

**CITY OF HOUSTON, TEXAS**  
**NOTICE OF REQUEST FOR PROPOSAL (RFP)**  
**SOLICITATION NO.: S46-T25246**

"PARTNERING TO BETTER  
 SERVE HOUSTON"

**NIGP CODE:**

**SOLICITATION  
 DUE DATE/TIME:**

**December 3, 2014 at 2:00 P.M. CST**

**SUBMITTAL  
 LOCATION:**

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

**DESCRIPTION:**

**Debt Management Solution for the Municipal Courts Department**

**PRE-PROPOSAL  
 CONFERENCE:**

<i>Date</i>	<i>Time</i>	<i>Location</i>
<b>November 19, 2014</b>	<b>10:45 A.M. CST</b>	<b>901 Bagby, Basement Level, Conference Room No. 1 Houston, Texas</b>

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 Proposer'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.

**PROPOSERS ARE STRONGLY ENCOURAGED TO CAREFULLY READ THE ENTIRE SOLICITATION**

**Solicitation Contact Person:  
 Chatauqua Allen**

Name

**Chatauqua.allen@houstontx.gov**

E-Mail Address

Lourdes Coss, City Chief Procurement Officer

**November 7, 2014**

Date

**SPECIAL INSTRUCTIONS TO PROPOSER(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 seven (7) electronic thumb drives 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. **Please label your proposals with your company name, address and proposal number.**

1.4 The City of Houston shall bear no responsibility for submitting responses on behalf of any Proposer. Proposer(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 Proposer(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 There will be a pre-proposal conference. Prospective proposers needing additional information/clarification to this request for proposal (RFP) are requested to e-mail questions to Chatauqua Allen at [chatauqua.allen@houstontx.gov](mailto:chatauqua.allen@houstontx.gov). The deadline for submitting questions is **November 24, 2014 at 3:00 p.m. CST. No questions will be accepted after 3:00 p.m. on November 24, 2014.** All relevant questions will be answered via letter of clarification to this RFP and posted on the City's e-bidding website and automatically e-mailed to all who registered to receive this RFP.

**4.0 ADDITIONAL INFORMATION AND SPECIFICATION CHANGES:**

4.1 Requests for additional information and questions should be addressed to the Finance Department, **Strategic Procurement Division Buyer, Chatauqua Allen, telephone: 832.393.8707, fax: 832.393. 8759, or e-mail (preferred method to): [Chatauqua.allen@houstontx.gov](mailto:Chatauqua.allen@houstontx.gov), no later than November 24, 2014 at 3:00 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 Proposer(s) shall be answered and sent to all Proposer(s) who are listed as having obtained the RFP. Proposer(s) shall be notified in writing of any changes in the specifications contained in this RFP.

**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 Proposer(s).

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**6.0 EXAMINATION OF DOCUMENTS AND REQUIREMENTS:**

- 6.1 Each Proposer 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 Proposer 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 Proposer 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 Proposer 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 Proposer'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 PROPOSER(S):**

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

**9.0 PROTEST:**

- 9.1 A protest shall comply with and be resolved, according to the City of Houston Procurement Manual [http://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.

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**10.0 NO CONTACT PERIOD:**

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

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**UNIFORM INSTRUCTIONS TO PROPOSER(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 Proposer by parties other than the City, at any time during the Proposal evaluation process.
- 4.0 In the event a Proposer 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 Proposer(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 Proposer(s) shall not collude in any manner, or engage in any practices, with any other Proposer(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 Proposer. The copying or paraphrasing of the work product of another Proposer is not permitted.
- 8.0 The RFP and the related responses of the selected Proposer will by reference (within either a contract or purchase order) become part of any formal Agreement between the selected Proposer and the City. The City and the selected Proposer 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 Proposer, the City reserves the right to select an alternative Proposer. The City reserves the right to negotiate with alternative Proposer the exact terms and conditions of the contract.
- 9.0 Proposer(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 **January 8, 2015**, for a term of three (3) years. The City of Houston reserves the option of extending the Agreement(s) on an annual basis for up to 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 a contract in the event of a default by the Prime Contractor. 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 Proposer(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 Proposer 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.

**GENERAL TERMS AND CONDITIONS**  
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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 1.2.2-1.2.4, "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 RELEASE, 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 BY ANY PARTY, INCLUDING CONTRACTOR, 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 CUMULATIVE TOTAL OF ALL AMOUNTS PAID BY THE CITY UNDER THE AGREEMENT.

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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

3.2.6 Professional Liability Coverage shall include but not be limited to coverage for Contractor's negligence in failing to perform professional services; coverage for the disclosure of personal information; computer fraud coverage; and shall not exclude Claims relating to failure to maintain confidentiality, failure to maintain network security, or failure to maintain privacy and/or data security. Or in the alternative to professional liability insurance that does not exclude the above coverages, the City will consider an additional Cyber Liability policy which shall include but not be limited to coverages for security and privacy, security failure, privacy event, regulatory action, event management, fraudulent access or transmission, e-theft loss, cyber-attacks, e-communication loss, impaired access, failure to maintain confidentiality, network security, privacy or data security, cyber crime, cyber security, and cyber extortion in the amount of at least \$1,000,000 per loss.

3.2.7 Crime Policy which shall include but not be limited to coverage for the following: losses arising out of or in connection with fraudulent or dishonest acts, acting alone or in collusion with others, computer fraud coverage; funds transfer coverage; forgery or alteration coverage; money and securities coverage; and theft per loss coverage for \$1,000,000 per claim. The Crime Policy coverage shall also include an extension for City's property.

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.

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- 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 immediately suspend you from any further performance under the potential contract and begin procedures to terminate for default.
- 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.)
- 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: Contractor shall notify the Director in writing 30 days prior to any cancellation or material change to Contractor's insurance coverage. Within the 30 day period, Contractor shall provide other suitable policies in lieu of those about to be canceled or nonrenewed so as to maintain in effect the required coverage. 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 Contract and begin procedures to terminate for default. 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.

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- 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 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.
- 3.6.10.2 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 four (4) years after this Agreement terminates or expires. 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*

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*not intended to preclude Proposer(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 Proposer(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.

6.3 Changes to contract clauses in this RFP or the Specialized Legal Terms and Conditions applicable to this RFP will be made in writing by the City prior to the Proposal due date. Proposed changes to contract clauses in this RFP or the Specialized Legal Terms and Conditions applicable to this RFP shall be submitted in a Contract and Contract Exception Chart which MUST be included in with the Proposal or the Proposal will not be considered. Results of informal meetings or discussions between a potential Proposer(s) and a City of Houston official or employee may not be used as a basis for deviations from the contract clauses contained in this RFP or the Specialized Legal Terms and Conditions applicable to 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. CONTRACTOR SHALL FILE A NEW AFFIDAVIT OF OWNERSHIP, USING THE FORM DESIGNATED BY CITY, BETWEEN FEBRUARY 1 AND MARCH 1 OF EVERY YEAR DURING THE TERM OF THIS AGREEMENT.**

**8.0 CRIMINAL JUSTICE INFORMATION SERVICES (CJIS) COMPLIANCE:**

8.1 The Houston Police Department recognizes that by allowing physical or logical (electronic) access to HPD facilities or network resources, people may gain access to information or systems they are statutorily prohibited from accessing. To comply with state and federal regulations, the Houston Police Department is required to document and investigate access requests to be sure access is necessary and permitted. Bidders/Respondents, therefore, agree to review the Criminal Justice Information Systems (CJIS) process and related documents located at <http://www.houstontx.gov/police/cjis/hpdvendorcertification.htm> and shall comply with the terms and requirements therein.

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**SPECIAL TERMS AND CONDITIONS**  
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**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 **11%** 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 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 Proposer(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:**

**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**

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**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 [HHF-MOBO@houstontx.gov](mailto:HHF-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 15 of the City Code of Ordinances**

- 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 IN 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 **STANDARD PAYMENT TERMS**

- 8.1 The City of Houston's standard payment term is to pay 30 days after receipt of invoice or receipt of goods or services, whichever is later, according to the requirements of the Texas Prompt Payment Act (Tx. Gov't Code, Ch. 2251). However, the City will pay in less than 30 days in return for an early payment discount from vendor as follows:

- Payment Time - 10 Days: 2% Discount
- Payment Time - 20 Days: 1% Discount

- 8.2 A vendor may elect not to offer a discount for early payment and the City will make payment net 30 days. Discounts will not be considered in the award evaluation.

- 8.3 If the City fails to make a payment according to the early payment schedule above, but does make the pay no other penalty. When the payment date falls on a Saturday, Sunday, or official holiday when City offices are closed and City business is not expected to be conducted, payment may be made on the following business day.

9.0 **PROCUREMENT TIMELINE/SCHEDULE:**

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

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9.2	<b>EVENT</b>	<b>DATE</b>
	Date of RFP Issued	Friday, November 7, 2014
	Pre-Proposal Conference	Wednesday, November 19, 2014
	Questions from Proposers Due to City	Monday, November 24, 2014
	Proposals Due from Proposers	Wednesday, December 3, 2014
	Notification of Intent to Award ( <i>Estimated</i> )	Wednesday December 10, 2014
	Council Agenda Date ( <i>Estimated</i> )	Wednesday, December 17, 2014
	Contract Start Date ( <i>Estimated</i> )	Thursday, January 8, 2015

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# PROPOSAL OUTLINE AND MINIMUM CONTENT REQUIREMENTS

## SOLICITATION NO. S46- T25246

### 1.0 PROCUREMENT OVERVIEW

1.1 The City of Houston Municipal Courts Department is seeking proposals from qualified companies/organizations for a debt management application/solution that automates and streamlines the collections processes of the department. This solution will enable the Courts to effectively and efficiently manage internal debt recovery efforts, as well as develop and manage a multiple vendor / champion challenger environment to interface with the Court's case management system on a real-time /near real-time basis. This application should be designed to track, prioritize, distribute, score and evaluate delinquent debt collections of varying life-cycles for both in-house collection agents and outside multiple-vendor recovery efforts.

### 2.0 BACKGROUND AND GOALS

2.1 The Courts are currently building a custom case management system ("CSMART"), scheduled to go live in the first quarter of 2015. After system stabilization, the department is seeking to integrate an application that will address the debt collections component of our business with the new case management system. State Statute (Article 103.0033 CCP) requires the court to perform collection efforts on delinquent accounts. A team of customer service representatives in the One Call Solution Center of the Courts attempts to collect on delinquent cases from Day 1 through Day 90 via mail notices and telephone contacts. At Day 91, the unpaid delinquencies are turned over to an outside vendor for additional collection efforts. Currently this effort is handled by a single collections firm, but post CSMART Phase II go-live the intention is to enhance collection efforts internally through Day 90, and distribute cases to and track the results of multiple vendors in a champion-challenger format from Day 91 and beyond.

### 3.0 SCOPE OF SERVICES

3.1 General Information: The collection management application should be designed to track, prioritize, distribute, score and evaluate delinquent debt collections of varying life-cycles for both in-house collection agents and outside vendor recovery effort in concert with the Court's case management system. In addition, this application should be designed to divide cases amongst the outside vendors participating in the champion-challenger environment.

#### 3.2 In-House Collections

- 3.2.1 The application/solution will be used to manage in-house debt collection efforts on cases delinquent from Day 1 through Day 90 and must be capable of providing:
- Configurable case workflows that are automated and based on the Court's collection objectives.
  - The ability to prioritize cases based on propensity to pay (using data elements that may include balance, payment history, demographic data and other factors) and other factors.
  - Exportable tracking and reporting tools that manage payment plans, records payment transactions and provides performance reporting for collection agents in real-time.

#### 3.3 Outside Agencies

- 3.3.1 The application must seamlessly identify cases delinquent from Day 91 and beyond and be capable of distributing these accounts to multiple vendors for continued debt-recovery efforts. Additionally the application must be capable of distributing collections inventory based on the Court's requirements which may include:
- The capacity to rescind, reinstate and reassign collection inventory.
  - The even (or weighted) distribution of cases based on multiple criteria which may include: citation type, adjudication status, amount owed, associated failure-to-appear cases.
  - The ability to modify the percentage and method of distribution of inventory based on vendor performance.
  - Assign all cases/citations associated with a defendant to the same vendor.

# PROPOSAL OUTLINE AND MINIMUM CONTENT REQUIREMENTS

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Standard and customizable (ad-hoc) vendor performance reporting

### 3.4 TECHNICAL PLAN and Methodology

#### 3.4.1 General Information

- A debt management application that will effectively manage both in-house and out-sourced collections on delinquent cases.
- This application must interface on a real-time/near real-time basis with the Court's case management system.
- The application should be designed to track, prioritize, distribute, score and evaluate delinquent debt collection agendas and out-sourced vendor recovery efforts.
- The application interface development will begin in Phase II development of the CSMART case management system, and be ready to go-live with Phase II go-live.

#### 3.4.2 In-House Collections

The solution must seamlessly interface with the case management system to provide management of in-house debt collection efforts on cases delinquent Day 1 through Day 90. It must provide:

- Configurable case workflows that are automated and based on the Court's collection objectives (e.g., maximizing collections completed prior to Day 90).
- Prioritization of cases based on propensity to pay using data elements that may include balance, payment history and other factors.
- Exportable tracking and reporting tools that manage payment plans, record transactions and provide performance reporting for agents in real-time/near real-time.

#### 3.4.3 Outside Agencies

The solution must seamlessly interface with the Court's case management system and identify cases delinquent beyond 90 days. The system must:

- Distribute these cases to multiple vendors for continued debt-recovery efforts. The distribution will be based on the Court's requirements and may include citation type, adjudication status, amount owed, associated failure-to-appear cases.
- Have the ability to rescind, reinstate, and re-assign collection inventory.
- Have the ability to track vendor performance (e.g., collection rate).
- Have the ability to determine the portal being used for payment and the date payment is made by defendant.
- Have the ability to modify the percentage and method of distribution of inventory based on vendor performance.
- Have the ability to link all cases related to a single defendant and assign them to the same vendor.

### 3.5 Data Security and Compliance

3.5.1 Indicate whether Access to the Data Center(s) is available

3.5.2 Provide written policies, procedures, and methods for ensuring security

3.5.3 Explain how compliance is maintained with applicable rules & regulations (such as PCI etc.).

3.5.4 Provide a written standard agreement of support that covers security concerns, risks, and liability coverage

3.5.5 Provide encryption of all stored data

3.5.6 Explain who has access to the de-encryption keys

3.5.7 Explain type of Operating System (OS) that will be deployed on the hosted servers and how the vendor intends to prevent OS security exploits.

3.5.8 Describe what is in place to prevent device-level exploits. This should include any locally installed

# PROPOSAL OUTLINE AND MINIMUM CONTENT REQUIREMENTS

## SOLICITATION NO. S46- T25246

gateways, data storage devices, etc.

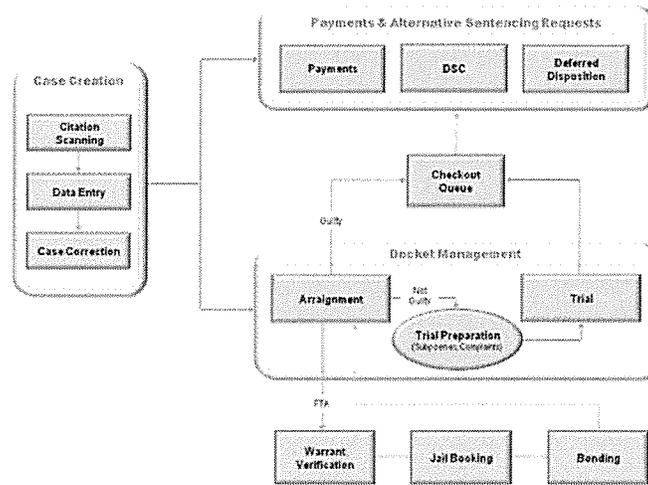
- 3.5.9 Describe the security that will exist within the application to prevent abuse and malicious activities.
- 3.5.10 Explain security measures that will be in place to grant access to authorized City staff who require access to system management tools.
- 3.5.11 Describe your incident response plan. Any incident response history or examples are helpful.
- 3.5.12 Describe your escalation protocol, in the event of a breach or security issue.
- 3.5.13 Provide a description of scheduled maintenance times and customer notification processes, including any maintenance history.
- 3.5.14 Provide a detailed description of the customer data the vendor requires to perform their tasks.
- 3.5.15 Indicate whether there is an allowance to audit either the application or network infrastructure? Provide types of notices that may be required to do non-intrusive vs. intrusive scans or other vulnerability assessments.
- 3.5.16 Indicate allowances provided to access or request any security-related configuration files, developed application code, or policy or quality assurance and testing documents.
- 3.5.17 Describe how you protect the services from standard IP vulnerabilities, including denial-of-service attacks.
- 3.5.18 Provide a detailed explanation of proposed backup and retention process and how quickly data can be restored in the event recovery is necessary.
- 3.5.19 The City will require the successful proposer to store and process all City Data only in the continental United States. List the locations where the City Data would be stored and processed, including the location of proposer's primary and backup data centers.
- 3.5.20 Describe how physical access to the data center(s) is controlled.
- 3.5.21 State whether your facilities, software, or company has received or will receive in the next 6 months, a security audit report conducted by an independent third party, such as a Standards for Attestation Engagements ("SSAE") No. 16 SOC1 Type II Report (or equivalent report) or a HIPAA compliance report. Provide a copy of the most recent report(s), if any,

#### 4.0 **Current Environment**

- 4.1 The In-House Collections unit receives on average over 200 new delinquent cases daily. The outside collection vendor currently receives, on average, over 18,000 cases monthly.
- 4.2 The Courts are currently building a custom case management system scheduled to go-live in first quarter of 2015. After stabilization the department is seeking to integrate this new system with an application that will address the debt collections component of our business. We anticipate a two-phase deployment strategy beginning with the migration of in-house collections, followed by the deployment of solution components that will compile, prioritize and distribute debt between multiple vendors
- 4.3 CSMART (Court System Management and Resources Technology) is a software for managing cases, payments, documents, dockets, defendants, court assignments and jail booking.
  - Types of Cases: The Houston Municipal Court system hears only Class C misdemeanor offenses and violations of City ordinances, including both traffic and non-traffic offenses such as complaints and property violations. CSMART only manages cases in the Houston Municipal Courts; however, cases may be appealed from the municipal court to the county court (and CSMART can support that transfer).

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- **Functionality:** Case Creation generally refers to the inputting and scanning of citation forms into the CSMART content management system. This involves scanning citations, batch scanning them, inputting the data manually into CSMART and checking inputted data for accuracy and completeness.
- **Docket Management** is a series of features in CSMART which lets the clerk or judge manage cases on a docket. That includes making a plea, scheduling, splitting dockets or transferring cases into a different dockets, checking in citizens and witnesses, assigning staff, and other related functions.
- **Payments.** A citizen may pay in a variety of ways: 1)in person at the window, 2)by mail or 3) One Call (i.e., via phone) or 4)through a collection agency. The CSMART payment screen not only handles payments, it can also receive and process document submissions related to the payment.
- **Prejudgment and Post-judgment:** Pre-judgment refers to case requests made by a citizen before or without needing to appear in court before the judge. Instead they can be processed over the phone or mail. Examples of such requests include Mandatory Driver Safety Course (“DSC”), motions and petitions. Post-judgment refers to case requests made by a citizen after appearing in court before a judge.
- **Compliance Tracking and Business Rules:** In CSMART there are many timelines and automatic system events which activate or deactivate around a case.
- **Collections** is a CSMART component, which assists court officials and collection agencies with trying to collect payments from citizens. From this screen, the user can help the citizen to make a payment over the phone, view the current collection queue, view case history and previous attempts to contact the person. The user can also update contact information, make notes and actually process payments.
- **One Call Solution Center (OCSC)** is the Court’s information and in-house collections division. They use an Interactive Voice Response (IVR)to contact citizens about unpaid fines.
- **Other Interfaces or Ways to Access CSMART** include:
  - Kofax
  - iNovah
  - eQuery
  - Handheld citation devices
  - Payment kiosks

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- Technical Infrastructure
  - *CSMART DB is a SQL Server DB instance that houses the entire CSMART database. CSMART components don't access the DB directly, but use an object-relational mapping tool called Entities Framework to communicate with the DB.*
  - *Hyland Unity Services is a CSMART component which communicates with the Onbase App component using the Onbase APIs.*
  - *Onbase App Server component is used to assemble and generate the document composition request based on predetermined business rules. It talks to CSMART'S Hyland Services Component, and in this specific case, determines which MS Word template to use and fetches it directly from the Onbase file server. Later, it processes a request to archive a signed copy onto the same Onbase file server.*
  - *Template files are .docx file whose fields are populated with case values by CSMART DB. However, after documents are generated, they are converted to TIFF files and stored in the file server archives.*
  - *Onbase DB stores location information and metadata for templates and archived tiff files. It provides this information to Onbase App Server so it can retrieve the right files from the Onbase File Server.*
  - *Onbase File Server is a dedicated machine which stores the .docx template files as well as archives of generated TIFF files.*
  - *Atalasoft DotImage is a suite of image processing .NET assemblies which are used specifically to combine signature TIFFs with the archived TIFF of a document (found in the Onbase file archive).*
  - *CSMART Client is the user's front end to the CSMART application. It initiates the business logic which triggers documents to be generated or stored.*
  - *Topaz USB Signature Capture Device. Some newly generated documents require signature by the defendant, attorney or other people.*
  - *Document Viewer (on the WPF Client) - This viewer component is built into CSMART. It lets the signer see the assembled documents before signing.*

### **5.0 Project Management**

- 5.1 The City of Houston Municipal Courts Department requires the vendor to assign a dedicated project manager to the project. The successful proposer's project manager will serve as a liaison and single point of contact with the City of Houston project manager and the respective project team members. The vendor's project manager will actively participate in and contribute to the following project activities:
- A. Finalize project business requirements
  - B. Create and maintain the project plan and schedule
  - C. Report project progress and status
  - C. Manage project risks and issues
  - E. Manage the vendor's project team and task execution
- 5.2 **Installation:** At a minimum, the City of Houston requires the vendor to perform the following tasks during the implementation of this project in Phase II of the CSMART configuration. All tasks will be performed under the control and direction of the City of Houston Information Technology Department.
- A. Assist with integrating the debt management solution with the Court's Case Management system
  - B. Assist in configuring the software according to the business requirements.
  - C. Install the software, including backup and recovery components.
  - D. Identify user roles and permissions and perform configuration of system users, groups, accounts, etc.
  - E. Configure and implement reporting requirements
- 5.3 **System, Integration and Acceptance Testing:** the City of Houston and successful proposer will refine and agree on the following tasks as appropriate to the Courts' business requirements:
- A. Provide a test environment that is separate from the production environment.
  - B. Develop test methodology and test plans that produce results to detect the differences between the given input and the expected output in order to assess quality. The testing plan should include:

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- a. *Unit* – a test to ensure that the unit implemented is producing expected output against given input.
  - b. *Functional* - ensures specified functionality required in the system requirements works.
  - c. *System* – ensures if the software in a different environment (e.g., Operating Systems) will still operate. System testing to be completed with full system implementation and environment.
  - d. *Performance* – assessment of the speed and effectiveness of the system and ensures the generation of results within a specified time.
  - e. *Usability* – evaluation of user-friendliness, ease of learning, proficiency of use, and approval of design schematic and/or dashboards.
  - f. *Acceptance* – completed by Courts as the customer to ensure that the delivered product meets the requirements and works as expected.
  - g. *Regression* – Regression testing is the testing after modification of a system, component, or a group of related units to ensure that the modification is working correctly and is not damaging or imposing other modules to produce unexpected results.
- C. Identify test and acceptance criteria.
  - D. Ensure system stabilization
  - E. Vendor to perform system testing and integration testing prior to system acceptance testing.
  - F. City of Houston will perform system User Acceptance testing prior to system acceptance.

5.4 **Deployment Activities:** In performing the following tasks, the vendor will work closely with Municipal Court Department staff and the City of Houston Information Technology Services personnel to ensure a smooth transition to operations.

- A. Document the deployment plan and identify tasks and tasks owners
- B. Ensure all support documentation is up to date based on the City of Houston In-house and Champion Challenger configuration
- C. Ensure vendor support procedures and personnel are in place and ready to go live
- D. Develop and coordinate with the City of Houston Project Manager to communicate notification of go-live status, support go-live activities, etc.
- E. Develop and implement a plan for knowledge transfer, including providing written deliverables describing best practices and recommended practices related to the software, in-house collection activities and outside vendor collection activities.

5.5 **Training:** All training is expected to be delivered before the system goes live. The vendor is expected to:

- A. Train Court staff and contract staff in utilizing the In-House and Champion-Challenger debt solution software.
- B. Assist and train system administrator(s) to maintain user access/security and maintain system codes.
- C. Train designated Court staff on how to utilize any custom/ad hoc reporting tools so that reports can be created as needed.
- D. Train outside collection vendors in utilizing the software as needed for them to participate in the Champion-Challenger environment.
- E. Provide all pre-requisite materials for the training classes as required.
- F. Co-ordinate delivery of the training classes, such that the timing is agreeable to the City of Houston and vendor within the project timeline.
- G. Provide initial training in-person. Remote, on-demand, and or other formats may be utilized for refresher, upon-request training.
- H. Outline training delivery options and associated costs.

5.6 **Reports:** Vendor will provide all reports required by the City of Houston Municipal Courts Department prior to the system deployment.

- A. Configure and implement reporting requirements as requested by the Courts including but not limited to:
  - Number of cases by type, delinquent period and the associated dollars.
  - Cases by outside collection vendor.
  - Accounts receivable balances.
  - In-house Collectors' activities such as hold times, abandon rates, speed to answer, talk time, overall call volume.

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- Dashboards, as jointly defined by Courts and the Contractor, with the ability to drill down to the transaction level in a format mutually agreed upon.
  - B. Allow for custom/ad hoc reporting capabilities so that additional reports can be created as needed.
- 5.7 Documentation: Vendor must supply comprehensive, high quality documentation and must provide a complete description of all system components, e.g. software, databases, business rules, workflow, forms, etc.
- A. The vendor must deliver appropriate documentation for the different types of user, e.g., system administrators, and end users.
  - B. The vendor must state how changes to the documentation will be maintained so that users will be kept current with the system as it evolves.
- 5.8 Maintenance and Support: Vendor will provide technical support for both hardware (servers for hosted solutions) and software 12 hours per day (from 8 AM to 8 PM CST), 6 days per week (Monday through Saturday), with a 24-hour time to recover from system failures.

Vendor will include the costs for support and maintenance in the cost proposal. At a minimum, City of Houston Municipal Courts Department requires the vendor to perform the following tasks:

- A. Develop system support approach
  - B. Define release management and software update processes, roles and responsibilities
  - C. Develop vendor Service Desk support model, explaining and documenting the method for reporting problems and requesting enhancements
  - D. Document bug-fix release model
  - E. Implementing requested enhancements (e.g., adapting system to account for collection goals for in-house collections and outside vendors).
- 5.9 Project Goals: Solution must support the following objectives and measurable outcomes:
- A. The desired system must have a centralized repository for Municipal Courts cases. The system must be able to capture and access information about those Cases as follows:
  - B. Improve efficiency, accuracy, and consistency in the collection of outstanding debt
  - C. Equitably disseminate the workflow of Delinquent cases, both for in-house and outside vendor efforts
  - D. Municipal Court Staff will have the ability to track the status of operational activities, including collection History, Case History, Payment History and Performance Data.
- 5.10 Security and Compliance: The solution must address all data security and compliance aspects of case management. In the State of Texas, traffic citations are considered a Class C Misdemeanor, which is a criminal offense. Because there are significant amounts of sensitive personal information included on each of these cases, attention to data security and compliance with National Crime Information Center/Texas Crime Information Center NCIC/TCIC confidentiality requirements is critical. In addition, compliance with Payment Credit Card Industry Data Security Standards ("PCI requirements") is a must. Access to case information should be based on security clearance. The Vendor will provide a recovery strategy for backing up data, connecting the recovery systems to the properly backed up data; and creating a programmatic approach for a reconstructed recovery. Recovery of the application should occur within a specified window (4 hours) in the event of a disaster. Web software applications should be developed per industry secure coding guidelines such as the Open Web Application Security Project (OWASP) guidelines.

# PROPOSAL OUTLINE AND MINIMUM CONTENT REQUIREMENTS

## SOLICITATION NO. S46- T25246

### Solution Matrix

Item	Title	Description	Absolutely Must Have (A)/Highly Desirable(H)/Optional (O)	Can you provide (Y/N)	Comments
1.	<b>User Requirements</b>				
1.1	General Business	Out-of-the-box functionality with minimal customization	A		
1.2	General Business	Ability to seamlessly interface with Court's case management system in real-time/near real-time.	A		
1.3	General Business	Configuring workflows for optimum in-house collections.	A		
1.4	General Business	Reporting capabilities to monitor performance of inside and outside collections agents	A		
1.5	General Business	Consistent and even distribution of cases to multiple vendors based on pre-determined formula.	A		
1.6	General Business	Tracking of individual collection agents'/agencies' performance.	A		
1.7	General Business	Real-time access to payment information.	A		
1.8	General Business	Ability to reclaim/redistribute cases.	A		
1.9	General Business	Track, prioritize, distribute, score and evaluate delinquent debt collections of varying life-cycles for both in-house and outside vendor collections recovery efforts.	A		
1.10	General Business	Work with case management system developers to configure a real-time/near real-time interface.	A		
1.11	General Business	Prioritize cases for In-house collection efforts based on propensity to pay.	A		
1.12	General Business	Support plan that ensures technical assistance during regular business hours – Mo-Fr 8a.-8p.	A		
1.13	General Business	Ability to distribute cases to outside vendors based on multiple criteria.	A		
1.14	General Business	Ability to modify percentage and method of distribution to multiple outside vendors.	A		
1.15	General Business	Ability to rescind, re-instate, reassign collection inventory as requested by the Courts.	A		
1.16	General Business	Ability to assign all cases associated with a defender to the same collection vendor.	A		
1.17	General Business	Supply Project Manager with experience in projects with this scope who can manage risks, issues and deliverables.	H		
1.18	General Business	Confirmed experience working with municipalities.	H		
1.19	General Business	Confirmed experience working with courts' collection efforts.	H		
1.20	General Business	Confirmed experience working with high volumes of cases and data (In-house: over 1,575/month; Outside vendor: over 18,000/monthly).	H		
1.21	General Business	Access to Escalation resource in case of emergency situation.	H		
1.22	General Business	Provide centralized repository for Courts' cases, which is able to capture and access information on those cases.	H		

# PROPOSAL OUTLINE AND MINIMUM CONTENT REQUIREMENTS

## SOLICITATION NO. S46- T25246

1.23	Vendor Collections Performance Management	Configurable workflows for managing multiple collections vendor. The solutions must provide: <ul style="list-style-type: none"> <li>• Consistent distribution of cases to multiple external agencies based on pre-determined parameters.</li> <li>• The ability to change the balance/distribution of case-loads based on performance.</li> <li>• The ability to create specialized campaigns based on the age, type and amount of debt.</li> </ul>	A		
1.24	In-house Collections Performance Management	User-defined workflows for optimum in-house collections solution that: <ul style="list-style-type: none"> <li>• Organize, streamlines and prioritizes the collection of delinquent accounts.</li> <li>• Automates how delinquent case loads are distributed between in-house collectors based on age, amount and type of debt.</li> <li>• Automation of payment plans,</li> <li>• Provide definable parameters for how defendant payments are distributed between fines and fees.</li> <li>• Provide notification alerts for follow-ups.</li> </ul>	A		
<b>2.</b>	<b>Reporting Requirements</b>				
2.1	Reporting	System Software must be able to provide Collection History, case history, Payment History and Performance Data	A		
2.2	Reporting	Exportable tracking and reporting tools that manage payment plans, record payment transactions, provide performance reporting for in-house collection agents.	A		
2.3	Reporting	Track hold times, abandon rates, speed to answer, talk time, overall call volume for in-house collection agents.	A		
2.4	Reporting	Develop dashboards with the ability to drill down to transaction level.	H		
2.5	Reporting	Ability to create customized reports	H		
2.6	Reporting	Exportable tracking and reporting tools for monitoring performance of multiple outside vendors.	A		
2.7	Reporting	Ability to modify percentage of distribution of inventory to outside collection vendors.	A		
2.8	In-house Collections Reporting	Reporting capabilities to monitor performance of 25+ inside collections agents including such data elements such as: <ul style="list-style-type: none"> <li>• Number of contacts made</li> <li>• Disposition of calls</li> <li>• Number of cases assigned</li> <li>• Debt assigned/cancelled</li> <li>• Cases/Amounts collected</li> <li>• Promises to pay</li> <li>• Recovery Rate</li> </ul> Additionally, the solution must provide the ability to produce ad-hoc reports used to track the performance of specialized campaigns.	A		

# PROPOSAL OUTLINE AND MINIMUM CONTENT REQUIREMENTS

## SOLICITATION NO. S46- T25246

2.9	Vendor Collections Reporting	<p>Customizable reporting capabilities to monitor performance of multiple collections vendors. Reports must provide current and accumulative performance metrics including:</p> <ul style="list-style-type: none"> <li>• New business assigned</li> <li>• Revenue amount assigned</li> <li>• Number of Cases collected</li> <li>• Amount collected</li> <li>• Recovery Rate</li> <li>• Current /cumulative inventory</li> <li>• Cases cancelled/pulled back</li> <li>• Vendor commissions paid</li> </ul>	A		
2.3	General Collections Reporting	<p>System software must be able to provide:</p> <ul style="list-style-type: none"> <li>• Searchable collection history, case history, payment history on defendants.</li> <li>• Reporting that complies with OCA guidelines for collections programs for courts.</li> <li>• Planning tools that forecast payment probabilities, and propensity to pay.</li> <li>• User defined ad-hoc reporting.</li> </ul>	A		
<b>3. Technical Requirements</b>					
3.1	Technical	Provide a seamless interface with the Courts' case management system	A		
3.2	Technical	Provide advance notification of upgrades, patches, revisions, and cloud-hosted solutions (if included).	A		
3.3	Technical	Environment that is secured against security violations and threats.	A		
3.4	Technical	Encryption of all stored data.			
3.5	Technical	Role-based access for up to 15 users for the in-house solution and up to 5 users for the Champion-Challenger solution.	A		
3.6	Technical	Provide a real-time interface that can update cases, reports, payments, etc. within 5 minutes of status change.	A		
3.7	Technical	Identify user roles and permissions and configure the user system access accordingly.	H		
3.8	Technical	Provide a test environment that is separate from the production environment.	H		
3.9	Technical	Develop test methodology and plans to detect the differences between given input and expected output.	H		
3.10	Technical	Ensure system stabilization; provide back-up and recovery components.	A		
3.11	Technical	System must be able to Disseminate Cases and Retrieve Required Data	A		
3.12	Technical	Develop interface by which outside collection vendors will retrieve their cases.	A		
3.13	Technical	Provide hardware and software support for users Mo-Sa from 8am-8pm.	H		
3.14	Technical	Define release management and software update procedures.	H		
3.15	Technical	Compliance with confidentiality and user requirements of the NCIC-TCIC database.	A		
3.16	Technical	Compliance with PCI requirements.	A		
3.17	Technical	Provide recovery strategy for backing up data, which connects the recovery systems to the properly backed up data.	H		

**PROPOSAL OUTLINE AND MINIMUM CONTENT REQUIREMENTS  
SOLICITATION NO. S46- T25246**

3.18	Technical	Recovery of application in case of failure should occur within 4 hours.	H		
3.19	Technical	Software applications developed per industry secure coding guidelines.	A		
3.20	Technical	Describe Operating System and how security will be maintained.	A		
3.21	Technical	Describe device-level security in place.	H		
3.22	Technical	Describe the ability to audit either the application or network infrastructure.	H		
3.23	Technical	Store and process all City data in the continental United States.	A		
<b>4.</b>	<b>Training Requirements</b>				
4.1	Training	Vendor will provide tutorials on how to use all aspects of their system, i.e. how to review a new case, run reports, set alarms and events, etc.	A		
4.2	Training	Vendor will provide training on-site to all Relevant Municipal Courts and Houston Information Technology staff	A		
4.3	Training	Provide training on recommended practices,	A		
4.4	Training	Provide training materials/manuals as reference materials to be retained by Courts' personnel.	A		
4.5	Training	Provide remote/Webinar/other training formats for refresher courses.	H		
4.6	Training	Train system administrator(s) on user access, security, system codes, reporting (standard and customized).	H		
4.7	Training	Train outside collection vendors on use of system.	O		
<b>5.</b>	<b>Documentation Requirements</b>				
5.1	Documentation	Vendor must provide technical and support documentation for all types of users, both administrators and end users.	A		
5.2	Documentation	Document deployment plan including identifying tasks and task owners.	A		
5.3	Documentation	Written plan for deliverables.	A		
5.4	Documentation	Provide complete description of system components.	H		
5.5	Documentation	Provide plan for maintaining and updating changes to the documentation and how it will be communicated to users.	H		

# **PROPOSAL OUTLINE AND MINIMUM CONTENT REQUIREMENTS**

## **SOLICITATION NO. S46- T25246**

### **1.0 EVALUATION SUMMARY:**

1.1 An evaluation committee will develop a short list of Proposer(s) based upon the initial review of each Proposal received. The short listed Proposer(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 Proposer(s) will be completed. However, the evaluation committee reserves the right to issue letter(s) of clarity when deemed necessary to any or all Proposer(s). The oral presentations, demonstrations and/or interview may be recorded and/or videotaped. Please note that the City will require a product demonstration of your tool/solutions in one of your portfolios of product.

### **2.0 SELECTION PROCESS:**

2.1 The award of this contract(s) will be made to the respondent(s) offering a solution that best meets the needs of the City. The City may make investigations, as it deems necessary, to determine the capabilities of the Proposer(s) to create, modify and implement the required application modules. The Proposer(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 Proposer(s) fails to satisfy the City or the Proposer(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:

#### **2.2 Criteria for Evaluation**

2.2.1 Responsiveness: Proposer meets submission requirements to allow for the evaluation of the proposal.

#### **2.2.2 Technical Competence**

2.2.2.1 Qualifications and specialized experience of the Proposer as evidenced by relevant experience in projects or similar scope for organizations of comparable size

2.2.2.2 Qualifications and experience of proposed key personnel as evidenced by their specialized experience to perform in the role proposed.

2.2.2.3 Quality of proposed implementation plan as evidenced by their understanding and approach to successfully implement the project.

2.2.2.4 Quality of proposed technical solution as evidenced by its ability to meet the requirements depicted in Section 3.4

2.2.3 Financial capability of Proposer to successfully undertake the project.

2.2.4 Level of M/WBE Participation

2.2.5 Price Proposal: Reasonableness of price proposal.

2.3 Proposers should bear in mind that any proposal that is unrealistic in terms of commitments, or unrealistically high or low in cost or implementation time frames, will be deemed reflective of the Proposers lack of competence or failure to understand the City's requirements set forth in this RFP.

# PROPOSAL OUTLINE AND MINIMUM CONTENT REQUIREMENTS

## SOLICITATION NO. S46- T25246

To simplify the review process and to be eligible for the evaluation process, the Proposal must follow the outline as set forth below and, at a minimum, contain the information as requested. Proposer(s) are encouraged to include additional relevant information.

### **SUBMITTAL REQUIREMENTS:**

- 3.1 Title Page: The title page should include the title and number of the RFP, name and address of the Proposer(s), and the date of the Proposal.
- 3.2 Cover letter: Signed by an authorized representative of the team, indicating the members of the team and a commitment to perform the services.
- 3.3 Letter of Submittal: A letter of transmittal shall include the following:
  - 3.3.1 The names, titles, addresses, and telephone numbers of the individuals who are authorized to make representation on behalf of the Proposer.
  - 3.3.2 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.
  - 3.3.3 A statement that the person signing the letter of transmittal is authorized to legally bind the Proposer; 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.
- 3.4 Offer & Submittal Form: PROPOSAL MUST BE SIGNED AND NOTARIZED 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.
- 3.5 Executive Summary: Include understanding of the City's goals and approach to the performance of services to achieve those goals. The executive summary shall include company history, organizational chart, experience of the company, the role to be performed by each team member and the timeframe required to implement the project.
- 3.6 Provide a brief statement describing the Proposer's background information, history, resources and/or track record. Please limit to three (3) pages. Include experience with municipalities of similar size to ours and projects of similar scope, including debt collection management for governmental entities in general and courts in particular.
- 3.7 Qualifications of the Team: Submit Form describing similar projects. Proposer shall submit at least three projects performed preferably for public agencies.
- 3.8 Qualifications of Key Personnel: Provide chronological resumes of key personnel. Include at least three references preferably for projects where key personnel performed in a similar role, including any relevant certifications/licenses of proposed key personnel.
- 3.9 Plan of Action: Describe methodologies that will be implemented to see that the project is successfully completed on time. Include proposed strategy/operational plan, product functionality plan and technical plan. Indicate key milestones and personnel that proposed to complete each milestone.
- 3.10 Data Security and Compliance: Describe your protocol for data security and compliance as outlined in Section 3.5
- 3.11 Expertise/Experience/Reliability Statement

# PROPOSAL OUTLINE AND MINIMUM CONTENT REQUIREMENTS

## SOLICITATION NO. S46- T25246

- 3.12 A requirements index or checklist which lists the City's business requirements/specifications identified in Solution Matrix and include citations to the page number and paragraph where particular details within the presentation can be found.
- 3.13 Proposed Solution: Describe the proposed solution and indicate any software needed to implement the solution. Provide a description of required interfaces and technical requirements to successfully implement the project.
- 3.14 Training: Provide a detailed training plan and associated costs (including travel, if any) describing curriculum, user training materials, development and delivery schedule.  
Provide a description of the training delivery plan, including in-person, on-site initial training and remote refresher training options for all user groups.
- 3.15 Level of M/WBE Participation: Indicate the level of M/WBE commitment proposed. Provide the names of the firms and their role in the project.
- 3.16 Financial Statements: Provide audited financial statements for the last three years. At a minimum, include the auditor's letter of opinion, balance sheets, notes, income/loss statements, and any other relevant schedule.
- 3.17 Price Proposal: Provide a price proposal following the format provided in Exhibit III – Sample Price Sheet/Fee Schedule.
  - 3.17.1 Provide a detailed pricing plan. Include pricing options for hosting or on-premise.
  - 3.17.2 Provide pricing costs for customizations, maintenance and support, licenses.
  - 3.17.3 Provide training costs, separately delineating all component costs (e.g. hourly fees and travel, if any) (see 5.0 above).
  - 3.17.4 Provide a pricing plan based on milestones or deliverables, including the possibility of a retainage until the system is up and running to the City of Houston's satisfaction. The pricing plan should specify the percentage or dollar amount of retainage offered by proposer.
- 3.18 Required Forms:
  - 3.18.1 Contract Exceptions Chart, detailing response to Specialized Terms and Conditions– Attachment A.
  - 3.18.2 Financial Statement and Dunn & Bradstreet Reports or Federal Tax Forms Filed for Past Two Years
  - 3.18.3 Signed M/WBE Forms: Attachment "A" Schedule of M/WBE Participation, and Attachment "B" Letter of Intent (Exhibit II)
  - 3.18.4 List of References and List of Proposed Subcontractors (Exhibit I)
  - 3.18.5 Pricing Form/Fee Schedule (Exhibit III)
  - 3.18.6 Fair Campaign Ordinance Form "A" (Exhibit V)
  - 3.18.7 Affidavit of Ownership or Control (Exhibit VI)
  - 3.18.8 Drug Compliance Agreement Attachment "A" and Contractor's Certification of No Safety Impact Positions Attachment "C" (Exhibit VII)
  - 3.18.9 Anti-Collusion Statement (Exhibit VIII)
  - 3.18.10 Conflict of Interest Questionnaire (Exhibit IX )

**PROPOSAL OUTLINE AND MINIMUM CONTENT REQUIREMENTS**  
**SOLICITATION NO. S46- T25246**

- 3.18.11 City Contractors' Pay or Play Acknowledgement Form and Pay or Play Certificate Agreement (Exhibit X)
- 3.18.12 Hire Houston First Affidavit (Download Copy at <http://purchasing.houstontx.gov/index.shtml> and submit to MOBO via e-mail to [HHF-MOBO@houstontx.gov](mailto:HHF-MOBO@houstontx.gov) or fax to 832.393.0952) or submit copy with proposal.
- 3.18.13 Requested Information Outlined in the Scope of Work and Other Additional Relevant/Supporting Information or Alternate Proposals

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**EXHIBIT I – OFFER AND SUBMITTAL**  
**SOLICITATION NO. S46- T25246**

NOTE: PROPOSAL MUST BE SIGNED AND NOTARIZED 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. S46- T25246**

**REFERENCES**

The reference customer details should be given in the following format. A separate copy of the format given should be used for each reference minimum required is 3.

Entity Name	
Entity Address	
Telephone Number	
Fax Number	
Contact Name	
Title	
What is or was the size and scope of the product deployment (# of license)?	
State the duration of the implementation.	
Project Cost?	
Details of consultancy service provided.	

Entity Name	
Entity Address	
Telephone Number	
Fax Number	
Contact Name	
Title	
What is or was the size and scope of the product deployment (# of license)?	
State the duration of the implementation.	
Project Cost?	
Details of consultancy service provided.	

Entity Name	
Entity Address	
Telephone Number	
Fax Number	
Contact Name	
Title	
What is or was the size and scope of the product deployment (# of license)?	
State the duration of the implementation.	
Project Cost?	
Details of consultancy service provided.	



**EXHIBIT II – MINORITY/WOMEN BUSINESS ENTERPRISES  
CONTRACT REQUIREMENTS  
SOLICITATION NO. S46- T25246**

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**EXHIBIT II – ATTACHMENT “A”: SCHEDULE OF M/WBE PARTICIPATION**  
**SOLICITATION NO. S46- T25246**

DATE OF REPORT: \_\_\_\_\_

BID NO.: \_\_\_\_\_

FORMAL BID TITLE: \_\_\_\_\_

NAME OF MINORITY/WOMEN SUBCONTRACTOR	OFFICE OF BUSINESS OPPORTUNITY CERTIFICATION NO.	STREET ADDRESS AND CITY, STATE, ZIP CODE	TELEPHONE NO.	SCOPE OF WORK	AGREE PRICE
TOTAL.....					\$ _____
MWBE PARTICIPATION AMOUNT.....					\$ _____%
TOTAL BID AMOUNT.....					\$ _____

**EXHIBIT II – ATTACHMENT “A” (CONTINUED): SCHEDULE OF M/WBE PARTICIPATION**  
**SOLICITATION NO. S46- T25246**

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


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

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

\_\_\_\_\_  
**BIDDER COMPANY NAME**

\_\_\_\_\_  
**SIGNATURE OF AUTHORIZED OFFICER OR AGENT OF BIDDER**

\_\_\_\_\_  
**NAME (TYPE OR PRINT)**

\_\_\_\_\_  
**TITLE**

**EXHIBIT II – ATTACHMENT “B”: OFFICE OF BUSINESS OPPORTUNITY  
AND  
CONTRACT COMPLIANCE M/WBE UTILIZATION REPORT  
SOLICITATION NO. S46- T25246**

**Notice of Intent**

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

To: City of Houston  
Administering Department

Date: \_\_\_\_\_

Project Name and Number \_\_\_\_\_

Bid Amount: \_\_\_\_\_ M/W/SBE Goal: \_\_\_\_\_

\_\_\_\_\_, agrees to enter into a contractual agreement with  
Prime Contractor

\_\_\_\_\_, who will provide the following goods/services in connection  
MWSBE Subcontractor  
with the above-referenced contract:

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

\_\_\_\_\_ is currently certified with the City of Houston’s Office of Business  
(M/W/SBE Subcontractor) Opportunity to function in the aforementioned capacity.

\_\_\_\_\_ Intend to  
Prime Contractor M/W/SBE Subcontractor

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

\_\_\_\_\_  
Signed (Prime Contractor)

\_\_\_\_\_  
Signed (M/W/SBE Subcontractor)

\_\_\_\_\_  
Printed Signature

\_\_\_\_\_  
Printed Signature

\_\_\_\_\_  
Title Date

\_\_\_\_\_  
Title Date

**EXHIBIT II – ATTACHMENT “C”: CERTIFIED M/WBE SUBCONTRACT  
TERMS  
SOLICITATION NO. S46- T25246**

**CITY OF HOUSTON CERTIFIED MWSBE SUBCONTRACT TERMS**

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

1. \_\_\_\_\_(M/W/SBE subcontractor) shall not delegate or subcontract more than 50% of the work under this subcontract to any other subcontractor or supplier without the express written consent of the City of Houston’s Office of Business Opportunity Director (“the Director”).
2. \_\_\_\_\_(M/W/SBE subcontractor) shall permit representatives of the City of Houston, at all reasonable times, to perform 1) audits of the books and records of the subcontractor, and 2) inspections of all places where work is to be undertaken in connection with this subcontract. Subcontractor shall keep such books and records available for such purpose for at least four (4) years after the end of its performance under this subcontract. Nothing in this provision shall affect the time for bringing a cause of action or the applicable statute of limitations.
3. Within five (5) business days of execution of this subcontract, Contractor (prime contractor) and Subcontractor shall designate in writing to the Director an agent for receiving any notice required or permitted to be given pursuant to Chapter 15 of the Houston City Code of Ordinances, along with the street and mailing address and phone number of such agent.

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

The MWSBE policy of the City of Houston will be discussed during the pre-proposal conference. For information, assistance, and/or to receive a copy of the City’s Affirmative Action Policy and/or Ordinance, contact the Office of Business Opportunity Division at 832.393.0600, 611 Walker Street, 7<sup>th</sup> Floor, Houston, Texas 77002.

**EXHIBIT II – ATTACHMENT “D”: CERTIFIED M/WBE SUBCONTRACT TERMS**  
**SOLICITATION NO. S46- T25246**

**Report Period:** \_\_\_\_\_

**PROJECT NAME & NUMBER:** \_\_\_\_\_

**AWARD DATE:** \_\_\_\_\_

**PRIME CONTRACTOR:** \_\_\_\_\_

**CONTRACT NO.:** \_\_\_\_\_

**ADDRESS:** \_\_\_\_\_

**CONTRACT AMOUNT:** \_\_\_\_\_

**LIAISON/PHONE NO.:** \_\_\_\_\_

**M/WBE GOAL:** \_\_\_\_\_

M/WBE SUB/VENDOR NAME	DATE OF OBO CERTIFICATION	DATE OF SUBCONTRACT	SUBCONTRACT AMOUNT	% OF TOTAL CONTRACT	AMOUNT PAID TO DATE	% OF CONTRACT TO DATE

Use additional pages if needed. Submit by the 15th day of the following month.  
 Provide support documentation on all revenues paid to end of the report period to:  
 M/WBE's to reflect up/down variances on Contract amount.

Office of Business Opportunity  
 ATTN: Carlecia Wright 713-837-9000  
 611 Walker, 7<sup>th</sup> Floor  
 Houston, Texas 77002

## EXHIBIT III – SAMPLE PRICE SHEET / FEE SCHEDULE

SOLICITATION NO.: S46- T25246

**NOTE: MUST BE SUBMITTED IN A SEPARATE SEALED ENVELOPE MARKED “PRICING”**

RFP should identify all relevant costs and should consider (but not limit to) the items in the following chart, as applicable. To the extent proposer offers tiered or graduated pricing, please list all levels of pricing separately (e.g. price reductions based on 25 licenses above a certain threshold number).

Item	Cost Item	Unit of Measure	Qty	Total Cost
1	Software License			
2	Annual Maintenance and Support			
3	Implementation Services			
4	Customizations			
5	Training			
6	Hosting solution			
7	On-premise solution			
8	Professional Services			
9	Optional software features or modules (list each separately)			
10	Storage Fees, if any			
11	Travel Costs, if any			
16	<i>List any other cost items in addition to the above:</i>			
<b>TOTAL</b>				

**EXHIBIT IV – SAMPLE INSURANCE CERTIFICATE FOR  
CONTRACT AWARD (\$50K OR MORE)  
SOLICITATION NO.: S46- T25246**

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 MAIL 30 DAYS WRITTEN NOTICE OF SUCH CHANGE TO THE CERTIFICATE HOLDER NAMED (TO THE LEFT),

=====

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.

Revised - 03/09/95

# EXHIBIT IV – SAMPLE INSURANCE CERTIFICATE FOR CONTRACT AWARD (\$50K OR MORE)

SOLICITATION NO.: S46- T25246

## 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 – SAMPLE INSURANCE CERTIFICATE FOR CONTRACT AWARD (\$50K OR MORE) SOLICITATION NO.: S46- T25246



Form Number: A-002  
Revision: 05/01/2014

## CERTIFICATE OF INSURANCE FOR SERVICES

This certificate of insurance is provided for informational purposes only. This certificate does not confer any rights or obligations other than the rights and obligations conveyed by the policies referenced on this certificate. The terms of the referenced policies control over the terms of this certificate.

Prior to the beginning of work, the vendor shall obtain the minimum insurance and endorsements specified. Agents must complete the form providing all requested information and submit by fax, U.S. mail, or e-mail as requested by The City of Houston. The endorsements listed below are required as attachments to this certificate; copies of the endorsements are also acceptable. PLEASE ATTACH ALL ENDORSEMENTS TO THIS FORM, AND INCLUDE THE MATCHING POLICY NUMBER ON THE ENDORSEMENT. Only City of Houston certificates of insurance are acceptable; commercial carriers' certificates are not.

Producer: [insert name of insurance company] **A**  
 Street/Mailing Address: [insert address of insurance company]  
 City: [insert city] State: [insert State] Zip Code: [zip Code] Phone: [Office Phone Number]

Insured: [insert name of the Contractor] **B**  
 Street/Mailing Address: [insert mailing address of Contractor]  
 City: [insert city] State: [insert State] Zip Code: [zip Code] Phone: [Office Phone Number]

**WORKERS COMPENSATION INSURANCE COVERAGE:**  
 Endorsed with a Waiver of Subrogation in favor of The City of Houston **C**

Waiver of Subrogation Endorsement Number: [Enter] **D** [Enter] **E** [Enter] **C**  
 Carrier Name: [insert insurance company name] Carrier Phone Number: [Office Phone Number]  
 NAIC: [insert NAICS code]  
 Address: [insert address of insurance company] City: [insert city] State: [insert State] Zip: [zip Code]

Type of Insurance	Policy Number	Effective Date	Expiration Date	Limits of Liability
Workers Compensation Insurance	<u>[Enter Policy Number]</u> <b>F</b>	<u>[Enter Effective Date]</u> <b>G</b>	<u>[Enter Expiration Date]</u> <b>G</b>	<input type="checkbox"/> W.C. Statutory Limits <input type="checkbox"/> E.L. Each Accident <u>\$(Enter policy amount)</u> <input type="checkbox"/> E.L. Disease – Each Employee <u>\$(Enter policy amount)</u>
Employers' Liability	<u>[Enter Policy Number]</u>	<u>[Enter Effective Date]</u>	<u>[Enter Expiration Date]</u>	E.L. Disease – Policy Limit <u>\$(Enter policy amount)</u>

**COMMERCIAL GENERAL LIABILITY INSURANCE:**  
 Endorsed with The City of Houston as Additional Insured **I** with a Waiver of Subrogation in favor of The City of Houston **C**

Additional Insured Endorsement # [Enter] **D** [Enter] **E** [Enter] **C**  
 Carrier Name: [insert insurance company name] Carrier Phone Number: [Office Phone Number]  
 NAIC: [insert NAICS code]  
 Address: [insert address of insurance company] City: [insert city] State: [insert State] Zip: [zip Code]

Type of Insurance	Policy Number	Effective Date	Expiration Date	Limits of Liability
Commercial General Liability Insurance (choose one)	<u>[Enter Policy Number]</u> <b>F</b>	<u>[Enter Effective Date]</u> <b>G</b>	<u>[Enter Expiration Date]</u> <b>G</b>	Each Occurrence: <u>\$(Enter policy amount)</u> <input type="checkbox"/> Products/Completed Operations Aggregate <u>\$(Enter policy amount)</u> <b>H</b> <input type="checkbox"/> General Aggregate <u>\$(Enter policy amount)</u>

# EXHIBIT IV – SAMPLE INSURANCE CERTIFICATE FOR CONTRACT AWARD (\$50K OR MORE) SOLICITATION NO.: S46- T25246

Form Number 4-017  
Revision Date 03/01/2014

**AUTOMOBILE LIABILITY INSURANCE:**  
 Endorsed with The City of Houston as Additional Insured. **I** the Waiver of Subrogation Endorsement of The City of Houston. **C**  
 Additional Insured Endorsement Number: [Enter Endorsement Number] Waiver of Subrogation Endorsement Number: [Enter Endorsement Number]  
 Waiver of Subrogation Endorsement Number: [Enter Endorsement Number]

Carrier Name: [insert insurance company]		City: [insert city]		State: [insert State]		Zip: [Zip Code]	
NAIC#: [insert NAICS code]		City: [insert city]		State: [insert State]		Zip: [Zip Code]	
Address: [insert address of insurance company]		City: [insert city]		State: [insert State]		Zip: [Zip Code]	
Carrier Phone Number: [Office Phone Number]		City: [insert city]		State: [insert State]		Zip: [Zip Code]	
Type of Insurance	Policy Number	Effective Date	Expiration Date	Limits of Liability			
<input type="checkbox"/> Any auto	[Enter Policy Number]	[Enter Effective Date]	[Enter Expiration Date]	Combined Single Limit \$[Enter policy amount]			
<input type="checkbox"/> All Owned autos	[Enter Policy Number]	[Enter Effective Date]	[Enter Expiration Date]	Bodily Injury (per person) \$[Enter policy amount]			
<input type="checkbox"/> Hired Autos	[Enter Policy Number]	[Enter Effective Date]	[Enter Expiration Date]	Bodily Injury (per accident) \$[Enter policy amount]			
<input type="checkbox"/> Scheduled Autos	[Enter Policy Number]	[Enter Effective Date]	[Enter Expiration Date]	Property Damage (per accident) \$[Enter policy amount]			
<input type="checkbox"/> Non-owned Autos	[Enter Policy Number]	[Enter Effective Date]	[Enter Expiration Date]	Property Damage (per accident) \$[Enter policy amount]			

**OTHER INSURANCE COVERAGE:** (i.e. Excess, MCS, other needed insurance; use Ed base for needed information)  
 Carrier Name: [insert insurance company] **D** **E** Carrier Phone Number: [Office Phone Number]  
 NAIC#: [insert NAICS code]

Address: [insert address of insurance company]		City: [insert city]		State: [insert State]		Zip: [Zip Code]	
Carrier Phone Number: [Office Phone Number]		City: [insert city]		State: [insert State]		Zip: [Zip Code]	
Type of Insurance	Policy Number	Effective Date	Expiration Date	Limits of Liability			
Excess Liability	[Enter Policy Number]	[Enter Effective Date]	[Enter Expiration Date]	\$[Enter policy amount]			
Pollution	[Enter Policy Number]	[Enter Effective Date]	[Enter Expiration Date]	\$[Enter policy amount]			
Builder's Risk	[Enter Policy Number]	[Enter Effective Date]	[Enter Expiration Date]	\$[Enter policy amount]			
Other [Enter Other Insurance]	[Enter Policy Number]	[Enter Effective Date]	[Enter Expiration Date]	\$[Enter policy amount]			
Other [Enter Other Insurance]	[Enter Policy Number]	[Enter Effective Date]	[Enter Expiration Date]	\$[Enter policy amount]			

**CANCELLATION:**  
 SHOULD ANY OF THE ABOVE DESCRIBED POLICIES BE CANCELLED BEFORE THE EXPIRATION DATE THEREOF, NOTICE WILL BE DELIVERED IN ACCORDANCE WITH THE CONTRACT PROVISIONS.

**PROJECT DESCRIPTION:** (Insert Project Manager Name, City Department and Mailing Address, and WBS Number)  
 [Insert Project Manager Name, City Department and Mailing Address, WBS Number, and Project Description]  
**P**

**AGENT CERTIFICATION:**  
 THIS IS TO CERTIFY TO THE CITY OF HOUSTON that the insurance policies above are in full force and effect.

Name of Insurance Company: [insert insurance company]		Name of Authorized Agent: [insert name of insurance agent]	
Company Address: [insert address of insurance company] <b>M</b>		Agent's Address: [insert address of insurance agent] <b>N</b>	
City: [insert city] State: [insert State] Zip: [Zip Code]		City: [insert city] State: [insert State] Zip: [Zip Code]	
Authorized Agent's Phone Number (including Area Code) [Office Phone Number]		Original Signature of Authorized Agent: <b>O</b>	
		Date (Date of Signature)	

# EXHIBIT IV – SAMPLE INSURANCE CERTIFICATE FOR CONTRACT AWARD (\$50K OR MORE) SOLICITATION NO.: S46- T25246

Form Number: A-502  
Revision Date: 02/01/2014

Additional Notes:

**WORKERS COMPENSATION INSURANCE COVERAGE**

	<b>Q</b>	

**COMMERCIAL GENERAL LIABILITY INSURANCE**

	<b>Q</b>	

**AUTOMOBILE LIABILITY INSURANCE**

	<b>Q</b>	

**OTHER INSURANCE COVERAGE**

	<b>Q</b>	

**Additional Carrier Information (if multiple carriers providing insurance)**

Carrier Name:	<input type="text" value="[insert insurance company name]"/>	<b>D</b>	<b>E</b>
NAIC#:	<input type="text" value="[insert NAIC# code]"/>		
Carrier Phone Number:	<input type="text" value="[insert Office Phone Number]"/>		
Type of Insurance:	<input type="text" value="[insert specific type of insurance]"/>		
Carrier Name:	<input type="text" value="[insert insurance company name]"/>	<b>D</b>	<b>E</b>
NAIC#:	<input type="text" value="[insert NAIC# code]"/>		
Carrier Phone Number:	<input type="text" value="[insert Office Phone Number]"/>		
Type of Insurance:	<input type="text" value="[insert specific type of insurance]"/>		
Carrier Name:	<input type="text" value="[insert insurance company name]"/>	<b>D</b>	<b>E</b>
NAIC#:	<input type="text" value="[insert NAIC# code]"/>		
Carrier Phone Number:	<input type="text" value="[insert Office Phone Number]"/>		
Type of Insurance:	<input type="text" value="[insert specific type of insurance]"/>		

# EXHIBIT IV – SAMPLE INSURANCE CERTIFICATE FOR CONTRACT AWARD (\$50K OR MORE) SOLICITATION NO.: S46- T25246

FORM NUMBER: HOU2  
EDITION DATE: 05/01/2014

Complete the certificate of insurance with the information listed below:  
(Instructions for completing and submitting a certificate to the City of Houston)

- A) The Producer is the Insurance Agency. Fill in the complete name, address, and telephone number for the insurance agency.
  - 1) The City requires all insurance companies to be authorized to do business in the State of Texas and be rated by A.M. Best with a rating of B+ (or better) Class VI (or higher) or otherwise be acceptable to the City if not rated by A. M. Best.
  
- B) The Insured is the entity vendor entering into a contract with the City of Houston. Fill in the complete name, address, and telephone number.
  
- C) Please provide the form number for the Waiver of Subrogation Endorsement. The City of Houston's preferred endorsement form is Waiver of Transfer of Rights of Recovery against Others – CG2404. Use of the preferred endorsement will expedite execution of the agreement.
  
- D) The Carrier is the insurance company providing the specific coverage. Fill in the complete name and address for the insurance company providing coverage.
  
- E) NAIC# means a number assigned by the National Association of Insurance Commissioners to all insurance companies.
  
- F) Fill in the Insurance Policy number.
  
- G) Insurance policies must be in effect at the time of contract. If any policy has expired, a new Certificate of Insurance must be submitted with the new policy information.
  
- H) Fill in the limit for the Insurance Policy.
  
- I) Additional Insured Endorsement Number. The City of Houston's preferred endorsement form is Additional Insured Endorsement – CA0403. Use of the preferred endorsement will expedite execution of the agreement.
  
- J) General Liability Insurance Policy. The specific coverage must be specified: Claims Made or Occurrence. Occurrence coverage is preferred, but Claims Made coverage may be accepted subject to approval by the City of Houston.
  
- K) Automobile Liability Insurance. Any Auto OR All Owned Autos, Hired Autos and Non-Owned Autos must be checked. The City of Houston's preferred endorsement form is Business Auto Extension Endorsement – CAT353. Use of the preferred endorsement will expedite execution of the agreement.
  
- L) Choose the necessary insurance by underlining it. Builder's Risk Policy is for construction projects, as designated by the City. Professional Liability Coverage is for professional services, if required by the City. Umbrella Coverage must be checked in this section and by occurrence when it is required by contract and in accordance with the contract value.
  
- M) The name and contact information of the Producer providing the insurance.
  
- N) The name and contact information for the Authorized Agent of the Producer, including the area code and phone number.
  
- O) The original signature of the Authorized Agent.

**EXHIBIT IV – SAMPLE INSURANCE CERTIFICATE FOR  
CONTRACT AWARD (\$50K OR MORE)  
SOLICITATION NO.: S46- T25246**

Form Number: 6042  
Edition Date: 08/04/2014

- P) The vendor should place the required Project Description information (Project Manager Name, City Department and Mailing Address, and WBS Number) here. This information was previously placed in the

**[END OF DOCUMENT]**

**EXHIBIT V – FAIR CAMPAIGN ORDINANCE**  
**SOLICITATION NO.: S46- T25246**

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.: S46- T25246**

CITY OF HOUSTON FAIR CAMPAIGN ORDINANCE

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-elect) during a certain period of time prior to and following the award of the Contract by the City Council. The term “Contractor” Includes proprietors of proprietorships, partners or joint venture’s having an equity interest of 10 percent or more for the partnership or Joint venture, and officers, directors and holders of 10 percent or more of the outstanding shares of corporations. A statement disclosing the names and business addresses of each of those persons will be required to be submitted with each Bid or Proposal for a City Contract. See Chapter 18 of the Code of Ordinances, Houston, Texas, for further information.

This list is submitted under the Provisions of Section 18-36(b) of the Code of Ordinances, Houston, Texas, in connection with the attached Proposal, submission or bid of:

Firm or Company Name: \_\_\_\_\_

Firm or Company Address: \_\_\_\_\_

**The firm/company is organized as a (Check one as applicable) and attach additional pages if needed to supply the required names and addresses:**

**SOLE PROPRIETORSHIP**

Name \_\_\_\_\_  
Proprietor Address

**A PARTNERSHIP**

**List each partner having equity interest of 10% or more of partnership (if none state “none”):**

Name \_\_\_\_\_  
Partner Address

Name \_\_\_\_\_  
Partner Address

**A CORPORATION**

**List all directors of the corporation (if none state “none”):**

Name \_\_\_\_\_  
Director Address

Name \_\_\_\_\_  
Director Address

Name \_\_\_\_\_  
Director Address

**EXHIBIT V – FORM “A”: FAIR CAMPAIGN  
SOLICITATION NO.: S46- T25246**

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

f	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.: S46- T25246**

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.: S46- T25246**

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.: S46- T25246

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.: S46- T25246**

**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.: S46- T25246**

- (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 any time 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.: S46- T25246**

I, \_\_\_\_\_ as an owner or officer of  
 (Name) (Print/Type) (Title)  
 \_\_\_\_\_ (Contractor)  
 (Name of Company)

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 “C” AND “D”  
 CONTRACTOR’S CERTIFICATION OF NO SAFETY IMPACT POSITIONS  
 SOLICITATION NO.: S46- T25246**

I, \_\_\_\_\_  
 (Name) (Print/Type) (Title)

as an owner or officer of \_\_\_\_\_  
 (Contractor) have authority to bind the Contractor with respect to its bid, and I hereby certify that Contractor has no employee safety impact positions as defined in §5.18 of Executive Order No. 1-31 that will be involved in performing this City Contract. Contractor agrees and covenants that it shall immediately notify the City's Director of Personnel if any safety impact positions are established to provide services in performing this City Contract.

\_\_\_\_\_  
 Date

\_\_\_\_\_  
 Contractor Name

\_\_\_\_\_  
 Signature

\_\_\_\_\_  
 Title

**CONTRACTOR'S CERTIFICATION OF NON-APPLICATION OF  
 CITY OF HOUSTON DRUG DETECTION AND DETERRENCE PROCEDURES  
 FOR CONTRACTORS**

**ATTACHMENT “D”**

I \_\_\_\_\_ as an owner or officer of  
 (NAME) (PRINT/TYPE)

\_\_\_\_\_ (Contractor) have authority to bind the Contractor with respect to its bid, and I hereby certify that Contractor has fewer than fifteen (15) employees during any 20-week period during a calendar year and also certify that Contractor has no employee safety impact positions as defined in 5.18 of Executive Order No. 1-31 that will be involved in performing this City Contract. Safety impact position means a Contractor's employment position involving job duties that if performed with inattentiveness, errors in judgment, or diminished coordination, dexterity, or composure may result in mistakes that could present a real and/or imminent threat to the personal health or safety of the employee, co-workers, and/or the public.

\_\_\_\_\_  
**DATE**

\_\_\_\_\_  
**CONTRACTOR'S NAME**

\_\_\_\_\_  
**SIGNATURE**

\_\_\_\_\_  
**TITLE**

**EXHIBIT VIII – ANTI-COLLUSION STATEMENT**

**SOLICITATION NO.: S46- T25246**

**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.: S46- T25246

## **CONFLICT OF INTEREST QUESTIONNAIRE:**

Chapter 176.006 of the Local Government Code (“the code”) requires a Vendor/Contractor to file a Conflict of Interest Questionnaire (CIQ) with the City.

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

## **Who must file a CIQ?**

A Vendor/Contractor or Agent of a Vendor/Contractor does not have to file a CIQ unless they intend to enter or is considering entering into a contract with the City or:

1. has an employment or other business relationship with the Local Government Officer/Family Member; or
2. has given the Local Government Officer/Family Member one or more gifts with the aggregate value exceeding \$250.00.

## **When must the Vendor/Contractor or Agent file a CIQ?**

The completed CIQ must be filed with the City Purchasing Agent not later than the 7<sup>th</sup> business day after the date the Vendor/Contractor or Agent:

1. begins discussions or negotiations to enter into a contract with the City;
2. submits an application to the City in response to a request for proposals or bids, correspondence, or any other writing related to a potential contract with the City;
3. becomes aware of an employment or other business relations with the Local Government Officer/Family Member;
4. becomes aware that he/she has given one or more gifts to the Local Government Officer/Family Member that exceeds \$250.00; or
5. an event that would make the CIQ incomplete or inaccurate.

## **What is a business relationship?**

Under Chapter 176, business relationship means a connection between two or more parties based on the commercial activity of one of the parties. The term does not include:

1. a transaction that is subject to a rate or fee regulation by a governmental entity;
2. a transaction conducted at a price and subject to terms available to the public; or
3. a purchase or lease of goods or services from a person who is chartered by a state or federal agency and is subject to regular examination and reporting to that agency.

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

The Original Conflict of Interest Questionnaire shall be filed with the Administration and Regulatory Affairs Department’s Record Administration (Calvin D. Wells, City Purchasing Agent, 901 Bagby, Concourse Level, Houston, Texas 77002). Vendors and Contractors required to file shall include a copy of the form as part of the BID/Proposal package. **Any questions about filling out this form should be directed to your attorney.**

# EXHIBIT IX – CONFLICT OF INTEREST QUESTIONNAIRE

SOLICITATION NO.: S46- T25246

## CONFLICT OF INTEREST QUESTIONNAIRE

FORM CIQ

For vendor or other person doing business with local governmental entity

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

Adopted 06/29/2007

# EXHIBIT X – PAY OR PLAY PROGRAM REQUIREMENTS

SOLICITATION NO.: S46- T25246

## 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.
5. 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.
6. 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.: S46- T25246

## 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.: S46- T25246**



**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

