer named in this section.

4. 

   **Signature of person doing business with the governmental entity**  
   **Date**

Adopted 06/29/2007

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The purpose of the Respondent Contact Directory is to provide the City with a centralized, easily identified source of important contacts regarding the Respondent. This Respondent Contact Directory should include:

1. At least two individuals, one primary the other(s) secondary, authorized to represent the firm for purposes of this RFQ; and
2. Respondent Project Manager/Key Personnel to communicate with City staff as it relates to the day-to-day activities of the actual services to be performed.
REQUIRED SUBMITTAL CHECK SHEET

The following documents must be completed and included with each Submittal

<table>
<thead>
<tr>
<th>Item #</th>
<th>Required Submittal Check Sheet</th>
<th>Check (✓)</th>
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<tbody>
<tr>
<td>1.</td>
<td>Table of Contents</td>
<td></td>
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<tr>
<td>2.</td>
<td>EXHIBIT I-A - Offer and Submittal</td>
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<tr>
<td>3.</td>
<td>Executive Summary</td>
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<td>4.</td>
<td>Experience and Qualifications of Respondent</td>
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<tr>
<td>5.</td>
<td>Experience and Qualifications of Project Team</td>
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<td>6.</td>
<td>Methodology and Approach of Delivery of Services</td>
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<td>7.</td>
<td>Appendices</td>
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<td>8.</td>
<td>EXHIBIT I-B – Respondent References</td>
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<td>9.</td>
<td>EXHIBIT I-C – List of Subcontractors</td>
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<td>10.</td>
<td>EXHIBIT II – M/WBE FORMS</td>
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<td>11.</td>
<td>EXHIBIT III - Affidavit of Ownership or Control</td>
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<td>12.</td>
<td>EXHIBIT IV - Anti-Collusion Statement</td>
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<td>13.</td>
<td>EXHIBIT V - Conflict of Interest Questionnaire</td>
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<td>14.</td>
<td>EXHIBIT VI – Respondent Contact Directory</td>
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<td>15.</td>
<td>Pricing/Fee Schedule (in separate sealed envelope)</td>
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<td>16.</td>
<td>EXHIBIT VII - Required Submittal Checklist</td>
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<td>17.</td>
<td>Requested Information Outlined in the Scope of Work and Other Additional Relevant/Supporting Information</td>
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