

	CITY OF HOUSTON, TEXAS NOTICE OF REQUEST FOR PROPOSAL (RFP) SOLICITATION NO.: S30-T24411	STRATEGIC PURCHASING DIVISION "PARTNERING TO BETTER SERVE HOUSTON"
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NIGP CODE: 920-64

SOLICITATION DUE DATE/TIME: January 11, 2013 at 2:00 P.M., CST

SUBMITTAL LOCATION: City Secretary's Office
City Hall Annex, Public Level
900 Bagby Street
Houston, Texas 77002

DESCRIPTION: Laboratory Information Management System for the Health and Human Services Department

PRE-PROPOSAL CONFERENCE:	<table border="1"> <thead> <tr> <th><i>Date</i></th> <th><i>Time</i></th> <th><i>Location</i></th> </tr> </thead> <tbody> <tr> <td>December -18- 2012</td> <td>10:00 A.M.</td> <td>SPD, 901 Bagby, Conference Rm. 1 (Lower Level), Houston, TX 77002</td> </tr> </tbody> </table>	<i>Date</i>	<i>Time</i>	<i>Location</i>	December -18- 2012	10:00 A.M.	SPD, 901 Bagby, Conference Rm. 1 (Lower Level), Houston, TX 77002
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In accordance with T.L.G.C. § Chapter 252, competitive sealed Proposals for the services specified will be received by the City Secretary's Office of the City of Houston at the above specified location, until the time and date cited. Offers must be in the actual possession of the City Secretary's Office on or prior to the time and date, and at the location indicated above. Late offers will not be considered.

Offers must be submitted in a sealed envelope or package with the Solicitation Number and the Offeror's name and address clearly indicated on the envelope or package. All offers must be completed in ink or typewritten. Additional instructions for preparing an offer are included in this Solicitation.

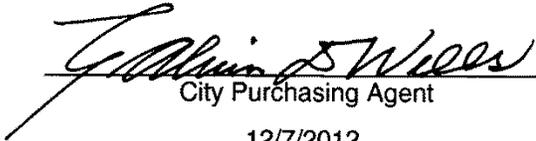
OFFERORS ARE STRONGLY ENCOURAGED TO CAREFULLY READ THE ENTIRE SOLICITATION

Solicitation Contact Person:
Richard Morris

Name

richard.morris@houstontx.gov

E-Mail Address



City Purchasing Agent

12/7/2012

Date

SPECIAL INSTRUCTIONS TO OFFEROR(S)
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1.0 SUBMITTAL PROCEDURE:

1.1 Seven (7) copies of the Proposal, including one (1) printed original signed in BLUE ink, and additional two (2) electronic CD copies are to be submitted in a sealed envelope bearing the assigned Solicitation Number, located on the first page of the RFP document to:

City Secretary's Office
City Hall Annex
900 Bagby
Houston, Texas 77002

1.2 The deadline for the submittal of the Proposal to the City Secretary's Office is no later than the date and time as indicated on the first page of the RFP document. Failure to submit the required number of copies as stated above may be subject for disqualification from the Proposal process.

1.3 Respondents may elect to either mail or personally deliver their Proposals to the City Secretary's Office.

1.4 The City of Houston shall bear no responsibility for submitting responses on behalf of any Offeror. Offeror(s) may submit their Proposal to the City Secretary's Office any time prior to the stated deadline.

2.0 PROPOSAL FORMAT:

2.1 The Proposal should be electronically generated, and the printed original signed in ink. They should not be submitted in elaborate or expensive binders. Legibility, clarity, and completeness are important and essential.

2.2 The Proposal must be signed by an individual(s) legally authorized to bind the Offeror(s), and must contain a statement that the Proposal and the prices contained therein shall remain firm for a period of one hundred-eighty (180) days.

3.0 PRE-PROPOSAL CONFERENCE:

3.1 A Pre-Proposal Conference will be held at the date, time, and location as indicated on the first page of the RFP document. Interested Offeror(s) should plan to attend. It will be assumed that potential Offeror(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.

4.0 ADDITIONAL INFORMATION AND SPECIFICATION CHANGES:

4.1 Requests for additional information and questions should be addressed to the Administration and Regulatory Affairs Department, Strategic Purchasing Division Buyer, Richard Morris, telephone: 832.393.8736, fax: 832.393.8759, or e-mail (preferred method to): richard.morris@houstontx.gov, no later than December 21, 2012 at 5:00 p.m. CST. The City of Houston shall provide written response to all questions received in writing before the submittal deadline. Questions received from all Offeror(s) shall be answered and sent to all Offeror(s) who are listed as having obtained the RFP. Offeror(s) shall be notified in writing of any changes in the specifications contained in this RFP.

5.0 LETTER(S) OF CLARIFICATION:

5.1 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.

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

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6.0 EXAMINATION OF DOCUMENTS AND REQUIREMENTS:

- 6.1 Each Offeror shall carefully examine all RFP documents and thoroughly familiarize themselves with all requirements prior to submitting a Proposal to ensure that the Proposal meets the intent of this RFP.
- 6.2 Before submitting a Proposal, each Offeror shall be responsible for making all investigations and examinations that are necessary to ascertain conditions and requirements affecting the requirements of this RFP. Failure to make such investigations and examinations shall not relieve the Offeror from obligation to comply, in every detail, with all provisions and requirements of the RFP.

7.0 EXCEPTIONS TO TERMS AND CONDITIONS:

- 7.1 All exceptions included with the Proposal shall be submitted in a clearly identified separate section of the Proposal in which the Offeror clearly cites the specific paragraphs within the RFP 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 City Purchasing Agent, City Attorney, Director(s) or designee in a written statement. The Offeror's preprinted or standard terms will not be considered by the City as a part of any resulting contract.
- 7.2 All Exceptions that are contained in the Proposal may negatively affect the City's Proposal evaluation based on the evaluation criteria as stated in the RFP, or result in possible rejection of Proposal.

8.0 POST-PROPOSAL DISCUSSIONS WITH OFFEROR(S):

- 8.1 It is the City's intent to commence final negotiation with the Offeror(s) deemed most advantageous to the City. The City reserves the right to conduct post-Proposal discussions with any Offeror(s).

9.0 PROTEST:

- 9.1 A protest shall comply with and be resolved, according to the City of Houston Procurement Manual [://purchasing.houstontx.gov/docs/Procurement_Manual.pdf](http://purchasing.houstontx.gov/docs/Procurement_Manual.pdf) and rules adopted thereunder. Protests shall be submitted in writing and filed with both, the City Attorney and the Solicitation contact person. A pre-award protest of the RFP shall be received five (5) days prior to the solicitation due date and a post-award protest shall be filed within five (5) days after City Council approval of the contract award.
- 9.2 A protest shall include the following:
- 9.2.1 The name, address, e-mail, and telephone number of the protester;
- 9.2.2 The signature of the protester or its representative who has the delegated authority to legally bind its company;
- 9.2.3 Identification of the RFP description and the RFP or contract number;
- 9.2.4 A detailed written statement of the legal and factual grounds of the protest, including copies of relevant documents, etc.; and
- 9.2.5 The desired form of relief or outcome, which the protester is seeking.

10.0 LOBBYING AND OTHER FORMS OF INFLUENCE PROHIBITED:

- 10.1 Neither Offeror(s) nor any person acting on Offeror(s)'s behalf shall attempt to influence the outcome of the contract award by the offer, presentation or promise of gratuities, favors, or anything of value to any member of the Proposal evaluation committee, 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 Buyer

identified on the first page of the RFP. Upon issuance of the RFP through the pre-award phase and up to the award of a contract, aside from Offeror's formal response to the RFP, communications publically made during the

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official pre-bid conference, written requests for clarification during the period officially designated for such purpose by the City Buyer and communications during an oral interview, scheduled at the request of and for the benefit of the Proposal evaluation committee, if any, neither Offeror(s) nor persons acting on their behalf shall communicate with any member of the Proposal evaluation committee, 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 contract award or to obtain or deliver information intended to or which could reasonably result in an advantage to any Offeror. However, nothing in this paragraph shall prevent Offeror from making public statements to the City Council body convened for a regularly scheduled session after the Proposal evaluation committee has made its official selection and presented same to Council for action.

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UNIFORM INSTRUCTIONS TO OFFEROR(S)
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- 1.0 This RFP does not commit the City of Houston to award a contract, issue a purchase order, or to pay any costs incurred in the preparation of a Proposal in response to this request.
- 2.0 The Proposals will become part of the City's official files without any obligation on the City's part. All Responses shall be held confidential from all parties other than the City until after the contract is awarded. Afterward, the Proposals shall be available to the public.
- 3.0 The City of Houston shall not be held accountable if material from responses is obtained without the written consent of the Offeror by parties other than the City, at any time during the Proposal evaluation process.
- 4.0 In the event an Offeror submits trade secret information to the City, the information must be clearly labeled as a **"Trade Secret."** The City will maintain the confidentiality of such trade secrets to the extent provided by law.
- 5.0 Offeror(s) shall not offer any gratuities, favors, or anything of monetary value to any official or employee of the City of Houston (including any and all members of Proposal evaluation committees).
- 6.0 Offeror(s) shall not collude in any manner, or engage in any practices, with any other Offeror(s), which may restrict or eliminate competition, or otherwise restrain trade. This is not intended to preclude subcontracts and joint ventures for the purposes of: a) responding to this RFP; or b) establishing a project team with the required experience and/or capability to provide the goods or services specified herein. Conversely, the City can combine or consolidate Proposals, or portions thereof, for the purposes mentioned above.
- 7.0 All Proposals submitted must be the original work product of the Offeror. The copying or paraphrasing of the work product of another Offeror is not permitted.
- 8.0 The RFP and the related responses of the selected Offeror will by reference (within either a contract or purchase order) become part of any formal Agreement between the selected Offeror and the City. The City and the selected Offeror may negotiate a Contract or contracts for submission to City Council for consideration and approval. In the event an Agreement cannot be reached with the selected Offeror, the City reserves the right to select an alternative Offeror. The City reserves the right to negotiate with alternative Offeror the exact terms and conditions of the contract.
- 9.0 Offeror(s), their authorized representatives and their agents are responsible for obtaining, and will be deemed to have, full knowledge of the conditions, requirements, and specifications of the RFP at the time a Proposal is submitted to the City.
- 10.0 The Agreement(s) shall become effective on or about March 1, 2013 for a term of three (3) years. The City of Houston reserves the option of extending the Agreement(s) on an annual basis for two (2) additional one-year terms, or portions thereof.
- 11.0 If necessary for the completion of tasks required under the project, the City will provide reasonable working space to the Prime Contractor.
- 12.0 Clerical support and reproduction of documentation costs shall be the responsibility of the Prime Contractor. If required, such support and costs shall be defined in the negotiated Agreement.
- 13.0 Prime Contractor personnel essential to the continuity, and the successful and timely completion of the project should be available for the duration of the project unless substitutions are approved in writing by the City Project Director.
- 14.0 The Prime Contractor will be expected to adhere to all standard contractual requirements of the City which shall include, but are not limited to, provisions for: Time Extensions; Appropriation of Available Funds; Approvals; Term and Termination; Independent Contractor; Business Structure and Assignments; Subcontractors; Parties in Interest; Non-Waiver; Applicable Laws; Notices; Use of Work Products; Equal Employment Opportunity; Force Majeure; and Inspections and Audits.

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- 15.0 The City may terminate its performance under a contract in the event of a default by the Prime Contractor and a failure to cure such default after receiving notice of default from the City. Default may result from the Prime Contractor's failure to perform under the terms of the contract or from the Prime Contractor becoming insolvent, having a substantial portion of its assets assessed for the benefit of creditors, or having a receiver or trustee appointed.
- 16.0 Prime Contractor must promptly report to the City Project Director any conditions, transactions, situation, or circumstances encountered by the Prime Contractor which would impede or impair the proper and timely performance of the contract.
- 17.0 The City of Houston has sole discretion and reserves the right to cancel this RFP, or to reject any or all Proposals received prior to contract award.
- 18.0 The City reserves the right to waive any minor informality concerning this RFP, or to reject any or all Proposals or any part thereof.
- 19.0 The City reserves the right to request clarity of any Proposal after they have been received.
- 20.0 The City reserves the right to select elements from different individual Proposals and to combine and consolidate them in any way that best serves the City's interest. The City reserves the right to reduce the scope of the project and evaluate only the remaining elements from all Proposals. The City reserves the right to reject specific elements contained in all Proposals and to complete the evaluation process based only on the remaining items.
- 21.0 The selected Offeror(s) must furnish a "Certificate of Registration" which authorizes them to conduct business in the State of Texas prior to the awarding of the contract. Such Registration is obtained from the Texas Secretary of State's Office, which will also provide the certification thereof.
- 22.0 After contract execution, the successful Offeror shall be the Prime Contractor and responsible party for contracting and communicating the work to be performed to subcontractors, and for channeling other information between the City and subcontractors. Any subcontracting must be specified in the Proposal. Any subcontracting not specified in the Proposal will need prior written approval from the City Purchasing Agent.
- 23.0 Prime Contractor assumes total responsibility for the quality and quantity of all work performed, whether it is undertaken by the Prime Contractor or is subcontracted to another organization.
- 24.0 If subcontractor involvement is required in the use of license, patent, or proprietary process, the Prime Contractor is responsible for obtaining written authorization from the subcontractor to use the process, or provide another process comparable to that which is required and which is acceptable to the City, all at no additional cost or liability to the City.

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1.0 INDEMNITY AND RELEASE:

1.1 RELEASE

PRIME CONTRACTOR/SUPPLIER AGREES TO AND SHALL RELEASE THE CITY, ITS AGENTS, EMPLOYEES, OFFICERS, AND LEGAL REPRESENTATIVES (COLLECTIVELY THE "CITY") FROM ALL LIABILITY FOR INJURY, DEATH, DAMAGE, OR LOSS TO PERSONS OR PROPERTY SUSTAINED IN CONNECTION WITH OR INCIDENTAL TO PERFORMANCE UNDER THIS AGREEMENT, EVEN IF THE INJURY, DEATH, DAMAGE, OR LOSS IS CAUSED BY THE CITY'S SOLE OR CONCURRENT NEGLIGENCE AND/OR THE CITY'S STRICT PRODUCTS LIABILITY OR STRICT STATUTORY LIABILITY.

1.2 INDEMNIFICATION

PRIME CONTRACTOR/SUPPLIER AGREES TO AND SHALL DEFEND, INDEMNIFY, AND HOLD THE CITY, ITS AGENTS, EMPLOYEES, OFFICERS, AND LEGAL REPRESENTATIVES (COLLECTIVELY THE "CITY") HARMLESS FOR ALL CLAIMS, CAUSES OF ACTION, LIABILITIES, FINES, AND EXPENSES (INCLUDING, WITHOUT LIMITATION, ATTORNEYS' FEES, COURT COSTS, AND ALL OTHER DEFENSE COSTS AND INTEREST) FOR INJURY, DEATH, DAMAGE, OR LOSS TO PERSONS OR PROPERTY SUSTAINED IN CONNECTION WITH OR INCIDENTAL TO PERFORMANCE UNDER THIS AGREEMENT INCLUDING, WITHOUT LIMITATION, THOSE CAUSED BY:

1.2.1 PRIME CONTRACTOR/SUPPLIERS AND/OR ITS AGENTS', EMPLOYEES', OFFICERS', DIRECTORS', CONTRACTORS', OR SUBCONTRACTORS' (COLLECTIVELY IN NUMBERED PARAGRAPHS 1.1-1.3, "PRIME CONTRACTOR/SUPPLIER") ACTUAL OR ALLEGED NEGLIGENCE OR INTENTIONAL ACTS OR OMISSIONS;

1.2.2 THE CITY'S AND PRIME CONTRACTOR/SUPPLIER'S ACTUAL OR ALLEGED CONCURRENT NEGLIGENCE, WHETHER PRIME CONTRACTOR/SUPPLIER IS IMMUNE FROM LIABILITY OR NOT; AND

1.2.3 THE CITY'S AND PRIME CONTRACTOR/SUPPLIER'S ACTUAL OR ALLEGED STRICT PRODUCTS LIABILITY OR STRICT STATUTORY LIABILITY, WHETHER PRIME CONTRACTOR/SUPPLIER IS IMMUNE FROM LIABILITY OR NOT.

1.2.4 PRIME CONTRACTOR/SUPPLIER SHALL DEFEND, INDEMNIFY, AND HOLD THE CITY HARMLESS DURING THE TERM OF THIS AGREEMENT AND FOR FOUR YEARS AFTER THE AGREEMENT TERMINATES. PRIME CONTRACTOR/SUPPLIER'S INDEMNIFICATION IS LIMITED TO \$500,000 PER OCCURRENCE. PRIME CONTRACTOR/SUPPLIER SHALL NOT INDEMNIFY THE CITY FOR THE CITY'S SOLE NEGLIGENCE.

1.2.5 CONTRACTOR AGREES TO AND SHALL DEFEND, INDEMNIFY, AND HOLD HARMLESS THE CITY, ITS AGENTS, EMPLOYEES, OFFICERS, AND LEGAL REPRESENTATIVES (COLLECTIVELY THE CITY) FROM ALL CLAIMS OR CAUSES OF ACTION BROUGHT AGAINST THE CITY ALLEGING THAT THE CITY'S USE OF ANY EQUIPMENT, SOFTWARE, PROCESS, OR DOCUMENTS CONTRACTOR FURNISHES DURING THE TERM OF THIS AGREEMENT INFRINGES ON A PATENT, COPYRIGHT, OR TRADEMARK, OR MISAPPROPRIATES A TRADE SECRET. CONTRACTOR SHALL PAY ALL COSTS (INCLUDING, WITHOUT LIMITATION, ATTORNEYS' FEES, COURT COSTS, AND ALL OTHER DEFENSE COSTS, AND INTEREST) AND DAMAGES AWARDED. CONTRACTOR SHALL NOT SETTLE ANY CLAIM ON TERMS WHICH PREVENT THE CITY FROM USING THE EQUIPMENT, SOFTWARE, PROCESS, AND DOCUMENTS WITHOUT THE CITY'S PRIOR WRITTEN CONSENT. WITHIN 60 DAYS AFTER BEING NOTIFIED OF THE CLAIM, CONTRACTOR SHALL, AT ITS OWN EXPENSE, EITHER (1) OBTAIN FOR THE CITY THE RIGHT TO CONTINUE USING THE EQUIPMENT, SOFTWARE, PROCESS, AND DOCUMENTS OR, (2) IF BOTH PARTIES AGREE, REPLACE OR MODIFY THEM WITH COMPATIBLE AND FUNCTIONALLY EQUIVALENT PRODUCTS. IF NONE OF THESE ALTERNATIVES IS REASONABLY AVAILABLE, THE CITY MAY RETURN THE EQUIPMENT, SOFTWARE, OR DOCUMENTS, OR DISCONTINUE THE PROCESS, AND CONTRACTOR SHALL REFUND THE PURCHASE PRICE.

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1.3 INDEMNIFICATION-SUBCONTRACTOR'S INDEMNITY

1.3.1 CONTRACTOR SHALL REQUIRE ALL OF ITS SUBCONTRACTORS (AND THEIR SUBCONTRACTORS) TO RELEASE AND INDEMNIFY THE CITY TO THE SAME EXTENT AND IN SUBSTANTIALLY THE SAME FORM AS ITS RELEASE AND INDEMNITY TO THE CITY.

2.0 INDEMNIFICATION PROCEDURES:

2.1 Notice of Claims. If the City or Prime Contractor receives notice of any claim or circumstances which could give rise to an indemnified loss, the receiving party shall give written notice to the other party within 30 days. The notice must include the following:

2.1.1 a description of the indemnification event in reasonable detail,

2.1.2 the basis on which indemnification may be due, and

2.1.3 the anticipated amount of the indemnified loss.

2.2 This notice does not stop or prevent the City from later asserting a different basis for indemnification or a different amount of indemnified loss than that indicated in the initial notice. If the City does not provide this notice within the 30-day period, it does not waive any right to indemnification except to the extent that Prime Contractor/Supplier is prejudiced, suffers loss, or incurs expense because of the delay.

2.3 Defense of Claims.

2.3.1 Assumption of Defense. Prime Contractor may assume the defense of the claim at its own expense with counsel chosen by it that is reasonably satisfactory to the City. Prime Contractor/Supplier shall then control the defense and any negotiations to settle the claim. Within 10 days after receiving written notice of the indemnification request, Prime Contractor must advise the City as to whether or not it will defend the claim. If Prime Contractor does not assume the defense, the City shall assume and control the defense, and all defense expenses constitute an indemnification loss.

2.3.2 Continued Participation. If Prime Contractor elects to defend the claim, the City may retain separate counsel to participate in (but not control) the defense and to participate in (but not control) any settlement negotiations. Prime Contractor may settle the claim without the consent or agreement of the City, unless it (i) would result in injunctive relief or other equitable remedies or otherwise require the City to comply with restrictions or limitations that adversely affect the City, (ii) would require the City to pay amounts that Prime Contractor does not fund in full, (iii) would not result in the City's full and complete release from all liability to the plaintiffs or claimants who are parties to or otherwise bound by the settlement.

3.0 INSURANCE REQUIREMENTS:

3.1 The Contractor shall obtain and maintain in effect during the term of this Agreement, insurance coverage as set forth below and shall furnish certificates of insurance showing the City as an additional insured, in duplicate form, prior to the beginning of the Contract. The City shall be named as an additional insured on all such policies except Professional Liability and Workers' Compensation, must contain an endorsement that the policy is primary to any other insurance available to the Additional Insured with respect to claims arising under the Agreement. **The issuer of any policy shall have a Certificate of Authority to transact insurance business in the State of Texas or have a Best's rating of at least B+ and a Best's Financial Size Category of Class VI or better, according to the most current edition of Best's Key Rating Guide, Property-Casualty United States.**

3.2 Comprehensive General Liability including Contractual Liability and Automobile Liability insurance shall be in at least the following amounts:

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- 3.2.1 Commercial General Liability Insurance including Contractual Liability:
- 3.2.1.1 \$500,000 per occurrence
- 3.2.1.2 \$1,000,000 aggregate, (defense costs excluded from face value of the policy)
- 3.2.2 Workers' Compensation:
- 3.2.2.1 Amount shall be statutory amount
- 3.2.2.2 **Employer's Liability cannot be used as a substitute for Workers' Compensation**
- 3.2.3 Automobile Liability (See Note Below):
- \$1,000,000 Combined Single Limit per occurrence
- Defense costs are excluded from the face amount of the policy. Aggregate Limits are per 12-month policy period unless otherwise indicated.
- 3.2.4 Employer's Liability:
- 3.2.4.1 Bodily injury by accident \$100,000 (each accident)
- 3.2.4.2 Bodily injury by disease \$100,000 (policy limit)
- 3.2.4.3 Bodily injury by disease \$100,000 (each employee)
- 3.2.5 Professional Liability
- 3.2.5.1 \$1,000,000 per occurrence \$1,000,000 aggregate
- 3.3 Automobile liability insurance for autos furnished or used in the course of performance of this contract including Owned, Non-owned and Hired Auto coverage (Any Auto coverage may be substituted for Owned, Non-owned and Hired Auto coverage.) If no autos are owned by the Contractor, coverage may be limited to Non-owned and Hired Autos. If Owned Auto coverage cannot be purchased by Contractor, Scheduled Auto coverage may be substituted for Owned Auto coverage. EACH AUTO USED IN PERFORMANCE OF THIS CONTRACT MUST BE COVERED IN THE LIMITS SPECIFIED.
- 3.4 If the City of Houston requires you to maintain in effect insurance coverage during the term of a contract resulting from the City's acceptance of your response to this request for proposal ("potential contract"), all of your insurance policies must require on their face, or by endorsement, that your insurance carrier waives any rights of subrogation against the City of Houston except for Professional Liability insurance. You must give 30-days' written notice to the City Purchasing Agent if any of your insurance policies are to be cancelled, materially changed, or not renewed. Within this 30-day period, you shall provide other suitable policies in lieu of those about to be canceled, materially changed, or not renewed so as to maintain in effect the required coverage. If you do not comply with this requirement, the Purchasing Agent, at his or her sole discretion, may: (1) immediately suspend you from any further performance under the potential contract and begin procedures to terminate for default, or (2) purchase the required insurance with City funds and deduct the cost of the premiums from amounts due to you under the potential contract.
- 3.5 If any part of the work is sublet, similar insurance shall be provided by or in behalf of the Subcontractor to cover their operations, and the Contractor shall furnish evidence of such insurance, satisfactory to the City. In the event a Subcontractor is unable to furnish insurance in the limits required under the contract, the Contractor shall endorse the Subcontractor as an Additional Insured on their policies excluding Workers' Compensation and Employer's Liability.
- 3.5.1 (See Insurance Requirements Exhibit for a sample insurance certificate format.)

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- 3.5.2 Only unaltered original insurance certificates endorsed by the underwriter are acceptable. Photocopies are unacceptable.
- 3.6 Contractor shall maintain in effect certain insurance coverage, which is described as follows:
- 3.6.1 Form of Policies: The Director may approve the form of the insurance policies, but nothing the Director does or fails to do relieves Contractor from its duties to provide the required coverage under this Agreement. The Director's actions or in-actions do not waive the City's right under this Agreement.
- 3.6.2 Issuers of Policies: The issuer of any policy shall have a Certificate of Authority to transact insurance business in Texas or have a Best's rating of at least B+ and a Best's Financial Size Category of Class VI or better, according to the most current edition Best's Key Rating Guide, Property-Casualty United States.
- 3.6.3 Insured Parties: Each policy, except those for Workers Compensation, Employer's Liability, and Professional Liability, must name the City (and its officers, agents, and employees) as Additional Insured parties on the original policy and all renewals or replacements.
- 3.6.4 Deductibles: Contractor shall be responsible for and bear any claims or losses to the extent of any deductible amounts and waives any claim it may have for the same against the City, its officers, agents, or employees.
- 3.6.5 Cancellation: Each policy must state that it may not be canceled, materially modified, or non-renewed unless the contractor gives the Director 30 days' advance written notice. Contractor shall give written notice to the Director within five days of the date on which total claims by any party against Contractor reduce the aggregate amount of coverage below the amounts required by this Agreement. In the alternative, the policy may contain an endorsement establishing a policy aggregate for the particular project or location subject to this Agreement.
- 3.6.6 Subrogation: Each policy must contain an endorsement to the effect that the issuer waives any claim or right of subrogation to recover against the City, its officers, agents, or employees, except for Professional Liability insurance.
- 3.6.7 Endorsement of Primary Insurance: Each policy, except Worker's Compensation and Professional Liability (if any), must contain an endorsement that the policy is primary to any other insurance available to the Additional Insured with respect to claims arising under this Agreement.
- 3.6.7.1 All certificates of insurance submitted by Contractor shall be accompanied by endorsements for additional insured coverage in favor of the City for Commercial General Liability and Automobile Liability policies; and waivers of subrogation in favor of the City for Commercial General Liability, Automobile Liability, and Worker's Compensation/Employers' Liability policies. For a list of pre-approved endorsement, forms see <http://purchasing.houstontx.gov/forms.shtml>. The Director will consider all other forms on a case-by-case basis.
- 3.6.8 Liability for Premium: Contractor shall pay all insurance premiums, and the City shall not be obligated to pay any premiums.
- 3.6.9 Subcontractors: Contractor shall require all subcontractors to carry insurance naming the City as an additional insured and meeting all of the above requirements except amount. The amount must be commensurate with the amount of the subcontract, but in no case less than \$500,000 per occurrence. Contractor shall provide copies of insurance certificates to the Director.
- 3.6.10 Proof of Insurance: On the effective date and at any time during the Term of this Agreement, Contractor shall furnish the Director with Certificates of Insurance, along with an Affidavit from Contractor confirming that the Certificates accurately reflect the insurance coverage maintained. If requested in writing by the Director, Contractor shall furnish the City with certified copies of Contractor's actual insurance policies.
- 3.6.10.1 Contractor shall continuously and without interruption, maintain in force the required insurance coverage's

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specified in this Section. If Contractor does not comply with this requirement, the Director, at his or her sole discretion, may immediately suspend Contractor from any further performance under this Agreement and begin procedures to terminate for default, or

3.6.10.2 Purchase the required insurance with City funds and deducts the cost of the premiums from amounts due to Contractor under this Agreement.

3.6.10.3 The City shall never waive or be stopped to assert its right to terminate this Agreement because of its acts or omissions regarding its review of insurance documents.

3.6.11 Other Insurance: If requested by the Director, Contractor shall furnish adequate evidence of Social Security and Unemployment Compensation Insurance, to the extent applicable to Contractor's operations under this Agreement.

4.0 CONTRACTOR PERFORMANCE LANGUAGE:

4.1 Contractor should make citizen satisfaction a priority in providing services under this contract. Contractor's employees should be trained to be customer-service oriented and to positively and politely interact with citizens when performing contract services. Contractor's employees should be clean, courteous, efficient and neat in appearance at all times and committed to offering the highest degree of service to the public. If, in the Director's determination, the Contractor is not interacting in a positive and polite manner with citizens, the Contractor shall take all remedial steps to conform to the standards set by this contract and is subject to termination for breach of contract.

5.0 INSPECTIONS AND AUDITS:

5.1 City representatives may have the right to perform, or have performed, (1) audits of Contractor's books and records, and (2) inspections of all places where work is undertaken in connection with this Agreement. Contractor shall keep its books and records available for this purpose for at least three (3) years after this Agreement terminates. This provision does not affect the applicable statute of limitations.

6.0 INTERPRETING SPECIFICATIONS:

6.1 *The specifications and product references contained herein are intended to be descriptive rather than restrictive. The City is soliciting Proposals to provide a complete product and service package, which meets its overall requirements. Specific equipment and system references may be included in this RFP for guidance, but they are not intended to preclude Offeror(s) from recommending alternative solutions offering comparable or better performance or value to the City. Unless specifically stated otherwise with regard to a specific item of equipment, it should be assumed that the City requires all equipment proposed for this project to be supported by a manufacturer's warranty, which is equal to or better than the prevailing standard in the industry.*

6.2 Changes in the specifications, terms and conditions of this RFP will be made in writing by the City prior to the Proposal due date. Results of informal meetings or discussions between a potential Offeror(s) and a City of Houston official or employee may not be used as a basis for deviations from the requirements contained in this RFP.

7.0 CONTRACTOR DEBT:

7.1 **IF CONTRACTOR, AT ANY TIME DURING THE TERM OF THIS AGREEMENT, INCURS A DEBT, AS THE WORD IS DEFINED IN SECTION 15-122 OF THE HOUSTON CITY CODE OF ORDINANCES, IT SHALL IMMEDIATELY NOTIFY THE CITY CONTROLLER IN WRITING. IF THE CITY CONTROLLER BECOMES AWARE THAT CONTRACTOR HAS INCURRED A DEBT, HE SHALL IMMEDIATELY NOTIFY CONTRACTOR IN WRITING. IF CONTRACTOR DOES NOT PAY THE DEBT WITHIN 30 DAYS OF EITHER SUCH NOTIFICATION, THE CITY CONTROLLER MAY DEDUCT FUNDS IN AN AMOUNT EQUAL TO THE DEBT FROM ANY PAYMENTS OWED TO CONTRACTOR UNDER THIS AGREEMENT, AND CONTRACTOR WAIVES ANY RECOURSE THEREFOR.**

SPECIAL TERMS AND CONDITIONS
SOLICITATION NO.: S30-T24411

1.0 LOCAL MINORITY/WOMEN BUSINESS ENTERPRISE PARTICIPATION:

- 1.1 Contractor shall comply with the City's Minority and Women Business Enterprise ("M/WBE") 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 **0%** of the value of this Agreement to M/WBEs. Contractor acknowledges that it has reviewed the requirements for good faith efforts on file with the City's Office of Business Opportunity ("OBO"), and will comply with them.
- 1.2 Contractor shall require written subcontracts with all M/WBE subcontractors and shall submit all disputes with M/WBEs to binding arbitration to be conducted in Houston, Texas, if directed to do so by the OBO Director. M/WBE subcontracts must contain the Terms set out in **Exhibit II**.

2.0 CITY CONTRACTORS' PAY OR PLAY PROGRAM:

- 2.1 The requirements and terms of the City of Houston Pay or Play Program, as set out in Executive Order 1-7, are incorporated into this Agreement for all purposes. Contractor has reviewed Executive Order No. 1-7 and shall comply with its Terms and Conditions as they are set out at the time of City Council approval of this Agreement. This provision requires certain Contractors to offer to certain employees a minimal level of health benefits or to contribute a designated amount to be used to offset the costs of providing health care to uninsured people in the Houston/Harris County area. Failure to complete **Exhibit X** "Pay or Play" Acknowledgement Form & Certification of Agreement to Comply with Pay or Play Program may be just cause for rejection of your Proposal.

3.0 CITY CONTRACTOR OWNERSHIP DISCLOSURE ORDINANCE:

- 3.1 City Council requires knowledge of the identities of the owners of entities seeking to contract with the City in order to review their indebtedness to the City prior to entering into contracts. Therefore, all respondents to this RFP must comply with Houston Code of Ordinances Chapter 15, as amended (Sections 15-122 through 15-126) relating to the disclosure of owners of entities bidding on, proposing for or receiving City contracts.
- 3.2 Completion of Exhibit VI – "Affidavit of Ownership or Control" will satisfy this requirement. Failure to provide this information may be just cause for rejection of your Bid or Proposal.

4.0 CITY OF HOUSTON FAIR CAMPAIGN ORDINANCE:

- 4.1 The City of Houston Fair Campaign Ordinance makes it unlawful for a Contractor to offer any contribution to a candidate for City elective office. For purposes of this ordinance a contract is defined as any contract for goods or services having a value in excess of \$30,000 or more, regardless of the way by which it was solicited or awarded. **Exhibit V** of this RFP describes the contract and documentation requirements relating to this Ordinance.

5.0 DRUG DETECTION AND DETERRENCE PROCEDURES FOR CONTRACTORS:

- 5.1 It is the policy of the City to achieve a drug-free workforce and to provide a workplace that is free from the use of illegal drugs and alcohol. It is also the policy of the City that the manufacture, distribution, dispensation, possession, sale or use of illegal drugs or alcohol by Contractors while on City premises is prohibited. Accordingly, effective September 1, 1994, and pursuant to the Mayor's Executive Order 1-31, as a condition to the award of any contract for labor or services, a successful Offeror(s) must certify to its compliance with this policy. **EXHIBIT VII** contains the standard language, which will be used in each contract for labor or services, as well as the Executive Order 1-31 disclosure and compliance forms (Attachments A, B, and C). These forms must be completed and returned prior to award.

6.0 HIRE HOUSTON FIRST:

SPECIAL TERMS AND CONDITIONS
SOLICITATION NO.: S30-T24411

6.1 Designation as a City Business or Local Business

6.1.1 To be designated as a City or Local Business for the purposes of the Hire Houston First Program, as set out in Article XI of Chapter 15 of the Houston City Code, a bidder or proposer must submit the **Hire Houston First Application and Affidavit (“HHF Affidavit”)** to the Director of the Mayor’s Office of Business Opportunities and receive notice that the submission has been approved prior to award of a contract. Bidders are encouraged to secure a designation prior to submission of a bid or proposal if at all possible.

6.1.2 **Download the HHF Affidavit** from the Office of Business Opportunities Webpage at the City of Houston e-Government Website at the following location:

<http://www.houstontx.gov/hbsc/hirehoustonfirstaffidavit.pdf>

6.1.3 Submit the completed application forms to: Mayor’s Office of Business Opportunity, One Stop Business Center, 900 Bagby St., Public Level, Houston, TX 77002 or Applications may be submitted via e-mail to MOBO@houstontx.gov or faxed to 832.393.0952 or Applications may be submitted with proposal response.

6.2 Award of Procurement Pursuant to a Request for Proposal, Best Value Solicitation or Alternative--Pursuant to Chapter --- of the Local Government Code

6.2.1 IN EVALUATION OF A PROPOSAL SUBMITTED UNDER ANY OF THE ABOVE PROCUREMENT METHODS, THE CITY SHALL AWARD EXTRA POINTS EQUAL TO

- **THREE PERCENT** OF THE TOTAL EVALUATION POINTS AVAILABLE TO A “LOCAL BUSINESS,” AS DEFINED IN SECTION 15-176 OF THE CITY OF HOUSTON CODE OF ORDINANCES, AND
- **FIVE PERCENT** OF THE TOTAL EVALUATION POINTS AVAILABLE TO A “CITY BUSINESS ,”AS DEFINED IN SECTION 15-176 OF THE CITY OF HOUSTON CODE OF ORDINANCES
- UNLESS THE USER DEPARTMENT DETERMINES THAT AN AWARD TO THE LOCAL OR CITY BUSINESS WOULD UNDULY INTERFERE WITH CONTRACT NEEDS, AS PROVIDED N SECTION 15-181 OF THE CODE.

7.0 PROJECT ADMINISTRATION:

7.1 Questions regarding the scope of the project, technical specifications, proposed applications, etc., may be addressed to the project manager at the Pre-Proposal conference.

8.0 PROCUREMENT TIMELINE/SCHEDULE:

8.1 Listed below are the important and estimated completion dates and times for this Request for Proposal (RFP).

8.2 <u>EVENT</u>	<u>DATE</u>
Date of RFP Issued	December 7, 2012
Pre-Proposal Conference	December 18, 2012
Questions from Proposers Due to City	December 21, 2012
Proposals Due from Offeror(s)	January 11, 2013
Notification of Intent to Award (<i>Estimated</i>)	February 18, 2013
Council Agenda Date (<i>Estimated</i>)	March14, 2013
Contract Start Date (<i>Estimated</i>)	April 1, 2013

SPECIFICATIONS / SCOPE OF WORK

SOLICITATION NO.: S30-T24411

1.0 Introduction

- 1.1 The City of Houston Department of Health and Human Services - Bureau of Laboratory Services is soliciting proposals for a new server based Laboratory Information Management System (LIMS) for environmental health testing. The new LIMS shall replace an existing system that does not offer the necessary tracking and reporting mechanisms to ensure adequate quality control through the testing process. The selected respondent shall provide hardware and software installation, implementation, interfacing, system validation, and on site user training in accordance with the terms, conditions and specifications described herein. To be considered, the respondent must have installed a fully functional system similar to the proposed LIMS in at least two (medium to large) environmental laboratories. The respondent shall provide a list of all their customers and contact information. This information will not be shared with any other respondents.

2.0 Background

- 2.1 The Environmental Laboratory Service is one of the two major divisions of the Bureau of Laboratory Services which is a support services Bureau providing clinical and environmental laboratory services to the Houston Department of Health, and also the Texas Medical Community as a whole. The Environmental Laboratory Services provide chemical analyses of water, soil, air, and industrial waste samples in support of environmental health initiatives and programs mandated by Federal and State regulations. This service is also involved in Childhood Lead Poisoning Prevention Program from CDC by performing analyses of blood and environmental samples to determine lead toxicity in children. Water & Dairy section performs microbiological testing of potable and environmental water samples, Milk and Dairy products. Approximately 120K tests are performed per year and generates revenue of about 300K annually.

2.2 Testing provided:

- 2.2.1 Performs over 120,000 tests a year – covering testing of soil, water and air for chemical pollutants
- 2.2.2 Member of Environmental Response Laboratory Network (RRLN) and Water Laboratory Alliance.
- 2.2.3 One of six partners in region 5/6 Texas with HGAC to test non-potable water for inorganic chemicals and microbiological parameters for the *Clean Rivers Program*
- 2.2.4 Test drinking water samples for E.coli and Coliform bacteria from public and private entities in accordance with the *Safe Drinking Water Act by EPA*.
- 2.2.5 Only State certified lab in region 5/6 to perform microbiological analysis of Milk and Milk products
- 2.2.6 Performs environmental and clinical childhood blood lead testing for COH lead program, Harris county, Houston Community Development program and Ben Taub Hospital in support of *Childhood Lead Poisoning Prevention Program*
- 2.2.7 Provide soil and water testing services on various microbiological, inorganic and organic chemical testing parameters for HPD Code Enforcement, Public Works and Environmental Health Programs.

2.3 Accreditations: The Environmental laboratory Services has the following accreditations -

- 2.3.1 CLIA – Clinical Laboratory Improvement Amendment for Blood-Lead testing
- 2.3.2 NELAP – National Environmental Laboratory Accreditation Program
- 2.3.3 AIHA – American Industrial Hygiene Association for Lead Testing
- 2.3.4 TCEQ accreditation – for air filter testing
- 2.3.5 State DSHS accreditation – dairy testing for region 5/6

3.0 System Description

- 3.1 Currently, environmental section does not have any information management systems. Data are entered into excel spread sheet for calculations and QC reporting. However, in Water and Dairy Microbiology section, they have a Microsoft Access database they used to tract water samples as they come in the lab. They use the same database to export Comma Separated Value (CSV) file to **Texas Commission on Environmental Quality (TCEQ) report** for the State of Texas.

SPECIFICATIONS / SCOPE OF WORK

SOLICITATION NO.: S30-T24411

4.0 System Requirements

- 4.1 LIMS Architecture Client/Server architecture - clients' workstations obtain services from LIMS database and application server.
- 4.2 LIMS Hardware
Contractor is expected to provide the required LIMS software and hardware as a complete package (Turn-key solution). However, for Contractor(s) who only offer the LIMS application, they should provide the hardware and software required to run their system. If Turn-key solution is provided, please include specifications for the hardware - with a 3 year warranty, software, and yearly maintenance cost.
- 4.3 LIMS Software
The Contractor shall provide an "off-the-shelf" LIMS software package that is designed, installed, and verified by the Contractor and is capable of being modified by the Health Department to meet the changing needs of the laboratory and clients. The LIMS software package shall include two year support agreement, with ongoing technical assistance and maintenance for the duration of the contract term (provide quote for 5 year support/maintenance). The system package should include bar code capability, bar code scanners and interface with SAP billing module. The Contractor shall provide guidance with regard to customization. The proposed LIMS should be designed for use in an environmental laboratory and shall be capable of managing the laboratory's data, including but not limited to:
- 4.3.1 Sample tracking;
 - 4.3.2 Sample scheduling;
 - 4.3.3 Bar coding and scanning capability
 - 4.3.4 Data entry and storage of quality control/quality assurance information;
 - 4.3.5 QC monitoring and charts
 - 4.3.6 Electronic data transfer from instrument to LIMS;
 - 4.3.7 Storage of instrument calibration data, analyst training certificates, and
 - 4.3.8 Instrument repair records;
 - 4.3.9 Electronic data transfer to user clients; EDD, Fax and email capability
 - 4.3.10 Maintaining of chemical inventories;
 - 4.3.11 System security features;
 - 4.3.12 Generalization of client billings; and
 - 4.3.13 Customized hardcopy and softcopy report generation.
- 4.3 LIMS Application Capability
- 4.3.1 Describe any data archival utility feature including timing and frequency of archival, record selection and retention (e.g., by date, sample number, etc.), restore options, etc.
 - 4.3.2 Is the LIMS provided with an inherent backup utility or does the system rely on the backup systems and processes of the operating environment (i.e., server and operating system)? Describe the functionality and/or the vendor's recommendation with respect to other tools/options for backup and/or archival.
 - 4.3.3 Describe the proposed systems ability to retrieve archived data for inclusion in reports, and how report data may be used to obviate the need for voluminous long-term data storage. Include any 'restore' functionality and/or any limitations on the query of such data.
 - 4.3.4 Describe the ability to purge data from the system after a specified amount of time.
- 4.4 LIMS Interface requirements to Lab Order Entry System (LOE) –
Provide interface options with LOE for laboratory billing purpose. Host to host using TCP/IP or file transfer.

SPECIFICATIONS / SCOPE OF WORK

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5.0 LIMS Application Security

- 5.1 *Access levels shall be definable by lab to restrict use of system level functions (such as user authorization):*
 - 5.1.1 Able to create a group of users for specific level of access
 - 5.1.2 A basic LIMS user can enter samples in the system.
 - 5.1.3 Average LIMS user can enter samples, Quality Control data, and test results.
 - 5.1.4 Lab supervisors are able to enter samples, Quality Control data, test results, modify and approve results.

- 5.2 LIMS Ad-Hoc Queries
 - 5.2.1 Provide a LIMS query function to retrieve sample information by work order, sample number, client, analysis, project test, department, date range, site, or other information for many functions throughout the LIMS.
 - 5.2.2 Ability to export query data to different format such as Comma Separated Value (CSV),
 - 5.2.3 Adobe pdf, MS Excel, and MS Word files.
 - 5.2.4 Allow third party query software (e.g. Crystal Reports) to connect using ODBC.

- 5.3 LIMS Systems Management
 - 5.3.1 The LIMS must provide tools for the administrator to assign user privileges. The system must provide application based security by limiting users to functions they are privileged to perform. Security features must ensure that only authorized users enter view and modify data must provide Access levels to restrict the use of data. All files of the LIMS must have file security.

- 5.4 LIMS Audit Trail
 - 5.4.1 Changes made to any data field shall be audited and tracked by the system. Audit information shall include the name of the individual that made the change, date/time changed, original value, new value, and reason the data was changed. Such details can be viewed and printed.

- 5.5 LIMS Data Archiving and Purging
 - 5.5.1 Describe the capability of the LIMS system to archive and purge specific date range.

- 5.6 LIMS Data Review
 - 5.6.1 The LIMS shall allow an authorized user to review test results by test code, samples in a range of ID codes, sample location, sample batch, analysis date, collection date, project date and by result date. Results that are out of range are flagged with a specific flag code. The LIMS shall allow the user to review historical results data. Only authorized user is allowed to approve data. The LIMS shall permit authorized users to make amendment to data if modification is required. This should be recorded in the audit trail.

- 5.7 LIMS Quality Control Reports and Tracking
 - 5.7.1 The system shall track quality control; including sample replicates, matrix spikes, quality control check standards, and blanks. The user shall have the ability to create quality charts based upon quality control data that has been entered into the system. The system shall link all quality control data to the associated sample, test data, and batch run. The system shall calculate quality control results and automatically flag all quality control data which is not within user defined quality control limits. System will generate QC charts, as a minimum for RPD, LCS, and Matrix spikes.

6.0 Offsite Storage and Backup Data –

- 6.1 Describe current LIMS capability for offsite storage and backup data.

SPECIFICATIONS / SCOPE OF WORK
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7.0 **Current Hardware Configuration**

- 7.1 System Workstations -
Most of the current workstations are on Windows XP operating system running on Intel or AMD Processor with memories ranging from 512MB to 2.0GB memory with 160GB of hard drive space.
- 7.2 System Printers –
Several network printers are composed of Xerox, HP, Dell, and Brother printers.
- 7.3 DATABASE SERVER
No database server. The Water and Dairy's Microsoft Access database files are stored on the network shared drive maintained by the downtown Information Technology department. The File and Print server is located at 8000 N. Stadium, Houston, Texas 77054.

8.0 **Current Software Configuration**

- 8.1 Workstation Software
Desktops – Windows XP
- 8.2 Database Server Software
 - 8.2.1 Server Software- none
 - 8.2.3 Database Software - none (existing database is in MS Access format)
 - 8.2.3 Backup Software - Backup Exec

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Appendix C Test Methods

Test #/IS	Test Description	Test Method	Total Tests CY2011	Equipment
1036	Colilert, Quantitray for E.coli in Environmental Water	SM9223B	1,500	
1037	Enterolelet, Quantitray for Enterococcus in Enviro. Water	SM9223B	535	
1045	Potable Water, Colilert	SM9223B	1,650	
1050	Potable Water, SPC Test	SM 9215 B	15	
1130	Milk/Frozen Dessert SPC	FDA2400a Plate Count	1,630	
1135	Milk/Frozen Dessert Coliform	FDA2400a Plate Count	1,180	
1140	Milk, Freezing Point	SM 15.13 (Dairy Products)	825	
1145	Milk, Growth Inhibitor	FDA 2400b Delvotest®P5 Pack	1,093	
1147	Milk, Growth Inhibitor, Disc		-	
1150	Milk, Flurophos	FDA2400 FLUOR-1	375	
1155	Milk, Somatic Cell Count, Manual	FDA2400 DMSCC	575	
1225	Food, Fecal Coliform	BAM, Enumeration of E. coli & coliform bacteria	15	
1230	Food, Staphylococcus	BAM, Staphylococcus aureus	15	
1235	Food, Std. Plate Count	BAM, Aerobic Plate Count	35	
6010	Ammonia	SM 4500-NH3 H	4,400	Lachat 8000 and 8500
6018	BTEX (Benzene, Ethyl Benzene)	Environmental Health and HPD		
6020	Biochemical Oxygen Demand (BOD)	SM 5210 B	50	Orion 3 Star DO Meter
6025	Chloride	EPA 300.0	4,300	Dionex IC 1000 and 1100
6040	Conductivity	SM 2510 B	4,300	Orion 150 A ⁺ Meter
6072	Lead, Paint, Wipes, Soil	AOAC 974.02, 40 CFR part 50 AppG, EPA 200.2	11,314	PE FAA 400 & 800
6073	Lead, Pottery (Leaching)	AOAC 973.32/EPA 7420	200	PE FAA 400 & 800
6074	Lead, Blood	GFAA	2,098	PE FAA 600
6075	Mercury	EPA 7470A	2,700	PE FIMS 100
6080	Metals, Each (Air&Water Samples)	EPA 6010B/3005A	2,700	Varian 720-ES ICP
6082	Metals in Soil (Each)	EPA 3050B	3,000	Varian 720-ES ICP
6090	Nitrate	EPA 300.0	4,300	Dionex IC 1000 and 1100
6105	Oil & Grease	EPA 1664	50	
6106	Particulates in Air	40 CFR Part 50 Appendix J	1,300	Satorius Top Loader Balance
6115	pH	SM 4500-H ⁺ B	4,400	VWR Symphony SB70P
6132	Phosphorus, Total	EPA 365.1	4,300	Lachat 8000 and 8500
6167	Semi-volatile Organics	EPA 8270C	200	Varian saturn GC/MS
6170	Sulfate	EPA 300.0	4,300	Dionex IC 1000 and 1100
6185	Total Dissolved Solids	SM 2540 C	300	Mettler AE 100
6186	Total Suspended Solids	SM 2540 D	4,400	Mettler AE 100
6197	TPH by GC	TCEQ 1005	1,566	Agilent 6890 GC
6215	Volatile Organics	SW-846 8260B	2,930	Varian 2100T GC/MS
		Total	72,551	

SPECIFICATIONS / SCOPE OF WORK

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Environmental Routine Laboratory Reports See Attachment T24411.reports

Procurement Project: Laboratory Data Management System for the Environmental Laboratory Services		
Scope of Work		
Appendix D		10/24/2012
Environmental Routine Laboratory Reports (23 Word and Excel files)		
FILE	ENV LAB SECTION	FORM TITLE
1	Inorganic Chemistry	Blood Lead Request Form
2	Inorganic Chemistry	Inorganic Lab Report – Air Filters
3	Inorganic Chemistry	Inorganic Lab Report – Aqueous Matrix (13 rows)
4	Inorganic Chemistry	Inorganic Lab Report – Aqueous Matrix (15 rows)
5	Inorganic Chemistry	Inorganic Lab Report – Aqueous Matrix (8 rows)
6	Inorganic Chemistry	Inorganic Lab Report – Soil Matrix (Soil)
7	Inorganic Chemistry	Inorganic Lab Report – Soil Matrix (TCLP soil)
8	Inorganic Chemistry	Laboratory Chain of Custody / Lead Test Report (FILE TO BE SENT LATER)
9	Inorganic Chemistry	Laboratory Chain of Custody / Lead Test Report (Soil)
10	Inorganic Chemistry	Laboratory Chain of Custody / Lead Test Report :- Wipe Samples Testing
11	Inorganic Chemistry	Laboratory Report for PM10 Filter
12	Organic	Organic Lab Report
13	Water & Dairy	E. coli & Total Coliforms Analysis Report
14	Water & Dairy	E. coli Analysis Report
15	Water & Dairy	Enterococcus Analysis Report
16	Water & Dairy	Food Microbiology Report
17	Water & Dairy	HPC Analysis Report
18	Water & Dairy	Surface Water Monitoring Report - Clean Rivers Program
19	Water & Dairy	Surface Water Monitoring Report - HCFCD / COH PW
20	Water & Dairy	TCEQ Drinking Water (P/A) Coliform Submission/Report Form
21	Water & Dairy	TCEQ Microbial Monitoring Form
22	Water & Dairy	Texas Department of State Health Services Bulk Milk Analysis
23	Water & Dairy	Texas Department of State Health Services Grade "A" Raw for Retail Dairy
24	Water & Dairy	Texas Department of State Health Services Retail Dairy Products Analysis
25	Water & Dairy	Texas DSHS Dairy Water Form

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To simplify the review process and to obtain the maximum degree of comparability the proposal must follow the outline as set forth below and, at a minimum, contain the information as requested. Proposers are encouraged to include additional relevant information.

Definitions

COH City of Houston
LIMS Laboratory Information Management Systems
NELAP National Environmental Laboratory Accreditation Program
RFP Request for Proposal
SOP Standard Operating Procedure
IPSEC Internet Protocol Security
VPN Virtual Private Network
COC Chain of Custody

SPECIFICATIONS / SCOPE OF WORK
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			HDHHS Bureau of Laboratory Services		Vendor Response ***Please provide a complete narrative response in addition to completing these columns.		
			Mandatory / Required	Desired Feature	Standard Feature (YES/NO)	Custom Feature (YES/NO)	Custom Feature Fee
A	VENDOR- INFORMATION ABOUT THE PROPOSING VENDOR IS REQUESTED IN THE RFP'S "PROPOSAL" SECTION						
B	SYSTEM INFRASTRUCTURE						
	The proposing vendor is expected to provide all necessary information regarding hardware, software, and database licensing subject to this section:						
	B-1	GENERAL RESPONSE/DESCRIPTION: The system must operate in the Microsoft (MS) Windows environment	✓				
	B-2	The vendor is required to provide a separate quote with specifications for all the required hardware including server and backup systems.	✓				
	B-2b	Provide a code of network printers that are compatible with LIMS systems.	✓				
	B-3	The City prefers MS SQL Server database platform. Please specify the preferred database (including versions), and explain the rationale of the database choice.		✓			
	B-4	Describe any experience utilizing server virtualization with the proposed LIMS. Include any problems encountered.		✓			
	B-5	Indicate where event triggering and transaction processing take place (e.g., database level, middleware, etc.).	✓				
	B-6	Specify the proposed LIMS architecture configuration by description and drawing (e.g., n-tier client-server, thin-client/web-enabled). No formal requirement is set forth in terms of architecture as long as it best meets the needs of the City of Houston.	✓				

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			HDHHS Bureau of Laboratory Services		Vendor Response ***Please provide a complete narrative response in addition to completing these columns.		
			Mandatory / Required	Desired Feature	Standard Feature (YES/NO)	Custom Feature (YES/NO)	Custom Feature Fee
	B-7	Provide high-level details on the architecture of the proposed configuration, including the availability of API's, web services, and similar open architectures enabling expansion, custom reporting, and interfacing to the LIMS (such description should include a listing and discussion of available web services).	✓				
	B-8	The system must be compatible with MS Exchange Server 2010 (for sending automated alerts, etc.) and use SMTP service.	✓				
	B-9	The minimum desktop/laptop/tablet configurations supported by the City are: desktop/laptop/tablet workstations with 2GB memory minimum, 75GB HD minimum, and standard peripheral support through USB, 10/100 NIC, and CD/DVD, running Windows XP Professional SP2/ Windows 7. Please confirm that these configurations are acceptable along with the intent to support future versions of Windows while maintaining backward compatibility.	✓				
	B-10	Describe any experience or problems encountered with incompatible hardware, operating systems (specifically MS Vista), server configurations, Microsoft Office 2003 or 2010 or similar issues of which the City should be aware regarding the related infrastructure.	✓				
	B-11	Describe the software products and/or tools utilized in development of the LIMS.	✓				
	B-12	Describe the ability of the system to allow for active directory integration.	✓				

SPECIFICATIONS / SCOPE OF WORK
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		HDHHS Bureau of Laboratory Services	Vendor Response ***Please provide a complete narrative response in addition to completing these columns.				
		Mandatory / Required	Desired Feature	Standard Feature (YES/NO)	Custom Feature (YES/NO)	Custom Feature Fee	
	B-13	Elaborate appropriately and succinctly any System Infrastructure considerations not listed in this section that is deemed important or essential functionality.	✓				
C	GENERAL SYSTEM						
	C-1	GENERAL RESPONSE / DESCRIPTION: Provide an overview, introduction, and history of the proposed LIMS as it pertains to general system usage, differentiating features, and other relevant details.	✓				
	C-2	The intended system must be a commercial-off-the-shelf (COTS) system; supply the following information:	✓				
	C-2a	Number of installations following a versioning path	✓				
	C-2b	Other information indicating a mature COTS system		✓			
	C-3	Describe the system development plan and/or commitments to future releases, including a description of known feature, function, and/or architecture enhancements.	✓				
	C-4	Describe the upgrade plan (i.e., Are upgrades required to maintain support? What notice is given and what upgrade paths are offered when a version approaches retirement? When is a version no longer supported, etc.?). Also include the method of communication to inform the client an upgrade has been sent. Due to the large size of the City, upgrades sent via mail sometimes were not discovered for some time.	✓				

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		HDHHS Bureau of Laboratory Services	Vendor Response ***Please provide a complete narrative response in addition to completing these columns.			
		Mandatory / Required	Desired Feature	Standard Feature (YES/NO)	Custom Feature (YES/NO)	Custom Feature Fee
	C-5	Describe the LIMS menu structure, screen layout, etc.	✓			
	C-6	Describe the LIMS sample tracking ability beginning with the sample request and tracking the sample through log-in, analysis, quality assurance, review and approval.	✓			
D	SAMPLE TRACKING					
	D-1	Provide a hierarchical diagram of the parent/child relationships for core product terminology (e.g., tests comprise samples, samples comprise specifications, etc.).	✓			
	D-2	Explain any other nomenclature associated with the proposed system (e.g., location, project, etc.).	✓			
	D-3	Describe any event triggering available in the system and how such events are designated, added, amended, or deleted by a user or system administrator. The following are required at minimum: automated e-mails based on limit exceedance, upcoming hold times for samples in the Holding Area to one or multiple recipients.	✓			
	D-4	Describe the degree of configurability of the proposed system. Include items such as ability to add/create user defined data fields, changing screen labels, etc.		✓		
	D-4a	More specifically, describe the ability to modify screen labels for the limit terminology (e.g., MDL/LOD). Furthermore, describe the ability for reports to utilize the specified terminology.	✓			
	D-5	Describe any third party software proposed. Include details on products, version, intended usage, and	✓			

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		Mandatory / Required	Desired Feature	Standard Feature (YES/NO)	Custom Feature (YES/NO)	Custom Feature Fee
	licensing.					
D-6	Describe any modules, spreadsheets, web tools, or other water/wastewater-specific applications that assist in the electronic capture of data (e.g., BOD spreadsheet).	✓				
D-7	Describe the proposed system's document management/attachment capabilities, including the methodology used to attach/assign documents to any record in the database. Include discussion on where documents or files are stored and managed (e.g., within the database or as external references).	✓				
D-8	Describe the LIMS ability to allow data entry and review through browse screens (multiple record entry/review on a single screen).	✓				
D-9	Describe the number and type of user-definable fields available.	✓				
D-10	Describe provisions or plans for NELAP compliance. Please include discussion of current customers who utilize the proposed LIMS as a component of their NELAP certification, and in what capacity the system serves to aid in their accreditation.	✓				
D-10a	Describe the ability of the system to interface with the City of Houston accounts receivable system to invoice all clients.	✓				
D-10b	Ability to track billing errors.	✓				
D-11	Elaborate appropriately and succinctly any System Infrastructure considerations not listed in this section that is deemed important or essential functionality.	✓				

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			Mandatory / Required	Desired Feature	Standard Feature (YES/NO)	Custom Feature (YES/NO)	Custom Feature Fee
E	SAMPLE REQUESTS AND SCHEDULING						
	E-1	GENERAL RESPONSE / DESCRIPTION: Describe the proposed system's overall scheduling capabilities. Include such items as routine/standard sampling, ad-hoc, laboratory management (e.g., inventory, training, work management, etc.). Note: Only laboratory personnel will interact with sample scheduling tasks.	✓				
	E-2	Describe the available methods for sample request/scheduling (e.g., daily, weekly, "2nd Tuesday", "Every other Monday", etc.).	✓				
	E-3	Describe the proposed system's ability to schedule/assign tasks to individuals or sections within the laboratory.	✓				
	E-4	Describe the proposed system's ability to alter (i.e., prioritize, change dates, etc.) the stated/standard schedule and the process for deleting samples or tasks that are not received or executed.	✓				
	E-5	Describe the LIMS ability to store information in the database concerning the sample's origination, site address or collection point, the ability to record biographical data such as the project number, due date, sample priority, and pertinent sample splitting or field preparation details.	✓				
	E-6	Describe the LIMS schedule review capabilities (e.g., calendar format) and the ability to review past, present, and future sample requests.	✓				
	E-7	Describe the search criteria available within the scheduling element of the proposed system	✓				

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				Mandatory / Required	Desired Feature	Standard Feature (YES/NO)	Custom Feature (YES/NO)	Custom Feature Fee
	E-8	Elaborate appropriately and succinctly any System Infrastructure considerations not listed in this section that is deemed important or essential functionality.		✓				
F	SAMPLE IDENTIFICATION							
	F-1	GENERAL RESPONSE / DESCRIPTION: Information on sampling sites will be stored in the LIMS. The minimum data elements, which will be stored, are site ID, description, time, location and sampling frequency. Describe the LIMS basic sample identification method including sample ID and associated parameters. Include discussion on the automated creation of sample ID and when such ID is generated (e.g., upon receipt, during scheduling, etc.).		✓				
	F-2	Elaborate appropriately and succinctly any Sample Identification considerations not called out in this section that are deemed important differentiators or essential functionality.		✓				
G	SAMPLE RECEIVING <u>(Functional Requirements)</u>							
	G-1	GENERAL RESPONSE / DESCRIPTION: Describe how the proposed system handles the receiving of scheduled samples. Note: The City intends to utilize barcode labels for scheduled samples, however, please describe the receiving process for both bar-coded and hand-written labels.		✓				
	G-2	Describe the LIMS sample manual log-in function to accommodate ad-hoc requests.		✓				

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			Mandatory / Required	Desired Feature	Standard Feature (YES/NO)	Custom Feature (YES/NO)
G-3	Describe the LIMS multiple sample log-in function. This function shall allow a batch of similar samples to be logged in one operation, assigning unique sample identifications to each sample, and duplicating common fields for each sample in the batch. Individual samples must then be modifiable at the user's discretion.	✓				
G-3a	Describe LIMS ability to assign unique sample identification number to multiple vials or bottles of the same sample (e.g., 4 sample vials for each volatile organics sample.)	✓				
G-4	Describe the proposed system's ability to capture the following receiving data items as samples arrive at the laboratory:					
G-4a	Date and time of receipt	✓				
G-4b	Location of sample	✓				
G-4c	Time of sample collection (Need Start Time and End Time for Composite samples)	✓				
G-4d	Sample identification code	✓				
G-4e	Unusual sample conditions	✓				
G-4f	Tests requested	✓				
G-4g	Field test results	✓				
G-4h	Project ID	✓				
G-4i	Sample Temperature and pH	✓				
G-4j	Sample Splitting	✓				
G-4k	One or many sampler names	✓				
G-4l	Sample matrix	✓				
G-4m	Sample description	✓				
G-4n	Comments	✓				

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	G-4o	Describe and/or list additional data fields that can be captured during sample receiving.	✓			
	G-5	Describe the LIMS ability to add, store, associate, or delete sample information as appropriate (e.g. sample preparation, tests, holding time, storage requirements, type, time limits, etc.).	✓			
	G-6	Describe the proposed system's ability to allow authorized users to modify tests or procedures.		✓		
	G-7	The system must provide the ability to create subsamples, assign tests to that subsample, reconcile the parent sample (remove tests from), maintain parent/child relationship, and uniquely track custody of parent and child independently. Please describe how the LIMS accommodates these requirements during receiving.	✓			
	G-8	Describe the LIMS ability to associate sample holding times with each sample based on its sampling time to produce maximum holding time/date(s) based on sample types and tests required.	✓			
	G-9	Describe the system's ability to change ownership of a sample to either an individual or lab section. Include discussion of the LIMS' ability to either "push" samples to an individual/section or have the individual/section "pull" the sample to their ownership.	✓			
	G-10	Elaborate appropriately and succinctly any System Infrastructure considerations not listed in this section that is deemed important or essential functionality.	✓			
H	CHAIN OF CUSTODY (Functional Requirements)					

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			Mandatory / Required	Desired Feature	Standard Feature (YES/NO)	Custom Feature (YES/NO)	Custom Feature Fee
H-1	GENERAL RESPONSE / DESCRIPTION: Describe the LIMS process for handling chain of custody documents (i.e., when are they created, how are they linked to a sample/barcode label, etc.).						
H-2	Describe the system's ability to create a chain of custody for samples that arrive without supporting documentation.	✓					
H-3	Describe the LIMS ability to link scanned chain of custody documents to samples.	✓					
H-4	Describe the system's ability to allow certain departments to print chain of custody documents at their location.	✓					
H-5	Describe the proposed system's ability to capture the following receiving data items as samples arrive at the laboratory:	✓					
H-5a	User-definable Fields (e.g., identify the need for chain of custody document to be further reviewed).	✓					
H-6	Elaborate appropriately and succinctly any System Infrastructure considerations not listed in this section that is deemed important or essential functionality.	✓					
I	SAMPLE ANALYSIS AND TRACKING						
I-1	GENERAL RESPONSE / DESCRIPTION: Describe the LIMS ability to provide methods for monitoring sample status throughout the sample life-cycle. Sample status codes shall automatically be assigned and updated by the system based on events or transactions occurring.	✓					
I-2	Describe the LIMS ability to allow users to record and track field data results.		✓				

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I-3	Describe the process for assigning analysts (e.g., at schedule creation time, based on method certification, etc.) and the ability to alter this assignment based on actual work performed.		✓			
I-4	Describe the ability of the system to allow for assignment of tests and/or bottles to multiple analysts or lab sections (e.g., if sample was sub-sampled into multiple bottles, the bottle could have the need for analysis in multiple lab sections).		✓			
I-5	Describe the ability of the LIMS to track the physical location and designated "owner" of each bottle in the laboratory, including overnight refrigerator storage.	✓				
I-6	The system must provide the ability to create subsamples, assign tests to that subsample, reconcile the parent sample (remove tests from), maintain parent/child relationship, and uniquely track custody of parent and child independently. Please describe how the LIMS accommodates these requirements after sample custody has been transferred to an individual or lab section.		✓			
I-7	There may be more than one bottle collected for a single sample. Describe how the system provides the ability to run tests from different bottles that are the same sample (e.g., VOC – requires triplicate bottles but only use one for sampling purposes). This could be a grouping level above sample ID that allows the user to group/batch sample ID's into one. Analyses would be assigned to the group and not sample ID.	✓				
I-8	Describe the LIMS ability to provide an online review of results versus stated limits and/or boundaries.	✓				

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		Mandatory / Required	Desired Feature	Standard Feature (YES/NO)	Custom Feature (YES/NO)	Custom Feature Fee
	I-9	Describe the number of configurable limit sets assignable to a test (e.g. high/low, regulatory compliance, operational standards, watershed protection standards, detection limits).	✓			
	I-10	Describe the LIMS ability to generate work lists using various filter criteria (e.g., laboratory section, analyst, customer, etc.).	✓			
	I-11	Identify and describe the proposed system's assignment of work tasks, including the automatic assignment of tasks as well as due dates, holding times, etc.	✓			
	I-12	Describe the LIMS ability to allow users to configure data entry screens.	✓			
	I-13	Describe the LIMS ability to provide method references.	✓			
	I-14	Elaborating on C-11, Describe the LIMS ability to provide linking or embedding objects in association with samples and analyses. (e.g., graphics, logos, pdf files, etc.)	✓			
	I-15	Describe the overall handling and assignment of data qualifiers, including the following:	✓			
	I-15a	User options for calculations made with qualified data;	✓			
	I-15b	The ability to record special result values such as Not Detected, Not Measured, <, or Null	✓			
	I-15c	The capability to correctly handle all special result values in mathematical computations (including averages and log average, etc.).	✓			
	I-15d	The ability to define in advance how special result values will be handled in calculations. Note: qualifiers may be handled differently based on the sample type, customer, laboratory section, etc. (e.g., "<" may indicate use of MDL	✓			

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		for Pretreatment but indicate "zero" result for Code Compliance).					
	I-15e	The ability to define unique sample qualifier codes indicating special circumstances or conditions may apply to the test result (e.g., multiple analysts executed test, etc.).	✓				
	I-16	Describe the LIMS ability to provide information associated with sample analysis such as dilutions, sample prep, etc.	✓				
	I-17	Describe the LIMS performance of typical environmental calculations and statistical analysis.	✓				
	I-18	Describe the LIMS library of statistical calculations.	✓				
	I-19	Describe the LIMS allowance for the creation of a customized library of statistical functions/calculations/definitions.	✓				
	I-20	Describe the method for establishing calculations (e.g., excel format, native to the software) and ability to utilize a calculation wizard or similar.	✓				
	I-21	Describe the LIMS ability to provide the entry of test results in multiple formats, including (at a minimum):	✓				
	I-21a	All results from one test performed on many samples.	✓				
	I-21b	All results from many tests performed on one sample.	✓				
	I-21c	All results from one test performed on one sample.	✓				
	I-22	Describe the LIMS ability for users outside the lab to view sample status.	✓				

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I-23	Describe the assignment and configurability of significant figures; also defining number of digits after the decimal point and usage in calculations.	✓				
I-24	Describe the LIMS ability to provide comment fields attached to analytical results.	✓				
I-25	Describe the alerts and notifications available to users for such items as limit exceedance, overdue items, low inventory, etc.	✓				
I-26	Describe how the LIMS handles missing/blank sample analyses. Include missing or uncollected samples, incomplete tests within samples, and the process/need for purging/deleting the same.	✓				
I-27	Describe the proposed system's ability to support calculations based on the results of multiple analyses.	✓				
I-28	Describe how the proposed system handles re-testing and/or the direct editing of test result values or correction factors.	✓				
I-28a	Describe how the above process changes if such data has already been approved.	✓				
I-29	Describe any annotation available to designate a test result as questionable.	✓				
I-30	Describe the LIMS ability to import external / 3rd party analysis. (e.g., from contract laboratories), Please specify formats.		✓			
I-31	Elaborate appropriately and succinctly any System Infrastructure considerations not listed in this section that is deemed important or essential functionality.	✓				

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J	QA/QC (Functional Requirements)						
	J-1	GENERAL RESPONSE / DESCRIPTION: Describe the proposed system's ability to provide the storage and tracking of auditing information associated with samples, tests, and other analytical information retained within the LIMS. At minimum this should include such items as "last user", "last updated", replicate/re-test number, changed value, and associated comment for any changed or altered data.	✓				
	J-2	Describe the LIMS ability to create, assign, and track all QA/QC tasks (e.g., duplicates, spikes, reference checks, calibration standards, blanks, etc.).	✓				
	J-3	Describe any differences between the entry and maintenance of QC test results versus standard sampling results.	✓				
	J-4	Describe the proposed system's creation of QC codes.	✓				
	J-5	Describe the LIMS ability to provide control charts including user-selectable data sets, exclusion of outlying data points, and optional automatic updating of control limits.	✓				
	J-6	Describe the LIMS ability to provide instant communication to an analyst of QA acceptance or data reliability.	✓				
	J-7	Describe the LIMS ability to provide assessment and reporting of broad, long-term measures of QA performance (completeness, precision, accuracy, etc.).	✓				
	J-8	Describe the LIMS QA/QC functionality and reporting capability for sample batch.	✓				

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		Mandatory / Required	Desired Feature	Standard Feature (YES/NO)	Custom Feature (YES/NO)	Custom Feature Fee
	J-9	Describe the LIMS ability to provide a log for software/hardware.	✓			
	J-10	Describe the system's ability to provide QA/QC templates (reference libraries, calculations, codes, etc.).	✓			
	J-11	Describe the LIMS ability to provide a mandatory comment field on records updated or marked for deletion.	✓			
	J-12	Elaborate appropriately and succinctly any System Infrastructure considerations not listed in this section that is deemed important or essential functionality.	✓			
K	DATA VALIDATION AND APPROVAL (Functional Requirements)		✓			
	K-1	GENERAL RESPONSE / DESCRIPTION: Describe the ability of the proposed system, at a minimum, to maintain two levels of data validation for an individual test (Senior/QC).	✓			
	K-2	Describe the LIMS ability to allow for validation/approval by a number of filter criteria (e.g., analyst, test, location, batch, etc.).	✓			
	K-3	Should a sample have items in multiple batches, all batches shall be validated before the samples status becomes "Reportable" (or similar status). Please describe the LIMS ability to meet this requirement.	✓			
	K-4	Describe the LIMS ability to create test replicates without deletion of invalid tests.	✓			
	K-5	Describe the LIMS notification process for those samples that are awaiting approval.	✓			
	K-6	Describe the LIMS ability to flag results that are questionable by control charts even if results are valid and pass QA/QC.	✓			

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K-7	Describe the ability for an analyst to flag results in the LIMS that are questionable even if results are valid and pass QA/QC.	✓				
K-8	Describe the LIMS ability to provide validation criteria information related to location (i.e., ability to establish location-specific limits).	✓				
K-9	Elaborate appropriately and succinctly any System Infrastructure considerations not listed in this section that is deemed important or essential functionality.	✓				
L	LABORATORY MANAGEMENT AND STANDARDS <u>(Functional Requirements)</u>					
L-1	GENERAL RESPONSE / DESCRIPTION: Describe the LIMS ability to provide online inventory of chemicals, reagent and supplies and the ability to record expiration dates. Describe the method used to add inventory to the system, as well as whether or not the system has the ability to automatically decrement inventory based on sample runs.	✓				
L-2	Describe the LIMS ability to track preventive and standard maintenance on instruments and alert staff when maintenance is required.	✓				
L-3	Describe the LIMS ability to maintain document attachments for items such as, but not limited to, procedures, safety information, project information/project plans, QA plans, resource planning, monitoring schedules, etc.	✓				
L-4	Describe the LIMS ability to provide work assignment features for planning and scheduling the laboratory's workload. These features shall take into account:	✓				

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			Mandatory / Required	Desired Feature	Standard Feature (YES/NO)	Custom Feature (YES/NO)	Custom Feature Fee
	L-4a	Sample priority	✓				
	L-4b	Maximum valid holding time	✓				
	L-4c	Sample age	✓				
	L-4d	Due date	✓				
	L-5	Describe the LIMS ability to track certifications and training including renewal criteria/dates.	✓				
	L-6	Describe the ability of the LIMS to track Lab Accreditation and Certification records such as proficiency testing results, safety training certifications, and approval status for each method.		✓			
	L-7	Describe the ability of the LIMS to track reagent-calibration standardization.*** Joe & Emina will re-word	✓				
	L-8	Describe the proposed system's existing testing methods library.	✓				
	L-9	Describe the ability of the LIMS to track the actions taken to ensure supplies received in a lot meet specifications (e.g., NELAP requires that one bottle from a lot needs to be checked to verify that it meets specifications).	✓				
	L-10	Elaborate appropriately and succinctly any System Infrastructure considerations not listed in this section that is deemed important or essential functionality.	✓				
M	REPORTING AND DATA EXPORT (Functional Requirements)						
	M-1	GENERAL RESPONSE / DESCRIPTION: Please explain the Vendor's experience with Texas regulatory reporting for water and wastewater, including electronic or otherwise.	✓				

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M-2	Please indicate Vendor's experience/compliance with the EPA Electronic Data Interchange (EDI) programs and procedures.	✓				
M-3	For M-4 through M-10 below, please indicate if the report and/or function is exportable, has print capabilities, or both.	✓				
M-4	Describe any inherent system ad-hoc reporting functionality including the ability to export query results to third party software (i.e., Excel, Access, etc.). Description should include discussion on ability to save and share reports and to establish filters (e.g., saving the report template but allowing users to select specific criteria).	✓				
M-5	Describe any inherent system functionality which enables/facilitates cross-source reporting (e.g., comparative analyses on different sampling locations).	✓				
M-6	Describe any inherent system graphing functionality.		✓			
M-7	Describe the trending and statistical analysis capabilities of the proposed LIMS.	✓				
M-8a	Describe the use or reliance on any third party ad-hoc reporting tools (e.g., Crystal Reports) for standard or non-standard reporting.	✓				
M-8b	Describe query capabilities and indexing functionality	✓				

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M-9	The following reports identified below are required. The vendor must provide 10 business days of report development. We desire to create ad-hoc reports without vendor assistance.	✓				
M-9a	Analytical Reports Pb testing	✓				
M-9b	Analytical Report Standard Version	✓				
M-9c	Bacteriological Monthly Report (TCEQ Electronic Reporting.pdf includes instructions for this report)	✓				
M-9d	Bacteriological Report to clients	✓				
M-9e	Exception Report	✓				
M-9f	Invoice		✓			
M-9g	Micro Bench Sheet Form	✓				
M-9h	Monthly Distribution Report to TCEQ		✓			
M-9i	NELAC Report		✓			
M-9j	Sample Receipt	✓				
M-9k	Tracking Sheets		✓			
M-9l	Analytical Reports Inorganic testing	✓				
M-9m	Analytical Reports for Organic testing	✓				
M-9n	Reports for Dairy testing	✓				
M-10	Provide a list of any "standard" reports to be supplied with the system. These reports may include those of an operational (e.g., analyses reporting), management (e.g., QA reporting, overdue analyses), transactional (e.g., audit trail) and/or general system nature.	✓				
M-11	Describe the users' ability to restrict, segregate, or include the publication/reporting of raw (i.e., unapproved) data. If unapproved data is utilized in a report, describe the LIMS ability to denote the same		✓			

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	visually on the report.					
	M-12		✓			
	M-13	✓				
	M-14		✓			
	M-15	✓				
	M-16	✓				
	M-17	✓				
N	INSTRUMENT INTERFACES (Functional Requirements)					
	N-1	✓				

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N-2	Please state whether the proposed system has previously interfaced with the instruments listed below. (Indicate the cost associated with each instrument interface in the vender, "Cost Proposal" sheet.)	✓				
N-2a	Two (2) Varian/HP Gas Chromatographs w/ Mass Spectrometry. Model 2100	✓				
N-2b	Two (2) HP Gas Chromatographs w/ FID/ECD Detectors	✓				
N-2c	One (1) Inductively Coupled Plasma Spectrometry equip	✓				
N-2d	One (1) BOD Analyzer	✓				
N-2e	Two (2) DIONEX IC. Model # DX 1100 & 1000	✓				
N-2f	Two (2) Latchet/Hach analyzer. Quick Chem Model 8500 & 8000	✓				
N-2g	One (1) PE Mercury Analyzer. FIMS 100	✓				
N-2h	Three (3) Sartorius/Mettler Analytical Balance	✓				
N-2i	Two (2) Perkin Elmer AA spectrophotometer. PE Model 800 and Model 400	✓				
N-2j	One (1) Bentley Somacount 150	✓				
N-2k	One (1) Charm, Rosa Reader	✓				
N-2l	One (1) Advanced Instruments, Fluorophos	✓				
N-2m	One (1) Advanced Instruments, Cryoscope	✓				
N-2n	One (1) 3M,PPR	✓				
N-3	Describe any hardware required to support the proposed instrument interfaces.	✓				
N-4	Describe any third party software utilized in the interfacing of instruments and the basic functionality/benefits of each.	✓				

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	N-5	Describe the ability of the system to allow users to select the data to use from instrument analysis files. There may be more than one set of data and the user needs the ability to choose which is to be utilized.	✓				
	N-6	Elaborate appropriately and succinctly any System Infrastructure considerations not listed in this section that is deemed important or essential functionality.	✓				
O	EXTERNAL INTERFACES (Functional Requirements)						
	O-1	GENERAL RESPONSE / DESCRIPTION: The proposed LIMS must provide the ability to export a file of LIMS data to third parties.	✓	*** IT will provide the appropriate information			
	O-2	Elaborate appropriately and succinctly any System Infrastructure considerations not listed in this section that is deemed important or essential functionality.	✓				
P	HANDHELD OR OTHER MOBILE DEVICES (Functional Requirements)						
	P-1	Vendor's recommendation for collecting samples and entering information from remote sites.	✓				
	P-2	Elaborate appropriately and succinctly any System Infrastructure considerations not listed in this section that is deemed important or essential functionality.	✓				
Q	BAR-CODING (Functional Requirements)						

SPECIFICATIONS / SCOPE OF WORK
SOLICITATION NO.: S30-T24411

		HDHHS Bureau of Laboratory Services	Vendor Response ***Please provide a complete narrative response in addition to completing these columns.			
		Mandatory / Required	Desired Feature	Standard Feature (YES/NO)	Custom Feature (YES/NO)	Custom Feature Fee
	Q-1	GENERAL RESPONSE / DESCRIPTION: Provide an overview of the use of bar code label printing and scanning, and provide a recommendation on how best to incorporate this functionality into a lab's operations. Include such items as the configurability of labels, handling of sample split tracking, integration with sample schedules, ad-hoc production, etc.	✓			
	Q-2	Provide a recommendation for bar code scanners, printers, software, and any other hardware necessary to implement bar coding within the City.	✓			
	Q-3	If third party products are used, describe the degree of integration with the core solution and any supplemental training needed to operate the software.	✓			
	Q-4	Describe the proposed system's ability to integrate bar-coded labels with established sample schedules so as to print for being affixed to bottles in advance.	✓			
	Q-5	Describe the LIMS ability to generate and read bar codes for identification, utilization on labels, chain of custody documents, and data entry purposes.	✓			
	Q-6	Describe the system's ability to allow certain departments to print bottle labels at their location.	✓			
	Q-7	Describe the ability to re-print a label, even if part of a larger batch.	✓			
	Q-8	Describe the ability to print ad-hoc labels as in the case of a walk-in sample.	✓			
	Q-9	Elaborate appropriately and succinctly any System Infrastructure considerations not listed in this section that is deemed important or essential functionality.	✓			

SPECIFICATIONS / SCOPE OF WORK
SOLICITATION NO.: S30-T24411

		HDHHS Bureau of Laboratory Services	Vendor Response ***Please provide a complete narrative response in addition to completing these columns.				
			Mandatory / Required	Desired Feature	Standard Feature (YES/NO)	Custom Feature (YES/NO)	Custom Feature Fee
R	TRAINING AND DOCUMENTATION (Functional Requirements)						
	R-1	GENERAL RESPONSE / DESCRIPTION: The City has facilities to accommodate training up to 10 people at a time. Describe the approach and curriculum for each of the classes listed below, including number of days, necessary skills of attendees, etc. (those identified should be considered the minimum requirement), and any others you recommend. Required on-site/hands on-training.	✓				
	R-1a	End-user training classes (The City will have approximately 18 participants for this session)	✓				
	R-1b	Separate System Administrator training classes for Administrators and Power Users (The City will have approximately 4 participants for this session)	✓				
	R-1c	Separate report training depending on the method of reporting proposed: How to write reports within the LIMS--from data to report.	✓				
	R-1d	Training for sufficient number of days must be provided so that end users and power users are knowledgeable enough to use the system on a daily basis. A minimum of 30 days of training is requested.	✓				
	R-1e	Follow-up training onsite within 40-90 days; explain how system proficiency is ensured after the follow-up training.	✓				
	R-2	Describe the proposed system's training materials (e.g., video, online/CD training, workbooks) to enable future end users to learn the system without need of formal classroom based training. Note: Offering a "train-the-trainer" curriculum is not sufficient for meeting this requirement.	✓				

SPECIFICATIONS / SCOPE OF WORK
SOLICITATION NO.: S30-T24411

		HDHHS Bureau of Laboratory Services	Vendor Response ***Please provide a complete narrative response in addition to completing these columns.			
			Mandatory / Required	Desired Feature	Standard Feature (YES/NO)	Custom Feature (YES/NO)
R-3	Describe any third party training necessary for use of the proposed system.	✓				
R-4	All training must be provided at City facilities. Designate any costs not covered in this proposal.	✓				
R-5	Describe the proposed LIMS documentation, including all system administration guides, technical reference guides, training materials, end-user manuals, and report development guides.	✓				
R-6	Describe all online help and documentation, including search capabilities, context sensitive searching, etc.	✓				
R-7	Describe database documentation available, including entity relationship diagrams, table structures and definitions, and other associated elements.	✓				
R-8	List any third party documentation to be delivered (e.g., Crystal Reports, hardware manuals, label printing guides, etc.)	✓				
R-9	Describe any regular user conferences or user group seminars sponsored by the vendor.	✓				
R-10	Elaborate appropriately and succinctly any System Infrastructure considerations not listed in this section that is deemed important or essential functionality.	✓				
S	SYSTEM SUPPORT					
S-1	GENERAL RESPONSE / DESCRIPTION: Explain upgrade functionality cost and procedures	✓				

SPECIFICATIONS / SCOPE OF WORK
SOLICITATION NO.: S30-T24411

		HDHHS Bureau of Laboratory Services	Vendor Response ***Please provide a complete narrative response in addition to completing these columns.				
		Mandatory / Required	Desired Feature	Standard Feature (YES/NO)	Custom Feature (YES/NO)	Custom Feature Fee	
	S-2	Describe the ability to provide the following minimum support items:	✓				
	S-2a	The system should be provided with telephone and online support seven days a week, Sunday-Saturday (8:00 a.m. to 5:00 p.m. CST). If the vendor's standard support hours fall outside of this time frame, describe the process that will used to support City.	✓				
	S-2b	Provide the cost difference between standard business hour support and 24x7 supports, if available.	✓				
	S-2c	Response time of issues should be within 4 business hours.	✓				
	S-2d	The system should be provided with annual upgrades and "bug" fixes as required.	✓				
	S-2e	All upgrades or system patches must be provided with full documentation concerning the nature of the change and the process for its installation.	✓				
	S-2f	Phone support must be available during the installation of any issued upgrade/patch.	✓				
	S-3	Describe support procedures for incidents occurring outside normal business hours and/or emergency/critical situations.	✓				
	S-4	Describe the process for system updates such that no content, links, configuration settings, files, etc. are abandoned.	✓				
	S-5	Describe any additional support functions offered as part of the proposed system (e.g., off-hours support availability).	✓				
	S-6	Describe, with examples, the prioritization of support	✓				

SPECIFICATIONS / SCOPE OF WORK
SOLICITATION NO.: S30-T24411

		HDHHS Bureau of Laboratory Services	Vendor Response ***Please provide a complete narrative response in addition to completing these columns.				
			Mandatory / Required	Desired Feature	Standard Feature (YES/NO)	Custom Feature (YES/NO)	Custom Feature Fee
		calls and the intended response time for resolution of each level of priority.					
	S-7	Fully describe the path for support issue escalation.	✓				
	S-8	Indicate the duration of continued maintenance and support for superseded releases.	✓				
	S-9	Describe any annual roadmap sessions available to communicate near-term functionality upgrades to clients.		✓			
	S-10	Provide 5 year hardware and software support and maintenance costs.					
	S-11	Describe the ability to purge data from the system after a specified amount of time.	✓				
	S-12	Elaborate appropriately and succinctly any System Infrastructure considerations not listed in this section that is deemed important or essential functionality.	✓				
T	INVOICING/BILLING						
	T-1	GENERAL RESPONSE / DESCRIPTION: The City may provide analytical services to external agencies and send invoices as needed. Describe the proposed systems ability to track analyses by customer, to assign costs by sample or test, and to produce invoices. Please fully describe the system's fee structure capabilities.	✓				
	T-2	Describe the LIMS contact management system used to maintain addresses and other relevant information that can be assimilated on an invoice.		✓			
	T-3	Describe the proposed system's cost accounting and management functions for tracking invoice payment and for maintaining accounts payable information. System's		✓			

SPECIFICATIONS / SCOPE OF WORK
SOLICITATION NO.: S30-T24411

		HDHHS Bureau of Laboratory Services	Vendor Response ***Please provide a complete narrative response in addition to completing these columns.				
			Mandatory / Required	Desired Feature	Standard Feature (YES/NO)	Custom Feature (YES/NO)	Custom Feature Fee
		ability to interface with City's SAP system for billing purpose.					
	T-4	Describe the ability of the system to import payment details from a spreadsheet and allow external customers to view the status of an invoice.		✓			
	T-5	Elaborate appropriately and succinctly any System Infrastructure considerations not listed in this section that is deemed important or essential functionality.	✓				
U	OTHER REQUIREMENTS						
	U-1	Elaborate appropriately and succinctly any System Infrastructure considerations not listed in this section that is deemed important or essential functionality.	✓				

PROPOSAL OUTLINE AND MINIMUM CONTENT REQUIREMENTS

SOLICITATION NO.: S30-T24411

To simplify the review process and to obtain the maximum degree of comparability, the Proposal must follow the outline as set forth below and, at a minimum, contain the information as requested. Offeror(s) are encouraged to include additional relevant information.

1.0 TITLE PAGE:

1.1 The title page should include the title and number of the RFP, name and address of the Offeror(s), and the date of the Proposal.

2.0 OFFER & SUBMITTAL FORM:

2.1 PROPOSAL MUST BE SIGNED AND NOTORIZED BY AN AUTHORIZED REPRESENTATIVE(S) OF THE PROPOSER, WHICH MUST BE THE ACTUAL LEGAL ENTITY THAT WILL PERFORM THE CONTRACT IF AWARDED AND THE TOTAL FIXED PRICE CONTAINED THEREIN SHALL REMAIN FIRM FOR A PERIOD OF ONE-HUNDRED EIGHTY (180) DAYS.

3.0 LETTER OF TRANSMITTAL:

3.1 A letter of transmittal shall include the following:

3.1.1 The names, titles, addresses, and telephone numbers of the individuals who are authorized to make representation on behalf of the Offeror.

3.1.2 A statement that the per-unit proposed price and/or lump sum (if prices are proposed) is the total fixed price for the equipment and services enumerated.

3.1.3 A statement that the person signing the letter of transmittal is authorized to legally bind the Offeror; that the Proposal and the total fixed price contained therein shall remain firm for a period of one hundred-eighty (180) days, and that the Proposal will comply with the requirements and arrangements stated in the RFP.

4.0 EXPERTISE/EXPERIENCE/QUALIFICATION STATEMENT:

4.1 Provide a brief statement describing the Offeror's background information, history, resources and/or track record. Please limit to three (3) pages.

4.2 Provide an organizational chart of proposed team or staff for this project.

4.3 Provide resumes of key personnel whom will be responsible for the delivery of the services/project.

4.4 Provide copies of key personnel certifications and/or licenses.

5.0 PROPOSED STRATEGY AND OPERATIONAL PLAN:

5.1 Provide a detailed description and methodology of the proposed plan for the RFP requirements, which should include, but not be limited to the following:

5.1.1 A brief statement of the Offeror understanding of the work to be done; and

5.1.2 A detailed description that clearly defines the method of approach that will be utilized in the successful achievement of the RFP's intended Scope of Work.

5.1.3 Provide responses to items referenced in statement of work on pages 21-50.

PROPOSAL OUTLINE AND MINIMUM CONTENT REQUIREMENTS

SOLICITATION NO.: S30-T24411

6.0 PROPOSED EQUIPMENT:

6.1 Provide complete equipment description, design, functions, and technical specifications that are being proposed for usage.

7.0 FINANCIAL STATEMENTS:

7.1 Submit your company's audited annual financial statements, in accordance with and as defined in the Financial Accounting Standards Board (FASB) regulation(s) for the past two years. In addition, include your and Dunn & Bradstreet Report or Federal Tax Forms Filed to the Internal Revenue Service (IRS) for the past two years.

8.0 CONTENTS:

8.1 The contents should be identified by section, description, page number, and should include, at a minimum, the following sections:

8.1.1 Title Page

8.1.2 Signed and Notarized Offer and Submittal Form (Exhibit I)

8.1.3 Letter of Transmittal

8.1.4 Expertise/Experience/Reliability Statement

8.1.5 Organizational Chart, Resumes and Certifications/Licenses of Proposed Key Personnel

8.1.6 Proposed Strategy/Operational Plan and Proposed Equipment

8.1.7 Financial Statement and Dunn & Bradstreet Reports or Federal Tax Forms Filed for Past Two Years

8.1.8 Signed M/WBE Forms: Attachment "A" Schedule of M/WBE Participation, and Attachment "B" Letter of Intent (Exhibit II)

8.1.9 List of References and List of Proposed Subcontractors (Exhibit I)

8.1.10 Pricing Form/Fee Schedule (Exhibit III)

8.1.11 Fair Campaign Ordinance Form "A" (Exhibit V) and Affidavit of Ownership or Control (Exhibit VI)

8.1.12 Drug Compliance Agreement Attachment "A" and Contractor's Certification of No Safety Impact Positions Attachment "C" (Exhibit VII)

8.1.13 Anti-Collusion Statement (Exhibit VIII)

8.1.14 Conflict of Interest Questionnaire (Exhibit IX)

8.1.15 City Contractors' Pay or Play Acknowledgement Form and Pay or Play Certificate Agreement (Exhibit X)

8.1.16 Hire Houston First Affidavit (Download Copy at [://purchasing.houstontx.gov/index.shtml](http://purchasing.houstontx.gov/index.shtml) and submit to MOBO via e-mail to [-MOBO@houstontx.gov](mailto:MOBO@houstontx.gov) or fax to 832.393.0952) or submit copy with proposal.

8.1.17 Requested Information Outlined in the Scope of Work and Other Additional Relevant/Supporting Information or Alternate Proposals

EXHIBIT I – OFFER AND SUBMITTAL
SOLICITATION NO.: S30-T24411

1.0 EVALUATION SUMMARY:

1.1 An evaluation committee will develop a short list of Offeror(s) based upon the initial review of each Proposal received. The short listed Offeror(s) may be scheduled for a structured oral presentation, demonstration and/or interview. Such presentations will be at no cost to the City of Houston. At the end of the oral presentation, demonstration and/or interview, the evaluation of the short listed Offeror(s) will be completed. However, the evaluation committee reserves the right to issue letter(s) of clarity when deemed necessary to any or all Offeror(s). The oral presentations, demonstrations and/or interview may be recorded and/or videotaped.

2.0 SELECTION PROCESS:

2.1 The award of this contract(s) will be made to the respondent(s) offering the response which best meets the needs of the City. The City may make investigations, as it deems necessary, to determine the capabilities of the Offeror(s) to create, modify and implement the required application modules. The Offeror(s) shall furnish to the City such data as the City may request for this purpose. The City reserves the right to reject any offer if the evidence submitted by or the investigation of the Offeror(s) fails to satisfy the City or the Offeror(s) is deemed unqualified to provide the services contemplated. Each Proposal will be evaluated on the basis of the following evaluation criteria that are listed in order of importance below:

2.1.1 Proposers Solution and Address of Requirements - 25 points

2.1.2 Cost - 20 points

2.1.3 Experience with LIMS and Background - 15 points

2.1.4 Responsiveness to RFP, Project Management - 15 points

2.1.5 Documentation and Training - 10 points

2.1.6 Financial Status - 10 points

2.1.7 Quality of Vendor Proposal - 5 points

* Hire Houston First Preference Points (City Business = five (5) extra percentage points or Local Business = three (3) extra percentage points and Non-City and Non-Local Business will receive zero (0) extra percentage points).

REMAINING PORTION OF PAGE INTENTIONALLY LEFT BLANK

EXHIBIT I – OFFER AND SUBMITTAL
SOLICITATION NO.: S30-T24411

NOTE: PROPOSAL MUST BE SIGNED AND NOTORIZED BY AN AUTHORIZED REPRESENTATIVE(S) OF THE PROPOSER, WHICH MUST BE THE ACTUAL LEGAL ENTITY THAT WILL PERFORM THE CONTRACT IF AWARDED AND THE TOTAL FIXED PRICE CONTAINED THEREIN 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 – REFERENCES
SOLICITATION NO.: S30-T24411

LIST OF PREVIOUS CUSTOMERS

1. Name: _____ Phone No.: _____
Address: _____
Contract Award Date: _____ Contract Completion Date: _____
Contract Name/Title: _____
System Description: _____

2. Name: _____ Phone No.: _____
Address: _____
Contract Award Date: _____ Contract Completion Date: _____
Contract Name/Title: _____
System Description: _____

3. Name: _____ Phone No.: _____
Address: _____
Contract Award Date: _____ Contract Completion Date: _____
Contract Name/Title: _____
System Description: _____

4. Name: _____ Phone No.: _____
Address: _____
Contract Award Date: _____ Contract Completion Date: _____
Contract Name/Title: _____
System Description: _____

**EXHIBIT IV – INSURANCE REQUIREMENTS AND SAMPLE
INSURANCE CERTIFICATE
SOLICITATION NO.: S30-T24411**

To comply with the Terms & Conditions for insurance in a City of Houston Service Contract, the Contractor's Insurance Certificate must be prepared as follows and shall meet the requirements set forth in this Solicitation:

- A. The City of Houston must be listed as an **additional insured** on the face of the Certificate, except those for Worker's Compensation and Employer's Liability.
- B. Each Policy must contain an endorsement to the effect that **the issuer waives any claim or right in the nature of subrogation** to recover against the City, its officers, agents or employees.
- C. The City of Houston must be included in the Insurer's Notification Requirement, which may be accomplished in one of the following ways:
 - 1. By the Contractor's Insurance Agent revising the standard cancellation clause to read substantially as follows (all handwritten strike-outs, additions, and changes to the original text, must all be initialed by the Insurance Agent authorized to make such changes):

=====C A N C E L L A T I O N=====

J. D.

NON-RENEWED

SHOULD ANY OF THE ABOVE DESCRIBED POLICIES BE CANCELLED BEFORE THE EXPIRATION

J. D.

DATE THEREOF, THE ISSUING COMPANY WILL ~~ENDEAVOR TO MAIL~~ 30 DAYS WRITTEN NOTICE OF SUCH CHANGE TO THE CERTIFICATE HOLDER NAMED (TO THE LEFT), ~~BUT FAILURE TO MAIL SUCH NOTICE SHALL IMPOSE NO OBLIGATION OR LIABILITY OF ANY KIND~~

J. D.

~~UPON THE COMPANY, ITS AGENTS OR REPRESENTATIVES.~~

=====

AUTHORIZED REPRESENTATIVE OF INSURER John Doe

=====

- O R -

- 2. By Attaching Endorsements in the form attached.
- D. Contractor shall require all subcontractors to carry insurance naming the City as an additional insured and meeting the all of the above requirements except as to amount. The amount shall be commensurate with the amount of the subcontract, but not in no case shall it be less than \$500,000 per occurrence.

**EXHIBIT IV – INSURANCE REQUIREMENTS AND SAMPLE
INSURANCE CERTIFICATE
SOLICITATION NO.: S30-T24411**

Revised - 03/09/95

CERTIFICATE OF INSURANCE EXPLANATIONS

1. Certificate must not be more than 90 days old.
2. Name and Address of Producer writing coverage.
3. Name of each insurance company providing coverage (as listed in Best's Key Rating Guide or on company's Certificate of Authority on file with Texas Department of Insurance). Each company must have (1) a Certificate of Authority to transact insurance business in Texas or (2) be an eligible non-admitted insurer in the State of Texas and have a Best's rating of B+ or better and a Best's financial size category of class VI or better according to the most current edition Best's Key Rating Guide.
4. Name and address of Insured (as shown on policy)
5. Letter in the column must reference the insurer of the policy being described
6. Must be a policy number; no binders will be accepted
7. Date policy became effective
8. Expiration date must be at least **30** days from date of delivery of certificate
9. Name and file number of project
10. Name of project manager
11. Signature or facsimile signature of authorized representative of Producer (blue ink preferred)
12. All required endorsements must accompany the certificate

EXHIBIT IV – INSURANCE REQUIREMENTS AND SAMPLE INSURANCE CERTIFICATE

SOLICITATION NO.: S30-T24411

ACORD. CERTIFICATE OF INSURANCE Issue Date (MM/DD/YY)

PRODUCER

ISSUERS OF POLICIES. THE ISSUER SHALL HAVE A RATING OF AT LEAST B + AND FINANCIAL SIZE OF CLASS VI OR BETTER ACCORDING TO THE CURRENT YEAR'S BEST RATING.

THIS CERTIFICATE IS ISSUED AS A MATTER OF INFORMATION ONLY AND CONFERS NO RIGHTS UPON THE CERTIFICATE HOLDER. THIS CERTIFICATE DOES NOT AMEND, EXTEND OR ALTER THE COVERAGE AFFORDED BY THE POLICIES BELOW.

INSURED

SAMPLE FORM

COMPANIES AFFORDING COVERAGE

-
- COMPANY A
-
- COMPANY B
-
- COMPANY C
-
- COMPANY D
-
- COMPANY E

COVERAGE'S

THIS IS TO CERTIFY THAT THE POLICIES OF INSURANCE LISTED BELOW HAVE BEEN ISSUED TO THE INSURED NAMED ABOVE FOR THE POLICY PERIOD INDICATED, NOTWITHSTANDING ANY REQUIREMENT, TERM OR CONDITION OF ANY CONTRACT OR OTHER DOCUMENT WITH RESPECT TO WHICH THIS CERTIFICATE MAY BE ISSUED OR MAY PERTAIN. THE INSURANCE AFFORDED BY THE POLICIES DESCRIBED HEREIN IS SUBJECT TO ALL THE TERMS, EXCLUSIONS AND CONDITIONS OF SUCH POLICIES. LIMITS SHOWN MAY HAVE BEEN REDUCED BY PAID CLAIMS.

CO LTR.	TYPE OF INSURANCE	POLICY NUMBER	EFFECTIVE DATE (MM/DD/YY)	POLICY EXPIRATION (MM/DD/YY)	POLICY LIMITS
A.	General Liability (X) Commercial General Liability Claims Made (X) Occur. Owners & Contractors Prot.			General Aggregate Products-Comp/Op Agg. Personal & Adv. Injury Each Occurrence Fire Damage (Any one fire) Med. Expense (Any one person)	\$1,000,000 \$1,000,000 \$1,000,000 \$ 500,000 \$ 50,000 \$ 5,000
A.	Automobile Liability (X) Any Auto (X) All Owned Autos () Scheduled Autos () Hired Autos () Non-Owned Autos () Garage Liability		Auto Liability Insurance for autos furnished or used in the course of performance of this Contract. Including Owned, Non-owned, and Hired Auto coverage. (Any Auto coverage may be substituted for Owned, Non-owned and Hired Auto Coverage.) If no autos are owned by Contractor, coverage may be limited to Non-owned and Hired Autos. If Owned Auto coverage cannot be purchased by Contractor, Scheduled Auto coverage may be substituted for Owned Auto coverage. EACH AUTO USED IN PERFORMANCE OF THIS CONTRACT SHALL BE COVERED IN THE LIMITS SPECIFIED.	Combined Single Limit Bodily Injury (Per person) Bodily Injury (Per Accident) Property Damage	\$1,000,000 \$ \$ \$
	Excess Liability			Each Occurrence Aggregate	\$ \$
	Worker's Compensation and Employee Liability	Statutory Limits	(X)	Statutory Limits Each Accident Disease - Policy Limit Disease - Each Employee	\$ 100,000 \$ 100,000 \$ 100,000
	Other				

DESCRIPTION OF OPERATION/LOCATIONS/VEHICLES/SPECIAL ITEMS

City of Houston is named as additional insured on Auto and General Liability policies, and Waiver of Subrogation on Auto, General Liability, and Worker's Compensation.
For (Project Name)

CERTIFICATE HOLDER

SHALL BE MODIFIED AS FOLLOWS: **CANCELLATION**
SHOULD ANY OF THE ABOVE DESCRIBED POLICIES BE CANCELLED NON-RENEWED BEFORE THE EXPIRATION DATE THERE OF, THE ISSUING COMPANY WILL MAIL THIRTY (30) DAYS WRITTEN NOTICE TO THE CERTIFICATE HOLDER NAMED TO THE LEFT. CITY OF HOUSTON / FINANCE AND ADMINISTRATION

DEPARTMENT – STRATEGIC PURCHASING DIVISION

P.O. BOX 1562
HOUSTON, TEXAS 77251

AUTHORIZED REPRESENTATIVE

EXHIBIT IV – INSURANCE REQUIREMENTS AND SAMPLE INSURANCE CERTIFICATE SOLICITATION NO.: S30-T24411

ISO | Commercial Auto Forms | 06/01/04
POLICY NUMBER:

COMMERCIAL AUTO
CA 04 03 06 04

THIS ENDORSEMENT CHANGES THE POLICY. PLEASE READ IT CAREFULLY.

TEXAS ADDITIONAL INSURED

This endorsement modifies insurance provided under the following:

**BUSINESS AUTO COVERAGE FORM
GARAGE COVERAGE FORM
MOTOR CARRIER COVERAGE FORM
TRUCKERS COVERAGE FORM**

With respect to coverage provided by this endorsement, the provisions of the Coverage Form apply unless modified by the endorsement.

This endorsement changes the policy effective on the inception date of the policy unless another date is indicated below.

Endorsement Effective:	Countersigned By:
Named Insured:	(Authorized Representative)

SCHEDULE

Name and Address of Additional Insured:

(If no entry appears above, information required to complete this endorsement will be shown in the Declarations as applicable to this endorsement.)

- A. Who Is An Insured (Section II) is amended to include as an "insured" the person(s) or organization(s) shown in the Schedule, but only with respect to their legal liability for acts or omissions of a person for whom Liability Coverage is afforded under this policy.
- B. The additional insured named in the Schedule or Declarations is not required to pay for any premiums stated in the policy or earned from the policy. Any return premium and any dividend, if applicable, declared by us shall be paid to you.
- C. You are authorized to act for the additional insured named in the Schedule or Declarations in all matters pertaining to this insurance.
- D. We will mail the additional insured named in the Schedule or Declarations notice of any cancellation of this policy. If we cancel, we will give 10 days notice to the additional insured.
- E. The additional insured named in the Schedule or Declarations will retain any right of recovery as a claimant under this policy.

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**EXHIBIT IV – INSURANCE REQUIREMENTS AND SAMPLE
INSURANCE CERTIFICATE
SOLICITATION NO.: S30-T24411**

POLICY NUMBER:

COMMERCIAL AUTO
CA 04 44 03 10

THIS ENDORSEMENT CHANGES THE POLICY. PLEASE READ IT CAREFULLY.

**WAIVER OF TRANSFER OF RIGHTS OF RECOVERY
AGAINST OTHERS TO US (WAIVER OF SUBROGATION)**

This endorsement modifies insurance provided under the following:

BUSINESS AUTO COVERAGE FORM
BUSINESS AUTO PHYSICAL DAMAGE COVERAGE FORM
GARAGE COVERAGE FORM
MOTOR CARRIER COVERAGE FORM
TRUCKERS COVERAGE FORM

With respect to coverage provided by this endorsement, the provisions of the Coverage Form apply unless modified by the endorsement.

This endorsement changes the policy effective on the inception date of the policy unless another date is indicated below.

Named Insured:

Endorsement Effective Date:

SCHEDULE

Name(s) Of Person(s) Or Organization(s):

Information required to complete this Schedule, if not shown above, will be shown in the Declarations.

The **Transfer Of Rights Of Recovery Against Others To Us** Condition does not apply to the person(s) or organization(s) shown in the Schedule, but only to the extent that subrogation is waived prior to the "accident" or the "loss" under a contract with that person or organization.

**EXHIBIT IV – INSURANCE REQUIREMENTS AND SAMPLE
INSURANCE CERTIFICATE
SOLICITATION NO.: S30-T24411
ENDORSEMENT**

This endorsement, effective 12:01 AM

Forms a part of policy no.:

Issued to:

By:

THIS ENDORSEMENT CHANGES THE POLICY. PLEASE READ IT CAREFULLY.

ADDITIONAL INSURED REQUIRED BY WRITTEN CONTRACT

This endorsement modifies insurance provided under the following:

COMMERCIAL GENERAL LIABILITY POLICY, COVERAGE APPLICABLE TO COVERAGE A. BODILY INJURY AND PROPERTY DAMAGE (SECTION I - COVERAGES) ONLY

- A. Section II - Who Is An Insured** is amended to include any person or organization you are required to include as an additional insured on this policy by a written contract or written agreement in effect during this policy period and executed prior to the "occurrence" of the "bodily injury" or "property damage."
- B.** The insurance provided to the above described A additional insured under this endorsement is limited as follows:
1. COVERAGE A BODILY INJURY AND PROPERTY DAMAGE (Section I - Coverages) only.
 2. The person or organization is only an additional insured with respect to liability arising out of "your work" or "your product".
 3. In the event that the Limits of Insurance provided by this policy exceed the Limits of Insurance required by the written contract or written agreement, the insurance provided by this endorsement shall be limited to the Limits of Insurance required by the written contract or written agreement. This endorsement shall not increase the Limits of Insurance shown in the Declarations pertaining to the coverage provided herein.
 4. The insurance provided to such an additional insured does not apply to "bodily injury" or "property damage" arising out of an architect's, engineer's, or surveyor's rendering of or failure to render any professional services, including, but not limited to:
 - i. The preparing, approving, or failing to prepare or approve maps, shop drawings, opinions, reports, surveys, field orders, change orders, or drawings and specifications; and
 - ii. Supervisory, inspection, architectural, or engineering activities.
- 5.** This insurance does not apply to "bodily injury" or "property damage" arising out of "your work" or "your product" included in the "product-completed operations hazard" unless you are required to provide such coverage by written contract or written agreement and then only for the period of time required by the written contract or written agreement and in no event beyond the expiration date of the policy.
- 6.** Any coverage provided by this endorsement to an additional insured shall be excess over any other valid and collectible insurance available to the additional insured whether primary, excess, contingent or on any other basis.
- C.** In accordance with the terms and conditions of the policy and as more fully explained in the policy, as soon as practicable, each additional insured must give us prompt notice of any "occurrence" which may result in a claim, forward all legal papers to us, cooperate in the defense of any actions, and otherwise comply with all of the policy's terms and conditions. Failure to comply with this provision may, at our option, result in the claim or "suit" being denied.

**EXHIBIT IV – INSURANCE REQUIREMENTS AND SAMPLE
INSURANCE CERTIFICATE
SOLICITATION NO.: S30-T24411**

ENDORSEMENT No.

This endorsement, effective 12:01 AM:

Forms a part of policy no:

Issued to:

By:

Commercial Umbrella Liability Policy with CrisisResponse®

Additional Insured Endorsement - Products-Completed Operations and Primary Non-Contributing

This policy is amended as follows:

Section VII. DEFINITIONS, Paragraph M. is amended to include the following additional provision:

Insured means:

Any person or organization for whom you are performing operations when you and such person or organization have agreed in writing in a contract or agreement that such person or organization is an additional insured on your policy, but only if such person or organization is included under the coverage provided by **Scheduled Underlying Insurance**. Such person or organization is an additional insured only with respect to liability:

1. arising out of **Your Work** at the location designated; or
2. included within the **Products-Completed Operations Hazard**.

This provision does not apply to liability arising out of the sole negligence of such person or organization for its own acts or omissions or those of its employees or anyone else acting on its behalf.

Coverage afforded to these additional insured parties will be primary to, and non-contributory with, any other insurance available to that person or organization.

**EXHIBIT IV – INSURANCE REQUIREMENTS AND SAMPLE
INSURANCE CERTIFICATE
SOLICITATION NO.: S30-T24411**

ISO | Commercial General Liability Forms | 07/01/04

POLICY NUMBER:

**COMMERCIAL GENERAL
LIABILITY
CG 20 10 07 04**

THIS ENDORSEMENT CHANGES THE POLICY. PLEASE READ IT CAREFULLY.

**ADDITIONAL INSURED – OWNERS, LESSEES OR
CONTRACTORS – SCHEDULED PERSON OR
ORGANIZATION**

This endorsement modifies insurance provided under the following:

COMMERCIAL GENERAL LIABILITY COVERAGE PART

SCHEDULE

Name Of Additional Insured Person(s) Or Organization(s):	Location(s) Of Covered Operations
Information required to complete this Schedule, if not shown above, will be shown in the Declarations.	

A. Section II – Who Is An Insured is amended to include as an additional insured the person(s) or organization(s) shown in the Schedule, but only with respect to liability for "bodily injury", "property damage" or "personal and advertising injury" caused, in whole or in part, by:

1. Your acts or omissions; or
 2. The acts or omissions of those acting on your behalf;
- in the performance of your ongoing operations for the additional insured(s) at the location(s) designated above.

B. With respect to the insurance afforded to these additional insureds, the following additional exclusions apply:

This insurance does not apply to "bodily injury" or "property damage" occurring after:

1. All work, including materials, parts or equipment furnished in connection with such work, on the project (other than service, maintenance or repairs) to be performed by or on behalf of the additional insured(s) at the location of the covered operations has been completed; or
2. That portion of "your work" out of which the injury or damage arises has been put to its intended use by any person or organization other than another contractor or subcontractor engaged in performing operations for a principal as a part of the same project.

CG 20 10 07 04

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**EXHIBIT IV – INSURANCE REQUIREMENTS AND SAMPLE
INSURANCE CERTIFICATE
SOLICITATION NO.: S30-T24411**

ISO | Commercial General Liability Forms | 07/01/04

POLICY NUMBER:

**COMMERCIAL GENERAL
LIABILITY
CG 20 37 07 04**

THIS ENDORSEMENT CHANGES THE POLICY. PLEASE READ IT CAREFULLY.

**ADDITIONAL INSURED – OWNERS, LESSEES OR
CONTRACTORS – COMPLETED OPERATIONS**

This endorsement modifies insurance provided under the following:

COMMERCIAL GENERAL LIABILITY COVERAGE PART

SCHEDULE

Name Of Additional Insured Person(s) Or Organization(s):	Location And Description Of Completed Operations
Information required to complete this Schedule, if not shown above, will be shown in the Declarations.	

Section II – Who Is An Insured is amended to include as an additional insured the person(s) or organization(s) shown in the Schedule, but only with respect to liability for "bodily injury" or "property damage" caused, in whole or in part, by "your work" at the location designated and described in the schedule of this endorsement performed for that additional insured and included in the "products-completed operations hazard".

CG 20 37 07 04

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**EXHIBIT IV – INSURANCE REQUIREMENTS AND SAMPLE
INSURANCE CERTIFICATE
SOLICITATION NO.: S30-T24411**

ISO | Commercial General Liability Forms | 01/01/96

POLICY NUMBER:

**COMMERCIAL GENERAL
LIABILITY
CG 20 11 01 96**

THIS ENDORSEMENT CHANGES THE POLICY. PLEASE READ IT CAREFULLY.

**ADDITIONAL INSURED – MANAGERS OR LESSORS OF
PREMISES**

This endorsement modifies insurance provided under the following:

COMMERCIAL GENERAL LIABILITY COVERAGE PART

SCHEDULE

1. Designation of Premises (Part Leased to You):
2. Name of Person or Organization (Additional Insured):
3. Additional Premium:

(If no entry appears above, the information required to complete this endorsement will be shown in the Declarations as applicable to this endorsement.)

WHO IS AN INSURED (Section II) is amended to include as an insured the person or organization shown in the Schedule but only with respect to liability arising out of the ownership, maintenance or use of that part of the premises leased to you and shown in the Schedule and subject to the following additional exclusions:

This insurance does not apply to:

1. Any "occurrence" which takes place after you cease to be a tenant in that premises.
2. Structural alterations, new construction or demolition operations performed by or on behalf of the person or organization shown in the Schedule.

CG 20 11 01 96

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EXHIBIT IV – INSURANCE REQUIREMENTS AND SAMPLE INSURANCE CERTIFICATE SOLICITATION NO.: S30-T24411

ISO | Commercial General Liability Forms | 07/01/04

POLICY NUMBER:

**COMMERCIAL GENERAL
LIABILITY
CG 20 15 07 04**

THIS ENDORSEMENT CHANGES THE POLICY. PLEASE READ IT CAREFULLY.

ADDITIONAL INSURED – VENDORS

This endorsement modifies insurance provided under the following:

**COMMERCIAL GENERAL LIABILITY COVERAGE PART
PRODUCTS/COMPLETED OPERATIONS LIABILITY COVERAGE PART**

SCHEDULE

Name Of Additional Insured Person(s) Or Organization(s) (Vendor)	Your Products
Information required to complete this Schedule, if not shown above, will be shown in the Declarations.	

A. Section II – Who Is An Insured is amended to include as an additional insured any person(s) or organization(s) (referred to below as vendor) shown in the Schedule, but only with respect to "bodily injury" or "property damage" arising out of "your products" shown in the Schedule which are distributed or sold in the regular course of the vendor's business, subject to the following additional exclusions:

1. The insurance afforded the vendor does not apply to:
 - a. "Bodily injury" or "property damage" for which the vendor is obligated to pay damages by reason of the assumption of liability in a contract or agreement. This exclusion does not apply to liability for damages that the vendor would have in the absence of the contract or agreement;
 - b. Any express warranty unauthorized by you;
 - c. Any physical or chemical change in the product made intentionally by the vendor;
 - d. Repackaging, except when unpacked solely for the purpose of inspection, demonstration, testing, or the substitution of parts under instructions from the manufacturer, and then repackaged in the original container;
 - e. Any failure to make such inspections, adjustments, tests or servicing as the vendor has agreed to make or normally undertakes to make in the usual course of business, in connection with the distribution or sale of the products;
 - f. Demonstration, installation, servicing or repair operations, except such operations performed at the vendor's premises in connection with the sale of the product;
 - g. Products which, after distribution or sale by you, have been labeled or relabeled or used as a container, part or ingredient of any other thing or substance by or for the vendor; or
 - h. "Bodily injury" or "property damage" arising out of the sole negligence of the vendor for its own acts or omissions or those of its employees or anyone else acting on its behalf. However, this exclusion does not apply to:
 - (1) The exceptions contained in Sub-paragraphs d. or f.; or
 - (2) Such inspections, adjustments, tests or servicing as the vendor has agreed to make or normally undertakes to make in the usual course of business, in connection with the distribution or sale of the products.
2. This insurance does not apply to any insured person or organization, from whom you have acquired such products, or any ingredient, part or container, entering into, accompanying or containing such products.

CG 20 15 07 04

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**EXHIBIT IV – INSURANCE REQUIREMENTS AND SAMPLE
INSURANCE CERTIFICATE
SOLICITATION NO.: S30-T24411**

POLICY NUMBER:

**COMMERCIAL GENERAL LIABILITY
CG 20 26 07 04**

THIS ENDORSEMENT CHANGES THE POLICY. PLEASE READ IT CAREFULLY.

**ADDITIONAL INSURED – DESIGNATED
PERSON OR ORGANIZATION**

This endorsement modifies insurance provided under the following:

COMMERCIAL GENERAL LIABILITY COVERAGE PART

SCHEDULE

Name Of Additional Insured Person(s) Or Organization(s)

Information required to complete this Schedule, if not shown above, will be shown in the Declarations.

Section II – Who Is An Insured is amended to include as an additional insured the person(s) or organization(s) shown in the Schedule, but only with respect to liability for "bodily injury", "property damage" or "personal and advertising injury" caused, in whole or in part, by your acts or omissions or the acts or omissions of those acting on your behalf:

- A. In the performance of your ongoing operations; or
- B. In connection with your premises owned by or rented to you.

SAMPLE ISO FORM

**EXHIBIT IV – INSURANCE REQUIREMENTS AND SAMPLE
INSURANCE CERTIFICATE
SOLICITATION NO.: S30-T24411**

ISO | Commercial General Liability Forms | 05/01/09
POLICY NUMBER:

**COMMERCIAL GENERAL LIABILITY
CG 24 04 05 09**

THIS ENDORSEMENT CHANGES THE POLICY. PLEASE READ IT CAREFULLY.

**WAIVER OF TRANSFER OF RIGHTS OF RECOVERY
AGAINST OTHERS TO US**

This endorsement modifies insurance provided under the following:

COMMERCIAL GENERAL LIABILITY COVERAGE PART
PRODUCTS/COMPLETED OPERATIONS LIABILITY COVERAGE PART

SCHEDULE

Name Of Person Or Organization:

Information required to complete this Schedule, if not shown above, will be shown in the Declarations.

The following is added to Paragraph 8. **Transfer Of Rights Of Recovery Against Others To Us** of Section IV – **Conditions:**

We waive any right of recovery we may have against the person or organization shown in the Schedule above because of payments we make for injury or damage arising out of your ongoing operations or "your work" done under a contract with that person or organization and included in the "products-completed operations hazard". This waiver applies only to the person or organization shown in the Schedule above.

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**EXHIBIT IV – INSURANCE REQUIREMENTS AND SAMPLE
INSURANCE CERTIFICATE
SOLICITATION NO.: S30-T24411**

THIS ENDORSEMENT CHANGES THE POLICY. PLEASE READ IT CAREFULLY.

**TEXAS WAIVER OF OUR RIGHT TO
RECOVER FROM OTHERS ENDORSEMENT**

Policy Number:
Effective Date:
Named Insured and Address:

Endorsement Number:
Effective hour is the same as stated on the Information Page of the policy.

This endorsement applies only to the insurance provided by the policy because Texas is shown in Item 3.A. of the Information Page.

We have the right to recover our payments from anyone liable for an injury covered by this policy. We will not enforce our right against the person or organization named in the Schedule, but this waiver applies only with respect to

bodily injury arising out of the operations described in the Schedule where you are required by a written contract to obtain this waiver from us.

This endorsement shall not operate directly or indirectly to benefit anyone not named in the Schedule.

The premium for this endorsement is shown in the Schedule.

SCHEDULE

1. () Special Waiver
Name of person or organization
2. () Blanket Waiver
Any person or organization for whom the Named Insured has agreed by written contract to furnish this waiver.
3. Premium:
The premium charge for this endorsement shall be _____ percent of the premium developed on payroll in connection with work performed for the above person(s) or organization(s) arising out of the operations described.
4. Advance Premium:

Countersigned by _____
Authorized Representative

**EXHIBIT IV – INSURANCE REQUIREMENTS AND SAMPLE
INSURANCE CERTIFICATE
SOLICITATION NO.: S30-T24411**

WORKERS COMPENSATION AND EMPLOYERS LIABILITY INSURANCE POLICY

WC 42 03 04 A

(Ed. 1-00)

TEXAS WAIVER OF OUR RIGHT TO RECOVER FROM OTHERS ENDORSEMENT

This endorsement applies only to the insurance provided by the policy because Texas is shown in Item _____ of the Information Page.

We have the right to recover our payments from anyone liable for an injury covered by this policy. We will not enforce our right against the person or organization named in the Schedule, but this waiver applies only with respect to bodily injury arising out of the operations described in the Schedule where you are required by a written contract to obtain this waiver from us.

This endorsement shall not operate directly or indirectly to benefit anyone not named in the Schedule.

The premium for this endorsement is shown in the Schedule.

Schedule

1. Specific Waiver

Name of person or organization

Blanket Waiver

Any person or organization for whom the Named Insured has agreed by written contract to furnish this waiver.

2. Operations:

ALL TEXAS OPERATIONS

3. Premium:

The premium charge for this endorsement shall be _____ percent of the premium developed on payroll in connection with work performed for the above person(s) or organization(s) arising out of the operations described.

4. Advance Premium:

This endorsement changes the policy to which it is attached and is effective on the date issued unless otherwise stated.

(The information below is required only when this endorsement is issued subsequent to preparation of the policy.)

Endorsement Effective
Insured

Endorsement No.
Premium \$

**EXHIBIT IV – INSURANCE REQUIREMENTS AND SAMPLE
INSURANCE CERTIFICATE
SOLICITATION NO.: S30-T24411**

THIS ENDORSEMENT CHANGES THE POLICY. PLEASE READ IT CAREFULLY.

**LIMITED WAIVER OF TRANSFER OF RIGHTS OF RECOVERY
AGAINST OTHERS TO US ENDORSEMENT**

.....This endorsement modifies insurance provided under the following:.....

COMMERCIAL GENERAL LIABILITY COVERAGE FORM
COMMERCIAL GENERAL LIABILITY SELF-INSURED RETENTION COVERAGE FORM

Schedule

Name of Person or Organization: Where required by written contract.

Under **SECTION IV – COMMERCIAL GENERAL LIABILITY CONDITIONS**, Condition **8. Transfer Of Rights Of Recovery Against Others To Us** is amended by the addition of the following provision:

We waive any right of recovery we may have against the person or organization shown in the **Schedule** above because of payments we make for injury or damage arising out of your ongoing operations done under a contract with that person or organization.

All other terms and conditions of this Policy remain unchanged.

EXHIBIT V – FORM “A”: FAIR CAMPAIGN
SOLICITATION NO.: S30-T24411

The City of Houston Fair Campaign Ordinance makes it unlawful for a Contractor to offer any contribution to a candidate for City elective office (including elected officers and officers-elect). All respondents to this invitation to bid must comply with Houston Code of Ordinances Chapter 18 as amended relating to the contribution and solicitation of funds for election campaigns. Provisions of this ordinance are provided in part in the paragraphs that follow. Complete copies may be obtained from the office of the City Secretary.

Candidates for city office may neither solicit nor receive contributions except during a period commencing 270 calendar days prior to an election date for which a person is a candidate for such office and ending 90 calendar days after the election date, including run off elections if such candidate is on the ballot.

Further, it shall be unlawful either for any person who submits a Bid or Proposal to contribute or offer any contribution to a candidate or for any candidate to solicit or accept any contribution from such person for a period commencing at the time of posting of the City Council Meeting Agenda including an item for the award of the Contract and ending upon the 30th day after the award of the Contract by City Council.

For the purposes of this Ordinance, a **Contract** is defined as each Contract having a value in excess of \$30,000 that is let by the City for professional services, personal services, or other goods or services of any other nature whether the Contract is awarded on a negotiated basis, request for Proposal basis, competitive Proposal basis or formal sealed competitive Bids. The term **Contractor** includes proprietors of proprietorships, partners having an equity interest of 10% or more of partnerships, (including limited liability partnerships and companies), all officers and directors of corporations (including limited liability corporations), and all holders of 10% or more of the outstanding shares of corporations.

A STATEMENT DISCLOSING THE NAMES AND BUSINESS ADDRESSES EACH OF THOSE PERSONS WILL BE REQUIRED TO BE SUBMITTED WITH EACH BID OR PROPOSAL FOR A CITY CONTRACT. Completion of the attached form entitled "**Contractor Submission List**" will satisfy this requirement. Failure to provide this information may be just cause for rejection of your Bid or Proposal.

**EXHIBIT V – FORM “A”: FAIR CAMPAIGN
SOLICITATION NO.: S30-T24411**

List all officers of the corporation (if none state none”):

Name _____
Officer _____ Address _____

Name _____
Officer _____ Address _____

Name _____
Officer _____ Address _____

List all individuals owning 10% or more of outstanding shares of stock of the corporation (if none state “none”):

Name _____
Address _____

Name _____
Address _____

Name _____
Address _____

I certify that I am duly authorized to submit this list on behalf of the firm, that I am associated with the firm in the capacity noted below and that I have personal knowledge of the accuracy of the information provided herein.

Preparer

Printed Name

Title

Note: This list constitutes a **government record** as defined by § 37.01 of the Texas Penal Code.

8/23/01

**EXHIBIT VI: CONTRACTOR OWNERSHIP
DISCLOSURE ORDINANCE
SOLICITATION NO.: S30-T24411**

City Council requires knowledge of the identities of the owners of entities seeking to Contract with the City in order to review their indebtedness to the City prior to entering Contracts. Therefore, all respondents to this Invitation to Bid must comply with Houston Code of Ordinances Chapter 15, as amended (Sections 15-122 through 15-126) relating to the disclosure of owners of entities bidding on, proposing for or receiving City contracts. Provisions of this ordinance are provided in part in the paragraphs that follow. Complete copies may be obtained from the office of the City Secretary.

Contracting entity means a sole proprietorship, corporation, non-profit corporation, partnership, joint venture, limited liability company, or other entity that seeks to enter into a contract requiring approval by the Council but excluding governmental entities.

A contracting entity must submit at the time of its Bid or Proposal, an affidavit listing the full names and the business and residence addresses of all persons owning five percent or more of a contracting entity or, where a contracting entity is a non-profit corporation, the full names and the business and residence addresses of all officers of the non-profit corporation.

Completion of the "**Affidavit of Ownership or Control**," included herein, and submitted with the Official Bid or Proposal Form will satisfy this requirement. Failure to provide this information may be just cause for rejection of your Bid or Proposal.

EXHIBIT VI: AFFIDAVIT OF OWNERSHIP OR CONTROL
SOLICITATION NO.: S30-T24411

ORIG. DEPT.: _____

FILE/I.D. NO.: _____

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

STATE OF _____

§
§
§

AFFIDAVIT OF OWNERSHIP OR CONTROL

COUNTY OF _____

BEFORE ME, the undersigned authority, on this day personally appeared

_____ [FULL NAME] (hereafter "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
- CORPORATION
- PARTNERSHIP
- LIMITED PARTNERSHIP
- JOINT VENTURE
- LIMITED LIABILITY COMPANY
- OTHER (Specify type in space below)

- NON-PROFIT CORPORATION
- UNINCORPORATED ASSOCIATION

EXHIBIT VI: AFFIDAVIT OF OWNERSHIP OR CONTROL
SOLICITATION NO.: S30-T24411

5. The information shown below is true and correct for the Contracting Entity and all owners of 5% 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

Name: _____

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]** _____

5% Owner(s) or More (IF NONE, STATE "NONE.")

Name: _____

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]** _____

EXHIBIT VI: AFFIDAVIT OF OWNERSHIP OR CONTROL
SOLICITATION NO.: S30-T24411

6. 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 VII: DRUG DETECTION AND DETERRENCE
PROCEDURES FOR CONTRACTORS
SOLICITATION NO.: S30-T2411**

- (a) It is the policy of the City to achieve a drug-free workforce and to provide a workplace that is free from the use of illegal drugs and alcohol. It is also the policy of the City that the manufacture, distribution, dispensation, possession, sale or use of illegal drugs or alcohol by contractors while on City premises is prohibited. By executing this Contract, Contractor represents and certifies that it meets and shall comply with all the requirements and procedures set forth in the Mayor's Policy on Drug Detection and Deterrence, City Council Motion No. 92-1971 ("Mayor's Policy") and the Mayor's Drug Detection and Deterrence Procedures for Contractors, Executive Order No. 1-31 ("Executive Order"), both of which are on file in the Office of the City Secretary.
- (b) Confirming its compliance with the Mayor's Policy and Executive Order, Contractor, as a condition precedent to City's obligations under this Contract, will have filed with the Contract Compliance Officer for Drug Testing ("CCODT"), prior to execution of this Contract by the City, (i) a copy of its drug-free workplace policy, (ii) the Drug Policy Compliance Agreement substantially in the format set forth in Attachment "A" to the Executive Order, together with a written designation of all safety impact positions, and (iii) if applicable (e.g. no safety impact positions), the Certification of No Safety Impact Positions, substantially in the format set forth in Attachment "C" to the Executive Order. If Contractor files written designation of safety impact positions with its Drug Policy Compliance Agreement, it also shall file every six (6) months during the performance of this Contract or upon the completion of this Contract if performance is less than six (6) months, a Drug Policy Compliance Declaration in a form substantially similar to Attachment "B" to the Executive Order. The Drug Policy Compliance Declaration shall be submitted to the CCODT within thirty days of completion of this Contract. The first six (6) month period shall begin to run on the date City issues its notice to proceed hereunder or if no notice to proceed is issued, on the first day Contractor begins work under this Contract.
- (c) Contractor shall have the continuing obligation to file with the CCODT written designations of safety impact positions and Drug Policy Compliance Declarations at anytime during the performance of this Contract that safety impact positions are added if initially no safety impact positions were designated. Contractor also shall have the continuing obligation to file updated designations of safety impact positions with the CCODT when additional safety impact positions are added to Contractor's employee work force.
- (d) The failure of Contractor to comply with the above Sections shall be a breach of this Contract entitling City to terminate in accordance with Article IV.

**EXHIBIT VII – ATTACHMENT “A”
DRUG POLICY COMPLIANCE AGREEMENT
SOLICITATION NO.: S30-T2411**

I, _____ as an owner or officer of
(Name) (Print/Type) (Title)

(Name of Company) (Contractor)

have authority to bind Contractor with respect to its bid, offer or performance of any and all contracts it may enter into with the City of Houston; and that by making this Agreement, I affirm that the Contractor is aware of and by the time the Contract is awarded will be bound by and agree to designate appropriate safety impact positions for company employee positions, and to comply with the following requirements before the City issues a notice to proceed.

1. Develop and implement a written Drug Free Workplace Policy and related drug testing procedures for the Contractor that meet the criteria and requirements established by the Mayor's Amended Policy on Drug Detection and Deterrence (Mayor's Drug Policy) and the Mayor's Drug Detection and Deterrence Procedures for Contractors (Executive Order No. 1-31).
2. Obtain a facility to collect urine samples consistent with Health and Human Services (HHS) guidelines and a HHS certified drug testing laboratory to perform the drug tests.
3. Monitor and keep records of drug tests given and the results; and upon request from the City of Houston, provide confirmation of such testing and results.
4. Submit semi-annual Drug Policy Compliance Declarations.

I affirm on behalf of the Contractor that full compliance with the Mayor's Drug Policy and Executive Order No. 1-31 is a material condition of the contract with the City of Houston.

I further acknowledge that falsification, failure to comply with or failure to timely submit declarations and/or documentation in compliance with the Mayor's Drug Policy and/or Executive Order No. 1-31 will be considered a breach of the contract with the City and may result in non-award or termination of the Contract by the City of Houston.

Date

Contractor Name

Signature

Title

**EXHIBIT VII – ATTACHMENT “B”
 DRUG POLICY COMPLIANCE DECLARATION
 SOLICITATION NO.: S30-T2411**

I, _____ as an owner or officer of
 (Name) (Print/Type) (Title)

_____ (Contractor)
 (Name of Company)

have personal knowledge and full authority to make the following declarations:

This reporting period covers the preceding six months from _____ to _____, 19_____.

_____ A written Drug Free Workplace Policy has been implemented and employees notified. The policy **Initials** meets the criteria established by the Mayor's Amended Policy on Drug Detection and Deterrence (Mayor's Policy).

_____ Written drug testing procedures have been implemented in conformity with the Mayor's Drug **Initials** Detection and Deterrence Procedures for Contractors, Executive Order 1-31. Employees have been notified of such procedures.

_____ Collection/testing has been conducted in compliance with federal Health and Human Services **Initials** (HHS) guidelines.

_____ Appropriate safety impact positions have been designated for employee positions performing on **Initials** the City of Houston contract. The number of employees on safety impact positions during this reporting period is _____.

From _____ to _____ the following testing has occurred.
Initials (start date) (end date)

	<u>Random</u>	<u>Reasonable Suspicion</u>	<u>Post Accident</u>	<u>Total</u>
Number of Employees Tested	_____	_____	_____	_____
Number of Employees Positive	_____	_____	_____	_____
Percent Employees Positive	_____	_____	_____	_____

_____ Any employee who tested positive was immediately removed from the City worksite consistent with the **(Initials)** Mayor's Policy and Executive Order No. 1-31.

_____ I affirm that falsification or failure to submit this declaration timely in accordance with established guidelines **(Initials)** will be considered a breach of Contract.

I declare under penalty of perjury that the affirmations made herein and all information contained in this declaration are within my personal knowledge and are true and correct.

Date

Contractor Name

Signature

Title

EXHIBIT VIII – ANTI-COLLUSION STATEMENT
SOLICITATION NO.: S30-T24411

Anti-Collusion Statement

The undersigned, as Proposer, certifies that the only person or parties interested in this Proposal as principals are those named herein; that the Proposer 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

Proposer Signature

EXHIBIT IX – CONFLICT OF INTEREST QUESTIONNAIRE
SOLICITATION NO.: S30-T24411

Chapter 176 of the Local Government Code requires every Vendor or Contractor with the City of Houston (“City”) to file a Conflict of Interest Questionnaire with the City Secretary of the City of Houston by the **seventh** business day after:

- (1) any contract discussions or negotiations begin, or
- (2) submitting an application, responses to requests for proposals, bids, correspondence, or any writing related to a potential Agreement with the City.

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 completed Conflict of Interest Questionnaires will be posted on the City Secretary’s website. There will also be a list of the City’s Local Government Officers on the City of Houston’s website.

Additionally, each Vendor or Contractor must file updated questionnaires no later than **September 1st** of each year that the Vendor or Contractor seeks to contract with the City, or the **seventh** business day after the date of an event that would render the questionnaire incomplete or inaccurate.

However, a Vendor or Contractor is not required to file a new questionnaire in any year if the vendor has completed a questionnaire between June 1st and September 1st of that year, unless the previous questionnaire is incomplete or inaccurate.

Original Conflict of Interest Questionnaire shall be filed with Houston’s Records Administrator (Ms. Anna Russell, City Secretary, 900 Bagby, First Floor, Houston, Texas 77002). Vendors and Contractors shall include a copy of the form that was submitted to the City Secretary as part of the Bid Package. Any questions about filling out this form should be directed to your attorney

Failure of any Vendor or Contractor to comply with this law is a Class-C misdemeanor.

EXHIBIT IX – CONFLICT OF INTEREST QUESTIONNAIRE

SOLICITATION NO.: S30-T24411

CONFLICT OF INTEREST QUESTIONNAIRE For vendor or other person doing business with local governmental entity

FORM CIQ

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.

OFFICE USE ONLY

Date Received

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

EXHIBIT X – PAY OR PLAY PROGRAM REQUIREMENTS

SOLICITATION NO.: S30-T24411

I. Pay or Play Program Elements

A. Purpose

Authorized by Ordinance 2007-534 and Executive Order 1-7, the purpose of the Pay or Play Program is (1) to create a more level playing field among competing contractors so that those who provide health benefits to their employees are not disadvantaged in the bidding process; and 2) to recognize and account for the fact that there are costs associated with the health care of the uninsured.

B. Program Elements

1. Covered Contracts: Contracts covered by the program are those that are advertised after July 1, 2007, which are valued at or above \$100,000 and are not primarily for the procurement of property, goods, supplies or equipment.
 2. Covered employees: This program applies to employees of a covered Contractor or Subcontractor, including Contract labor, who are over age 18, work at least 30 hours per week and work any amount of time under a covered city Contract or Subcontract.
 3. Compliance with the program means that the Contractor either:
 - “Pays” by contributing \$1.00 per covered employee per hour for work performed under the Contract with the City; or
 - “Plays” by offering health benefits to covered employees. Health benefits must meet or exceed the following standards:
 - The employer will contribute no less than \$150 per covered employee per month toward the total premium cost.
 - The employee contribution, if any amount, will be no greater than 50% of the total monthly premium cost.
 4. Subcontracts: The Prime Contractor is responsible for compliance on behalf of covered employees, including Contract labor, of subcontractors with subcontracts valued at or greater than \$200,000, if the Subcontract is not primarily for the procurement of property, goods, supplies or equipment. Subcontractor compliance includes submission of applicable reports and/or payments to the Prime, as well as maintenance of records.
1. Exemptions/Waivers: The City of Houston will award a Contract to a Contractor that neither Pays nor Plays only if the Contractor has received an approved waiver.
 2. Administration: Contractor performance in meeting Pay or Play program requirements will be managed by the contracting department. The Office of Affirmative Action and Contract Compliance will have administrative oversight of the program, including audit responsibilities. Questions about the program should be referred to the department POP Liaison or the Office of Affirmative Action and Contract Compliance.

EXHIBIT X – PAY OR PLAY PROGRAM REQUIREMENTS

SOLICITATION NO.: S30-T24411

II. Documentation and Reporting Requirements

- A. Document that must be signed and returned to administering department with the Bid/Proposal.
1. Notice to Prospective City Contractors (Form POP-1A) acknowledges Bidder/Proposers' knowledge of the program and its requirements, and the intention to comply.
- B. Documents that must be signed and returned to administering department within a period designated by the department's Contract Administrator, upon notification of low Bidder or successful Proposer status:
1. Certification of Contractor's Intent to Comply with Pay or Play Program (Form POP-2). Note Contractors that opt to "play" must provide proof of coverage, including documentation from insurance provider, and names of covered employees.
 2. List of Participating Subcontractors (Form POP-3).
- C. The Contractor will comply with the following reporting requirements:
1. Contractors that opt to Play
Provide periodic reports to the Contract administrator showing proof of coverage. Reporting schedule will be determined by administering department based on length of Contract. (Form POP-7.)
 2. Contractors that opt to Pay
Provide monthly reports to administering department, detailing names of employees, hours worked, exemptions (if any) and amount owed. (Form POP-5.)
- Contractors shall submit an initial report with the second invoice to the department. Payments based on monthly reports are due to the contracting department with submission of the following month's invoice. Payments may be made via wire transfer, provided that proof of transaction is submitted to administering department.

III. Compliance and Enforcement

The Office of Business Opportunity (OBO) and Contract Compliance Office will audit program compliance. Contractors willfully violating or misrepresenting POP program compliance will be subject to corrective and/or punitive action, including but not limited to the assessment of fines and penalties and/or debarment.

The Pay or Play Program Requirements Form (POP-1) and all other POP Forms are available for downloading from the City of Houston's Website at <http://www.houstontx.gov/aacc/popforms.html>

EXHIBIT X – FORM “1A”
PAY OR PLAY PROGRAM ACKNOWLEDGEMENT FORM
SOLICITATION NO.: S30-T24411



What this form does. This form acknowledges your awareness of the Pay or Play program. Your signature affirms that you will comply with the requirements of the program if you are the successful Bidder/Proposer, and ensure the same on behalf of subcontracts subject to the Pay or Play Program.

If you cannot make this assurance now, do not return this form.

For more information, contact the Contract Administrator.

Routing. Return this form with your Bid or Proposal.

I declare under penalty of perjury under the laws of the State of Texas that if awarded a contract, I will comply with the requirements of the Pay or Play Program.

Signature

Date

Print Name

City Vendor ID

Company Name

Phone Number

E-Mail Address

**EXHIBIT X – FORM “2”
PAY OR PLAY PROGRAM CERTIFICATE OF AGREEMENT
SOLICITATION NO.: S30-T24411**

Contractor Name: _____ \$ _____
(Contractor/Subcontractor) *(Amount of Contract)*

Contractor Address: _____

Project No.: [GFS/CIP/AIP/File No.] _____

Project Name: [Legal Project Name] _____

POP Liaison Name: _____

In accordance with the City of Houston Pay or Play Program authorized by Ordinance 2007-534 and Executive Order 1-7, Contractor/Subcontractor agrees to abide by the terms of this Program. This certification is required of all contractors for contracts subject to the program. You must agree EITHER to PAY or to PLAY for all covered employees. The Contractor/Subcontractor may also Pay on behalf of some covered employees and Play on behalf of other covered employees.

The Contractor/Subcontractor will comply with all provisions of the Pay or Play Program and will furnish all information and reports requested to determine compliance with program requirements of the Pay or Play Program (See Executive Order 1-7 for the terms of the Pay or Play program) The criteria of the program is as follows:

The Contractor/Subcontractor agrees to “Pay” \$1.00 per hour for work performed by covered employees under the contract with the City. If independent contract labor is utilized the Contractor/Subcontractor agrees to report hours worked by the independent contract laborer and pay \$1.00 per hour for work performed.

Otherwise the Contractor/Subcontractor agrees to “Play” by providing health benefits to each covered employee. The health benefits must meet the following criteria:

1. The employer will contribute no less than \$150 per employee per month toward the total premium cost for single coverage only; and
2. The employee contribution, if any amount, will be no greater than 50% of the total premium cost and no more than \$150 per month.
3. Pursuant to E.O. 1-7 section 4.04 a contractor is deemed to have complied with respect to a covered employee who is not provided health benefits if the employee refuses the benefits and the employee’s contribution to the premium is no more than \$40 per month.

Please select whether you choose to:	Pay	Play	Both

The Contractor/Subcontractor will file compliance reports with the City, which will include activity for covered employees subject to the program, in the form and to the extent requested by the administering department. Compliance reports shall contain information including, but not limited to, documentation showing employee health coverage and employee work records. **Note: The Contractor is responsible to the City for the compliance of covered employees of covered subcontractors and only forms that are accurate and complete will be accepted.**

*Estimated Number of:	Prime Contractor	Sub-Contractor
Total Employees on City Job		
Covered Employees		
Non-Covered Employees		
Exempt Employees		

*Required

I hereby certify that the above information is true and correct.

 CONTRACTOR (Signature) _____ DATE

 NAME AND TITLE (Print or Type)