



CITY OF HOUSTON
REQUEST FOR PROPOSALS (RFP)
REGIONAL CATASTROPHIC
PREPAREDNESS PLANNING SERVICES
SOLICITATION NO.: S36-T29535

Date Issued: September 18, 2020

Pre-Proposal Conference: September 29, 2020 @ 10:00 A.M., DST
[Join Microsoft Teams Meeting](#)
[+1 936-755-1521](#) United States, Huntsville (Toll)
Conference ID: 110 594 003#

**Pre-Proposal Questions
Deadline:** October 2, 2020 @ 2:00 P. M., DST

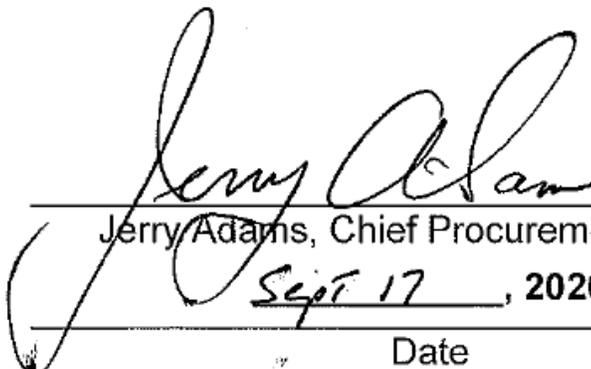
Solicitation Due Date: October 29, 2020 @ 4:00 P.M., DST

Solicitation Contact Person: Valerie Player-Kaufman
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832-393-8749

Project Summary: This RFP is for regional catastrophic preparedness planning services to assist the City of Houston in coordinating regional planning efforts to support planning related to the FEMA-defined Community Lifelines, which consist of food, water and shelter. This procurement is for a three (3) year contract with two (2) one-year options to renew annually, for a maximum five-year contract term for regional catastrophic preparedness planning services for the Mayor's Office of Public Safety and Homeland Security.

NIGP Code: 99029; 90664; 91827; 91892; 92672; 95296

MWBE Goal: 24%



Jerry Adams, Chief Procurement Officer
Sept 17, 2020

Date

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PART I – GENERAL INFORMATION

1.0 GENERAL INFORMATION

The City of Houston (“City”) is currently seeking proposals from qualified firms to provide Regional Catastrophic Preparedness Planning Services to support planning related to the FEMA-defined Community Lifeline, which is composed of food, water and sheltering for the Mayor’s Office of Homeland Security and Emergency Management Center.

2.0 MAYOR’S OFFICE OF PUBLIC SAFETY AND HOMELAND SECURITY BACKGROUND

The mission of the Mayor's Office of Public Safety and Homeland Security is twofold. First, the office assists the City in its preparedness activities to prevent, protect from, respond to, and recover from man-made and natural disasters or major emergencies. In addition, through the Houston Emergency Center division, the Office of Public Safety and Homeland Security ensures that residents' calls for police, fire, and emergency medical services are received, processed, and dispatched as quickly and accurately as possible.

3.0 SOLICITATION SCHEDULE

Listed below are the important dates for this Request for Proposals (RFP).

<u>EVENT</u>	<u>DATE</u>
Date of RFP Issued	September 18, 2020
Pre-Proposal Conference	September 29, 2020
Questions from Proposers Due to City	October 2, 2020
Proposals Due from Proposers	October 29, 2020
Notification of Intent to Award (<i>Estimated</i>)	December 14, 2020
Council Agenda Date (<i>Estimated</i>)	January 26, 2021
Contract Start Date	Countersignature Date

PART II – SCOPE OF WORK

1.0 PURPOSE

The City of Houston is coordinating regional planning efforts to support planning related to the FEMA-defined Community Lifelines. The first priority is the Food, Water, and Sheltering Community Lifeline; six additional lifelines (Communications, Transportation, Safety and Security, Fuel, Health and Medical, and Hazardous Materials) may be included in later project phases. This project, funded by the FY2019 Regional Catastrophic Preparedness Grant Program, will serve the 13-county Houston-Galveston Area Council (H-GAC) Region. This Region includes the Counties of and jurisdictions within Austin, Brazoria, Chambers, Colorado, Fort Bend, Galveston, Harris, Liberty, Matagorda, Montgomery, Walker, Waller, and Wharton and the respective agencies and organizations they represent.

2.0 OBJECTIVE

The contract specific work conducted under this procurement will help the City to prepare to meet jurisdiction specific needs and direct resources (i.e., food, water, and shelter) during a catastrophic incident.

3.0 SCOPE OF WORK

3.1 SERVICES AND DELIVERABLES

The following services and deliverables are the minimum expected to accomplish each task.

- 3.1.1 **Community Lifelines Seminars.** The Houston Regional Catastrophic Planning Team (RCPT) and partners will meet to discuss linking essential elements of information (EIs) captured in Emergency Operations Center settings and aligning with state, federal, and other organizational reporting mechanisms. Topics will also include technology concepts (including GIS and situational awareness dashboards) and standardized reporting. The main benefit of these seminars is that they will be an opportunity to bring local, state, and federal government; Non-Governmental Organizations (NGO); and private sector partners together to begin a dialogue about existing food, water, and sheltering gaps and how they might work together to address them.
- 3.1.2 The Contractor will assist in the development and implementation of five (5) seminars: 1) Water, 2) Food, 3) Shelter, 4) Evacuation, and 5) Agriculture.
- 3.1.3 **Lifelines Assessment Tool.** The Lifelines Assessment Tool will help jurisdictions improve their overall resilience when faced with disruptions to their community lifelines. This tool will complement the baseline assessment and planning workshops and help communities better visualize their lifeline components and key capabilities or services.
- 3.1.4 The Contractor will work with the Regional Catastrophic Planning Team (RCPT) to determine the appropriate tool(s) and technology to support lifelines assessment, and to develop and implement the tool(s) and/or technology.
- 3.1.5 **Baseline Community Lifelines Assessment.** This assessment will involve developing profiles for each participating jurisdiction to determine their capabilities for providing access to food, water, and sheltering to their communities. This includes an evaluation of support mechanisms provided by governmental, non-profit/NGO, and private sector partners. Following the assessment, the jurisdiction will receive a summary report indicating gaps in the Lifeline, a root cause analysis to determine their source, and recommendations to address them. This report will also address community resilience, as well as supply chain concerns, highlighting socially vulnerable areas that are most at risk of being underserved in a catastrophic disaster. Once all the reports are complete, a final regional report will be developed to give decision makers a better understanding of how to direct resources during a catastrophic incident. The City of Houston will provide two staff members to assist with data gathering and assessment.
- 3.1.6 The Contractor will assist local jurisdictions with assessing the community lifelines and will be responsible for the development and production of the final regional report. *This investment should be supported by local personnel (locally based company or a company's willingness to provide temporary personnel) to assist with site visits and project implementation.*
- 3.1.7 **Planning Templates.** These templates will help jurisdictions to be better prepared to address food, water, and shelter issues during an incident. They will address actionable considerations for the Food, Water, Sheltering

Community Lifeline components and Essential Elements of Information, as well as how they may be integrated into existing plans and annexes. When jurisdictions receive the templates, they will largely be complete, only requiring modifications to make them more jurisdiction-specific. This will be especially beneficial to jurisdictions with smaller staffs and more limited resources.

- 3.1.8 The Contractor will be responsible for developing a Food, Water, Sheltering Lifeline Planning Template.
- 3.1.9 **Planning Workshops.** Each jurisdiction will receive technical assistance from the RCPI Lifelines Program Team to develop and conduct workshops that will help them complete the planning templates. The workshops will be packaged as a “workshop in a box” and include typical Homeland Security Exercise and Evaluation Program (HSEEP) documents, presentations, and other collateral such as announcements and agendas. This will ensure a consistent approach across the region.
- 3.1.10 The Contractor will be responsible for developing a “workshop in a box” and for one (1) pilot delivery. Subsequent deliveries will be completed by Houston RCPI staff and a locally positioned asset from the Contractor.

4.0 LAWS, CODES, & SAFETY GUIDELINES

The City Intends to Utilize the Regional Catastrophic Preparedness Grant funding for the Agreement. The selected firm must comply with all applicable governing local, state, and federal laws, executive orders, regulations, requirements, and guidelines, including but not limited to FR-5938-N-01, FR-6066-N-01, 24 C.F.R. part 570, and 2 C.F.R. part 200 and other Federal requirements. The selected firm shall comply with all laws, codes and safety guidelines applicable to the work being performed. For all laws, codes and safety guidelines cited here or elsewhere in specifications, the revision or edition in effect at the time of performance of the work shall apply. The laws, codes, and safety guidelines to be followed shall include, but are not limited to those listed in the following paragraph.

Compliance with Environmental Laws. Selected firm shall comply with all laws relating to environmental matters including, without limitation, those relating to fines, orders, injunctions, penalties, damages, contribution, cost recovery compensation, losses or injuries resulting from the release or threatened release of hazardous materials, special wastes or other contaminants into environment and to generation, use, storage, transportation, or illegal disposal of solid wastes, hazardous materials, special wastes or other contaminants including, without limitation, the Comprehensive Environmental Response and Compensation and Liability Act (42 U.S.C § 9602 et seq.), the Hazardous Material Transportation Act (49 U.S.C. § 1801 et seq.), the Resource Conservation and Recovery Act of 1976(42 USC. § 6901 et seq.), the Clean Water Act (33 U.S.C. § 1251 et seq.), the Clean Air Act (42 U.S.C. § 7401 et seq.) The Toxic Substances Control Act of 1976 (15 U.S.C. § 2601 et seq.), the Safe Drinking Water Act (42 U.S.C. § 300f), the Occupational Safety and Health Act of 1970 (29 U.S.C § 651 et seq.), the Emergency Planning and Community Right-to-know Act (42 U.S.C § 11001 et seq.), Texas Commission on Environmental Quality (TCEQ) (415 ILCS 5/1 through 5/56.6) and the Municipal Code of the City of Houston, each as amended or supplemented, and any analogous future or present local, state or Federal statutes, rules and regulation promulgated thereunder or pursuant thereto, and any other present or future law, ordinance, rule regulation, permit or permit condition, order or directive regulating, relating to or imposing liability or standards of conduct concerning any hazardous materials or by Federal government, any state or any political subdivision thereof, or any agency, court or body of the

Federal government, any state or any political subdivision thereof, exercising executive, legislative, judicial, regulatory or administrative functions (collectively, "Environmental Laws").

Permits. The firm shall at their own expense and in its own name obtain and maintain all permits, licenses, vehicle stickers, certificates and licenses required by the City and/or other State or Federal requirements as may be necessary to legally perform its obligation.

5.0 MEETINGS

The Contractor must participate in meetings, general discussions, and consultations with the Mayor's Office of Homeland Security and Houston Emergency Center on an as needed basis.

6.0 EXHIBITS

The following document is provided as an aid in responding to this solicitation:

See "Exhibit "A" Sample Contract

See "Exhibit "B" Sample Price Proposal

PART III – EVALUATION AND SELECTION PROCESS

1.0 EVALUATION COMMITTEE

An evaluation committee shall evaluate Proposers' submissions in accordance with the evaluation criteria. Upon completion of the evaluation, the committee may develop a short list of Proposer(s) meeting the requirements. The shortlisted Proposer(s) may be scheduled for a structured oral presentation, demonstration, interview and negotiations (which may be held virtually). Following these City-to-Proposer(s)' meetings, the evaluation committee will summarize their findings and recalculate their scores, if needed. However, the evaluation committee reserves the right to issue letter(s) of clarification when deemed necessary to any or all Proposer(s). The oral presentations, demonstrations and/or interviews may be recorded and/or videotaped.

2.0 INTERVIEWS/ORAL PRESENTATIONS/DEMONSTRATIONS

The City reserves the right to request that Proposer(s) provide a final presentation handout of its Proposal at their scheduled meeting. No Proposer may attend presentations of any other Proposer. If necessary, Proposers may be scheduled for more than one presentation, demonstration, or interview.

3.0 SELECTION PROCESS

The City intends to select a Proposal that best meets the needs of the City and that provides the best overall value. The City reserves the right to check references on any projects performed by the Proposer, whether provided by the Proposer or known by the City. Upon review of all information provided by Proposers, the evaluation committee will make a recommendation for selection to City officials. Upon approval of the selected Proposer and a mutually agreeable contract between the City and Proposer, a contract shall be executed by the appropriate City officials.

4.0 BEST AND FINAL OFFER ("BAFO")

The City reserves the right to request one or more BAFO(s) from finalist Proposer(s), if necessary.

5.0 EVALUATION CRITERIA

5.1 Responsiveness of Proposal (Pass/Fail)

The Proposal shall be responsive to all material requirements that will enable the evaluation committee to evaluate it in accordance with the evaluation criteria and make a recommendation to City officials.

5.2 Technical Competence/Requirements (100 Point Total)

5.2.1 Qualifications, experience, and expertise of the Proposer to successfully achieve and perform the services evidenced by experience on projects of similar scope of magnitude (25 Points)

5.2.1.1 Clearly demonstrated expertise in performing requested work.

5.2.1.2 Clearly demonstrated expertise in the deliverables being requested.

5.2.1.3 Demonstration of capacity to lead a project of this magnitude.

5.2.1.4 Strength of examples in terms of relevance to the City's grant-related requirements.

5.2.2 Qualifications and expertise of the Proposer to outline a clear and concise Concept Plan (45 Points)

5.2.2.1 Describes support methodology and provision for in-person meetings, which includes a plan to have support personnel in the region or to temporarily place personnel in the region.

5.2.2.2 Describes documentation and meetings necessary for planning to include workshops and templates.

5.2.2.3 Describes methodology and plan to conduct the Baseline Community Lifelines Assessment.

5.2.3 Quality of the overall proposed Lifeline Assessment solution including, but not limited to, strategy, ease of use, support, security structure and understanding of outlined Tool in the RFP scope of work (25 Points)

5.3 Quality of proposed M/WBE Participation aligned with the project scope. (Pass/Fail)

5.3.1 Ability to meet the required **24%** level of subcontracting participation or a demonstrative Good Faith Efforts presented by Proposer.

5.4 Financial Stability of the Proposer (Pass/Fail)

If Proposer is an entity that is required to prepare audited financial statements, Proposer shall submit an annual report that includes:

5.4.1 Last two years of audited accrual-basis financial statements, including an income statement, cash flow statement, and balance sheet;

5.4.2 If applicable, last two years of consolidated statements for any holding companies or affiliates;

5.4.3 An audited or un-audited accrual-basis financial statement of the most recent quarter of operation; and

5.4.4 A full disclosure of any events, liabilities, or contingent liabilities that could affect Proposer's financial ability to perform this contract.

If Proposer is a privately-owned entity or sole proprietorship for which audited financial statements are not required, Proposer shall submit an annual report that includes:

- 5.4.5 Last two years of un-audited accrual-basis financial statements, including an income statement, cash flow statement, and balance sheet;
- 5.4.6 An audited or un-audited accrual-basis financial statement of the most recent quarter of operation; and
- 5.4.7 A full disclosure of any events, liabilities, or contingent liabilities that could affect Proposer’s financial ability to perform this contract;

OR

- 5.4.8 Other financial information sufficient for the City, in its sole judgement, to determine if Proposer is financially solvent or adequately capitalized.

5.5 Price Proposal (5 Points)

- 5.5.1 The Price Proposal should be in the form of EXHIBIT “B” – Price Proposal

THE PRICE PROPOSAL MUST BE SUBMITTED IN A SEPARATE SEALED ENVELOPE that is clearly marked with the RFP title and solicitation number and the label “Price Proposal”.

6.0 EVALUATION MATRIX

EVALUATION CRITERIA	SCORE
Responsiveness of Proposal	Pass/Fail
Qualifications, experience, and expertise of the Proposer to successfully achieve and perform the services evidenced by experience with projects of similar scope of magnitude	25
Qualifications and expertise of the Proposer to outline a clear and concise Concept Plan.	45
Quality of the overall proposed Lifeline Assessment solution including, but not limited to, strategy, ease of use, support, security structure and understanding of outlined Tool in the RFP scope of work.	25
Quality of proposed M/WBE Participation aligned with the project scope.	Pass/Fail
Financial Stability of the Proposer	Pass/Fail
Price Proposal	5
TOTAL SCORE	100

7.0 ADDITIONAL RELATED SERVICES

In submitting its Proposal, Proposer(s) shall indicate a willingness to negotiate future potential additional services deemed appropriate for the Scope of Work, as provided herein, or deemed necessary and/or desirable by the City.

8.0 INVOICING

- 8.1 The City is a single entity for accounting, billing, and discounting. Any invoice accompanied by detailed supplements and other backup documents are to be submitted for payments to:

HSprocurement@houstontx.gov
kim.house@houstontx.gov

2. The City requires timely and accurate accounting and billing information.

PART IV – SUBMISSION OF PROPOSAL

1.0 Instructions for Submission

- 1.1 Number of Copies. Submit **one (1)** printed copy of the Technical Proposal, one printed original signed in BLUE ink, and **six (6)** electronic copies of the Technical Proposal on **thumb drives**, sealed in a separate single envelope bearing the assigned solicitation number (located on the first page of this RFP document) to:

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

- 1.1.1 Technical Proposal. Submit **one (1)** original and **six (6)** thumb drives in a separate single sealed envelope bearing the assigned solicitation number and title.
- 1.1.2 Price Proposal/Fee Schedule and M/WBE documents. Submit **one (1)** copy of the **Price** Proposal/Fee Schedule and M/WBE documents on a thumb drive in a separate single sealed envelope bearing the assigned solicitation number and title.

The City 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.

- 1.2 Time for Submission: Proposals shall be submitted no later than the date and time indicated for submission in this RFP. Late submittals will not be considered and will be returned unopened. With the exception of City holidays, the normal business hours for the City Secretary's office are Monday through Friday, 8:00 a.m. to 5:00 p.m. DST.
- 1.3 Format: Proposals must be left-bound with information on both sides of the page when appropriate. Material should be organized following the order of the submission requirements separated by labeled tabs, and shall be securely bound. Submission materials will not be returned to Proposers.
- 1.4 Complete Submission: Proposers are advised to carefully review all the requirements and submit all documents and information as indicated in this RFP. Incomplete proposals may lead to a proposal being deemed non-responsive. Non-responsive proposals will not be considered.

- 1.5 Packaging and Labeling; Submission of Fee Schedule: The outside wrapping/envelope of the printed Technical Proposal shall clearly indicate the RFP title, date, time for submission, and the name of the Proposer. The required number of thumb drives containing the Technical Proposal shall be submitted in a separate sealed envelope and marked in the same manner as the printed Technical Proposal. The outside wrapping/ envelope of the Fee Schedule shall clearly identify the content as “Fee Schedule” and shall clearly indicate the RFP title, date, time for submission, and name of the Proposer. All other submission requirements shall be included with the Proposer’s Technical Proposal.
- 1.6 Delivery of Proposals: The Proposal, including the Technical Proposal, all required forms, and the Fee Schedule must be delivered by hand or mailed to the address shown on the cover sheet of this RFP. If using an express delivery service, the package must be addressed and delivered specifically to the City Secretary’s Office. Packages delivered by express mail services to other locations may not be re-delivered to its final destination by the deadline hour.
- 1.7 Proposers Responsible for Timely Submission: Proposer remains responsible for ensuring that its Proposal is received at the time, date, place, and office specified. The City assumes no responsibility for any Proposal not received, regardless of whether the delay is caused by the U.S. Postal Service, a courier delivery service, or some other act or circumstance.

2.0 **SUBMISSION REQUIREMENTS**

Proposals are required to be submitted as detailed below and in the tabbed format as outlined to ensure consistency of content.

- 2.1 **Cover Letter:** The cover letter shall be signed by an authorized representative of the proposer. The letter should indicate the proposer’s commitment to provide the services proposed. In addition, the cover letter shall identify the members of the team that comprise the respondent. Indicate the organizational relationship of the team members.
- 2.2 **Offer and Submittal Form:** See Exhibit I
- 2.3 **Summary Statement of Qualifications (1-page maximum) – Tab 1:** Provide a specific statement of qualifications (SOQ) for this RFP. The length of the submittal document shall not exceed one (1) page (single sided). The SOQ shall state the consultancy/consultant qualifications and experience in the area of catastrophic disaster planning and lifelines assessment.
- 2.4 **Primary Point-of-Contact and Biographies for Key Staff – Tab 2:** Identify the primary point-of- contact for the proposal and provide complete contact information for this individual, which includes name, physical address, daytime telephone number(s), and email. Also include a short (200-word maximum) biographical sketch of each key staff person who will be committed to this project.
- 2.5 **Concept Plan for the Completion of Required Deliverables (5-pages maximum) – Tab 3:** Provide a concept plan and draft timeline for the completion of the required deliverables/ services outlined in the Scope of Work in this RFP in no more than five pages. Please detail the company’s ability to have on-site technical support in the region during this initiative. **The draft timeline cannot exceed June 30, 2022.**

- 2.6 **Clients Past Projects/References (3-pages maximum, not including Addenda) - Tab 4:** Provide three examples of relevant/ comparable current or past projects. For each, provide no more than a one-page summary that outlines the scope and specific deliverables. Include contact information (name, phone number and email address) for an individual involved with the project that can verify your role and attest to the quality of services or products received. Examples of lifelines assessments, catastrophic planning templates, or other documents may be included as Addenda.
- 2.7 **M/WBE Participation – Tab 5:** Identify M/WBE subcontractor(s) and submit a signed “M/WBE Letter of Intent” form identifying the role of each subcontractor for the implemented project.
- 2.8 **Financial Stability – Tab 6:** If Proposer is an entity that is required to prepare audited financial statements, then Proposer shall submit an annual report containing the information provided in Part III, D, 5.4.1 through 5.4.4 of this document. If Proposer is a privately-owned entity or sole proprietorship for which audited financial statements are not required, Proposer shall submit an annual report containing the information provided in Part III, D, 5.2.5 through 5.2.7, or 5.2.8 of this document.
- 2.9 **Exceptions to Standard Contract – Tab 7:** Provide any exceptions to the standard contract and include the rationale for taking the exception. If alternate language is proposed, include the proposed language for consideration, along with the corresponding Article Nos. within the RFP.
- 2.10 **Legal Actions – Tab 8:** Provide a list of any pending litigation and include a brief description of the reason for legal action.
- 2.11 **Conflict of Interest – Tab 9:** Provide information regarding any real or potential conflict of interest(s). Failure to disclose any potential conflict of interest at the outset may be cause for rejection of the Proposal.
- 2.12 **Other – Tab 10:** Provide any information the Proposer deems pertinent to demonstrating its qualifications to perform the services being requested, such as memberships in any professional associations, documents, examples, etc.
- 2.13 **Forms and Certifications - Tab 11:** Please submit the forms referenced below and listed in PART VIII – REQUIRED FORMS TO BE SUBMITTED WITH PROPOSAL.
- 2.13.1 Offer and Submittal Form (Exhibit I) **(Signed in blue ink and notarized)**
 - 2.13.2 M/WBE Forms (Exhibit II)
 - 2.13.3 City of Houston Ownership Information Form (Exhibit III)
 - 2.13.4 Anti-Collusion Statement (Exhibit IV)
 - 2.13.5 Conflict of Interest Questionnaire (Exhibit V)

Part V – EXCEPTIONS TO TERMS AND CONDITIONS

All exceptions to the Sample Agreement shall be submitted in a clearly identified separate section of the Proposal in which the Proposer clearly cites the specific paragraphs within the Sample Agreement 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 approved by the Chief Procurement Officer or designee, 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.

Part VI – SPECIAL CONDITIONS

1.0 NO CONTACT PERIOD

Neither Proposer(s) nor any person acting on Proposer(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, 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.

With the exception of Proposer's formal response to the solicitation and written requests for clarification during the period officially designated for such purpose by the City Representative, neither Proposer(s) nor persons acting on their behalf shall communicate with any appointed or elected official or employee of the City, their families, or staff through written or oral means in an attempt to persuade or 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 Proposer from the time of 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. However, nothing in this paragraph shall prevent a bidder from making public statements to the City Council convened for a regularly scheduled session after the official selection has been made and placed on the City Council agenda for action, or to a City Council committee convened to discuss a recommendation regarding the solicitation.

2.0 EQUAL OPPORTUNITY EMPLOYMENT

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

3.0 MINORITY AND WOMAN BUSINESS ENTERPRISES ("M/WBE")

It is the City of Houston's policy to ensure that Minority and Women Business Enterprises (MWBE) have full opportunity to compete for and participate in City Contracts. Contractor shall comply with the City's MWBE Program as set forth in Chapter 15, Article V of the City of Houston Code of Ordinances. Contractor shall make good faith efforts to award subcontracts and supply agreements in at least **24%** of the value of the Agreement to certified MWBEs. Contractor acknowledges that they have reviewed the requirements for good faith efforts on file with the Office of Business Opportunity (OBO), available at <http://www.houstontx.gov/obo/docsandforms/goodfaithefforts.pdf>, and will comply with the set forth requirements.

Contractor shall maintain records of subcontracts and supply agreements with certified MWBEs, containing language required herein. In addition, Contractor shall submit all disputes that may arise with MWBE subcontractors/supplies to mediation provided by the City, if directed to do so by the Office of Business Opportunity.

Selected Firm(s) must also adhere to and comply with 2 C.F.R. Section 200.321 if subcontracts are to be let under this agreement. Selected Firm(s), if subcontracts are to be let, are required to take the following affirmative steps to ensure that, whenever possible,

subcontracts are awarded to small business firms, minority business firms, women's business enterprises, and labor surplus area firms pursuant to 2 C.F.R. Section 200.321. Affirmative steps must include: (1) Placing qualified small and minority businesses and women's business enterprises on solicitation lists; (2) Assuring that small and minority businesses, and women's business enterprises are solicited whenever they are potential sources; (3) Dividing total requirements, when economically feasible, into smaller tasks or quantities to permit maximum participation by small and minority businesses, and women's business enterprises; (4) Establishing delivery schedules, where the requirement permits, which encourage participation by small and minority businesses, and women's business enterprises; (5) Using the services and assistance, as appropriate, of such organizations as the Small Business Administration and the Minority Business Development Agency of the Department of Commerce; and (6) Requiring the prime contractor, if subcontracts are to be let, to take the affirmative steps listed in paragraphs (1) through (5) of this section. Selected Firm(s) should clearly document the communication and outreach to the certified business. Documentation may include mail logs, phone logs, or similar records documenting the use of the above identified sources of information about MWSBE firms, the efforts to contact them, and other efforts to meet the above requirements.

4.0 PROTESTS

Protests should be filed in accordance with the City of Houston Administrative Policy No. 5-12 <http://www.houstontx.gov/adminpolicies/5-12.pdf>

5.0 CANCELLATION

The City has sole discretion and reserves the right to cancel this RFP or to reject any or all Proposals received prior to contract award.

6.0 ANTI-BOYCOTT OF ISRAEL

City vendors are required to certify that they are not currently engaged in, and agree until the funds are exhausted under its contract with the City not to engage in, the boycott of Israel as defined by Section 808.001 of the Texas Government Code.

7.0 EXECUTIVE ORDER 1-56 ZERO TOLERANCE FOR HUMAN TRAFFICKING IN CITY SERVICE CONTRACTS AND PURCHASING

The City has a zero tolerance for human trafficking and, per Executive Order 1-56, City funds shall not be used to promote human trafficking. City vendors are expected to comply with this Executive Order and notify the City's Chief Procurement Officer of any information regarding possible violation by the vendor or its subcontractors providing services or goods to the City. The Executive Order is available on the City's website: <http://www.houstontx.gov/execorders/1-56.pdf>.

8.0 PRESERVATION OF CONTRACTING INFORMATION

The requirements of Subchapter J, Chapter 552, Texas Government Code, may apply to this solicitation and the contractor or vendor agrees that the contract can be terminated if the contractor or vendor knowingly or intentionally fails to comply with a requirement of that subchapter.

9.0 FEDERAL COMPLIANCE REGULATIONS

Proposer acknowledges that FEMA financial assistance may be used to fund this Agreement. Proposer shall comply with all applicable federal law, regulations, executive orders, FEMA policies, procedures, and directives, including but not limited to:

- 9.1 **Access to Records.** Where the work is funded in whole or in part with Federal funds, the Consultant shall allow access by the City, the Federal agency (e.g., FEMA), and Comptroller General of the United States, or any of their duly authorized representatives to any books, documents, papers, and records of the Consultant which are directly pertinent to that specific contact for the purpose of making audits, examinations, excerpts, and transcriptions. Consultant agrees to permit any of the foregoing parties to reproduce by any means whatsoever or to copy excerpts and transcriptions as reasonably needed. Consultant shall keep its books, documents, papers, and records available for this purpose for at least five years after the contract terminates or expires. This provision does not limit the applicable statute of limitations.
- 9.2 **Clean Air Act and Federal Water Pollution Control Act.** Consultant shall comply with all applicable standards, orders, or requirements issued under the Clean Air Act, as amended, 42 U.S.C. Section 7401, et seq. Consultant shall also comply with all applicable standards, orders or regulations issued pursuant to the Federal Water Pollution Control Act, as amended, 33 U.S.C. Section 1251, et seq.
- 9.3 **Contract Work Hours and Safety Standards.** Consultant shall comply with Sections 103 and 107 of the Contract Work Hours and Safety Standards Act (40 U.S.C. Section 3701, et seq.) as supplemented by Department of Labor regulations (29 CFR Parts 3 and 5).
- 9.4 **Debarment and Suspension.** By submitting a proposal in response to this solicitation, Proposer certifies that at the time of submission, Proposer is not on the Federal Government's list of suspended, ineligible or debarred entities. In the event placement on the list between of Proposal's submission and time of award, the Proposer shall notify the CPO. Failure to do so may result in default of the contract, if awarded.

PART VII – INSTRUCTIONS TO PROPOSERS

1.0 VIRTUAL PRE-PROPOSAL CONFERENCE

The Virtual Pre-Proposal Conference will be held at the date and time indicated on the cover page of the RFP document. Interested Proposer(s) are encouraged to participate. It will be assumed that potential Proposer(s) participating in this meeting have reviewed the RFP in detail and are prepared to ask any substantive questions not already addressed by the City.

2.0 ADDITIONAL INFORMATION AND SPECIFICATION CHANGES

Requests for additional information and questions should be addressed to the Finance Department, Strategic Procurement Division, Valerie Player-Kaufman, Senior Procurement Specialist by e-mail to valerie.player-kaufman@houstontx.gov **no later than 2:00 P.M., DST, Friday, October 2, 2020.** The City shall provide written responses to all questions received by Proposers prior to the RFP submittal deadline. Questions received from all Proposer(s) shall be answered by the City and made available to Proposer(s) who are listed as having obtained the RFP. Proposer(s) shall be notified in writing of any changes in the specifications contained within this RFP.

3.0 LETTER(S) OF CLARIFICATION

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

4.0 EXAMINATION OF DOCUMENTS AND REQUIREMENTS

- 4.1 Each Proposer shall carefully examine all RFP documents and familiarize themselves with all requirements prior to submitting a Proposal to ensure that the Proposal meets the intent of this RFP.
- 4.2 Before submitting a Proposal, each Proposer shall be responsible for making all investigations and examinations that are necessary to ascertain conditions and 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.

5.0 POST-PROPOSAL DISCUSSIONS WITH PROPOSER(S)

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).

PART VIII – REQUIRED FORMS TO BE SUBMITTED WITH PROPOSAL

- 1.0 Exhibit I
- Offer and Submittal
 - References- List of Previous Customers
 - List of Subcontractor(s)
- 2.0 Exhibit II – MWBE Forms
- Attachment “A” Schedule of M/WBE Participation,
 - Attachment “B” Office of Business Opportunity and Contract Compliance MWBE Utilization Report - Notice of Intent
 - Attachment “C” City of Houston Certified MWSBE Subcontracting Agreement Terms
 - Attachment “D” Office of Business Opportunity and Contract Compliance MWBE Utilization Report
- 3.0 Exhibit III - City of Houston Ownership Information Form
- 4.0 Exhibit IV - Anti-Collusion Statement
- 5.0 Exhibit V - Conflict of Interest Questionnaire
- 6.0 Exhibit VI - Certification Regarding Debarment, Suspension And Other Responsibility Matters - Primary Covered Transactions
- 7.0 Exhibit VII - Anti-Lobbying Certification

8.0 Exhibit VIII – Equal Opportunity Clause (For information only)

PART IX – REQUIRED FORMS TO BE SUBMITTED BY RECOMMENDED VENDOR ONLY

The required forms will be provided to the recommended vendor at the time the City issues a Notice of Intent to Award.

- 1.0** Certificate of Insurance & Endorsements
- 2.0** Drug Policy Compliance Agreement; Drug Policy Compliance Declaration;
Contractor's Certification of No Safety Impact Positions in Performance of a City Contract;
Contractors Certification of Non-Application of City of Houston Drug Detection and Deterrence
Procedures for Contractors
- 3.0** Pay or Play Program Acknowledgement Form (POP-1); Certification of Compliance with Pay
or Play Program (POP-2)
- 4.0** Texas Ethics Commission, Form 1295 - Certificate of Interested Parties

EXHIBIT I
OFFER AND SUBMITTAL, REFERENCES, LIST OF SUBCONTRACTOR(S)

PAGE INTENTIONALLY LEFT BLANK

**EXHIBIT I
OFFER AND SUBMITTAL**

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
LIST OF PREVIOUS CUSTOMERS**

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

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

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

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

**EXHIBIT II
ATTACHMENT "A"
SCHEDULE OF MWBE PARTICIPATION**

Date:	
Bid Number:	
Formal Bid Title:	

Name of Certified MWBE Subcontractor	Street Address, City, State, Zip Code, Tel # & Email	Certification Type for Goal MBE, WBE (Each firm may only be used for <u>one</u> goal type)	NAICS Code (6 Digits)	Description of Work (Scope of Work)	% of Participation

TOTAL	\$
MWBE PARTICIPATION AMOUNT	\$
TOTAL BID AMOUNT	\$

If you have exhausted your best efforts to comply with the City's MWBE Policy by seeking subcontracts and supply agreements with certified minority and women business enterprises, yet failed to meet the MWBE contract goal of this bid document, list below your good faith efforts to demonstrate compliance with the City's MWBE Program. For more information, please review the Good Faith Efforts Policy, which can be found on the OBO website at www.houstontx.gov/obo.

****All firms listed on this MWBE Participation Plan must be certified by the Office of Business Opportunity at the time of bid submission. The completed MWBE Participation Plan must be returned with the bid form.**

The undersigned will enter into a formal subcontracting or supply agreement with the MWBEs subcontractors and suppliers listed on this participation plan upon award of a contract with the City.

Bidder Company Name

Signature of Authorized Officer/Agent/Bidder & Title

Print or Typed Name of Authorized Officer/Agent/Bidder & Title

Print or Typed Name of Authorized Officer/Agent/Bidder & Title

Date

**EXHIBIT II
ATTACHMENT "B"
OFFICE OF BUSINESS OPPORTUNITY AND
CONTRACT COMPLIANCE MWBE UTILIZATION REPORT**

NOTICE OF INTENT

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

To: City of Houston
Administering Department

Date: _____

Project Name and Number _____

Bid Amount: _____ M/W/BE Goal: _____

_____, agrees to enter into a contractual agreement with
Prime Contractor

_____, who will provide the following goods/services in connection
MWBE 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/BE Subcontractor) Opportunity to function in the aforementioned capacity.

_____ Intend to
Prime Contractor M/W/BE 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/BE Subcontractor)

Printed Signature

Printed Signature

Title Date

Title Date

Attachment "C"

CITY OF HOUSTON CERTIFIED MWSBE SUBCONTRACTING AGREEMENT TERMS

Contractor shall ensure that all subcontracting agreements with M/WSBE Subcontractors and suppliers are clearly labeled "**THIS CONTRACT IS SUBJECT TO MEDIATION**" contain the following terms:

1. _____(M/WSBE Subcontractor/Supplier) shall not delegate or subcontract more than 50% of the work under this subcontracting agreement to any other Subcontractor or supplier without the express written consent of the City of Houston's Office of Business Opportunity.
2. _____(M/WSBE Subcontractor/Supplier) 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 subcontracting agreement. 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 subcontracting agreement, Contractor (prime contractor) and Subcontractor shall designate in writing to the Office of Business Opportunity 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 and regulated contracts as defined in City Code of Ordinances, Chapter 15, Article 5.

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 Office of Business Opportunity polices and/or governing ordinance, contact the Office of Business Opportunity Division at 832.393.0600, 611 Walker Street, 7th Floor, Houston, Texas 77002.

Revised June 2016

City of Houston Certified M/WSBE Subcontract Terms

**EXHIBIT II
ATTACHMENT "D"
OFFICE OF BUSINESS OPPORTUNITY AND
CONTRACT COMPLIANCE MWBE UTILIZATION REPORT**

Report Period: _____

PROJECT NAME & NUMBER: _____

AWARD DATE: _____

PRIME CONTRACTOR: _____

CONTRACT NO.: _____

ADDRESS: _____

CONTRACT AMOUNT: _____

LIAISON/PHONE NO.: _____

MWBE GOAL: _____

MWBE 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:
MWBE's to reflect up/down variances on Contract amount.

Office of Business Opportunity
ATTN: Marsha Murray 713-837-9000
611 Walker, 7th Floor
Houston, Texas 77002

EXHIBIT III

The City of Houston Ownership Information Form is used to gather information to comply with:

- a. The City of Houston Contractor Ownership Disclosure Ordinance ([Chapter 15 of the Code of Ordinances, Article VIII, City Contracts; Indebtedness to City](#));
- b. The City of Houston Fair Campaign Ordinance ([Chapter 18 of the Code of Ordinances](#)); and,
- c. The State of Texas Statement of Residency Requirements ([Tex. Govt. Code Chapter 2252](#)).

Please complete the form, in its entirety, and submit it with the Official Bid or Proposal Form. Except as noted below regarding the Statement of Residency, failure to provide this information may be just cause for rejection of your bid or proposal.

NOTICE OF AFFIRMATIVE ACCEPTANCE OF THE CITY OF HOUSTON FAIR CAMPAIGN ORDINANCE

By submitting a bid or proposal to the City of Houston for a Contract in excess of \$50,000 or for which a request is presented to City Council for approval, all respondents agree to comply with the Chapter 18 of the Code of Ordinances.

Further, pursuant to Section 18-36 of the Code of Ordinances, 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.

INSTRUCTIONS

1. Please **type** or **legibly print in dark ink** responses. Individuals and entities should disclose their full, legal names (not initials) and all required corporate letters ("Inc", "LLP", etc.).
 - a. If a firm is operating under an assumed name, the following format is recommended:
Corporate/Legal Name DBA Assumed Name.
2. Full addresses are required, including street types ("St", "Rd", etc.) and unit number.
3. Individuals or entities with 10% or more ownership of the corporation, partnership, or joint venture (including persons who own 100%) are required to be disclosed with their full name and full address. All officers and directors are also required to be disclosed with their full name and full address.

Orig. Dept.: FIN/SPD	File/I.D. No.: 64 – RCA #T29220
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EXHIBIT III
CITY OF HOUSTON OWNERSHIP INFORMATION FORM
REV. 12/23/2019

PROJECT AND BID/PROPOSAL PREPARER INFORMATION

Project or Matter Being Bid: _____

Bidder's complete firm/company business information

Name:
Business Address [No./Street]
City / State / Zip Code
Telephone Number

Bidder's email address

Email Address:

STATEMENT OF RESIDENCY

(THE STATEMENT OF RESIDENCY PORTION OF THIS DOCUMENT IS **NOT APPLICABLE** IF THE SOLICITATION INDICATES FEDERAL FUNDS WILL BE USED)

TEX. GOV'T CODE §2252.001, §(4) defines a "**Resident bidder**" as a bidder whose principal place of business* is in this state, and includes a contractor whose ultimate parent company or majority owner has its principal place of business in this state.

TEX. GOV'T CODE §2252.001§ (3) defines a "**Nonresident bidder**" as a bidder who is not a resident in this state.

* Principal Place of Business in Texas means that the business entity:

- has at least one permanent office located within the **State of Texas**, from which business activities other than submitting bids to governmental agencies are conducted and from which the bid is submitted; and
- has at least one employee who works in the Texas office.

Based on the definitions above, your business is a:

- TEXAS RESIDENT BIDDER
 NONRESIDENT BIDDER

If you are a Nonresident Bidder, does your home state have a statute giving preference to resident bidders? If so, you must attach a copy of the statute to this Document.

A copy of the State of _____ statute is attached.

NOTE: The State of residency of a bidder is not used in the decision-making criteria for the award of contracts for projects receiving federal funding, whether in whole or in part.

Orig. Dept.: FIN/SPD	File/I.D. No.: 64 – RCA #T29220
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**EXHIBIT III
CITY OF HOUSTON OWNERSHIP INFORMATION FORM**

CONTRACTING ENTITY ORGANIZATIONAL ENTITY TYPE

FOR PROFIT ENTITY:

NON-PROFIT ENTITY:

- SOLE PROPRIETORSHIP
- CORPORATION
- PARTNERSHIP
- LIMITED PARTNERSHIP
- JOINT VENTURE
- LIMITED LIABILITY COMPANY
- OTHER (*specify in space below*)

- NON-PROFIT CORPORATION
- UNINCORPORATED ASSOCIATION

LISTING OF ADDRESSES

List all current and prior addresses where the bidder does/has done business or owns property (real estate and/or business personal property) in the city of Houston (“Houston”) in the past 3 years from the date of submittal of this form. If within the past 3 years from the date of submitting this form, the bidder does not and has not done business and has not or does not own property (real estate and/or business personal property) in Houston, please state “None” on the first line below.

Address

Address

Address

ATTACH ADDITIONAL SHEETS AS NEEDED.

Orig. Dept.: FIN/SPD	File/I.D. No.: 64 – RCA #T29220
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**EXHIBIT III
CITY OF HOUSTON OWNERSHIP INFORMATION FORM**

LISTING OF OFFICERS

LIST ALL OFFICERS OF THE ENTITY, REGARDLESS OF THE AMOUNT OF OWNERSHIP (IF NONE STATE "NONE")

Name _____
Officer Address

LISTING OF DIRECTORS OR MEMBERS

LIST ALL DIRECTORS OF THE ENTITY, REGARDLESS OF THE AMOUNT OF OWNERSHIP (IF NONE STATE "NONE")

Name _____
Director or Member Address

Orig. Dept.: FIN/SPD	File/I.D. No.: 64 – RCA #T29220
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**EXHIBIT III
CITY OF HOUSTON OWNERSHIP INFORMATION FORM**

Name _____
Director or Member
Address

DISCLOSURE OF OWNERSHIP (OR NON-PROFIT OFFICERS)

Bidders are required to disclose all owners of 10% or more of the Contracting Entity. For non-profit entities, please provide the complete information for the President, Vice-President, Secretary, and Treasurer.

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:

DISCLOSURE OF OWNERSHIP (OR NON-PROFIT OFFICERS) continued.

Owner(s) of 10% or More (IF NONE, STATE "NONE."):

Name:
Business Address [No./Street]
City / State / Zip Code
Telephone Number
Email Address:
Residence Address [No./Street]
City / State / Zip Code

Owner(s) of 10% or More (IF NONE, STATE "NONE."):

Name:
Business Address [No./Street]
City / State / Zip Code
Telephone Number
Email Address:

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EXHIBIT III

CITY OF HOUSTON OWNERSHIP INFORMATION FORM

Residence Address *[No./Street]*

City / State / Zip Code

ATTACH ADDITIONAL SHEETS AS NEEDED.

Orig. Dept.: FIN/SPD	File/I.D. No.: 64 – RCA #T29220
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EXHIBIT III
CITY OF HOUSTON OWNERSHIP INFORMATION FORM
OPTIONAL: TAX APPEAL INFORMATION

If the firm/company or an owner/officer is actively protesting, challenging, or appealing the accuracy and/or amount of taxes levied with a tax appraisal district, please provide the following information:

Debtor (Firm or Owner Name):	
Tax Account Nos.:	
Case or File Nos.:	
Attorney/Agent Name:	
Attorney/Agent Phone No.:	
Tax Years:	

Status of Appeal *[DESCRIBE]*:

If an appeal of taxes has been filed on behalf of your company, please include a copy of the official form received by the appropriate agency.

REQUIRED: UNSWORN DECLARATION

I certify that I am duly authorized to submit this form 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. I affirm that all the information contained herein is true and correct to the best of my knowledge. I understand that failure to submit accurate information with my submission may result in my submission being considered non-responsive and non-responsible.

Preparer's Signature	Date
<hr/>	<hr/>
Printed name	
<hr/>	
Title	
<hr/>	

Orig. Dept.:	FIN/SPD	File/I.D. No.:	64 – RCA #T29220
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EXHIBIT III

CITY OF HOUSTON OWNERSHIP INFORMATION FORM

NOTE: This form constitutes a **governmental record**, as defined by Section 37.01 of the Texas Penal Code. Submission of a false government record and falsification of a governmental record are crimes, punishable as provided in Section 37.10 of the Texas Penal Code.

**EXHIBIT IV
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 V
CONFLICT OF INTEREST QUESTIONNAIRE

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

A complete copy of Chapter 176 of the Local Government Code may be found at <http://www.statutes.legis.state.tx.us/Docs/LG/htm/LG.176.htm>. For easy reference, below are some of the sections cited on this form.

Local Government Code § 176.001(1-a): "Business relationship" means a connection between two or more parties based on commercial activity of one of the parties. The term does not include a connection based on:

- (A) a transaction that is subject to rate or fee regulation by a federal, state, or local governmental entity or an agency of a federal, state, or local governmental entity;
- (B) a transaction conducted at a price and subject to terms available to the public; or
- (C) a purchase or lease of goods or services from a person that is chartered by a state or federal agency and that is subject to regular examination by, and reporting to, that agency.

Local Government Code § 176.003(a)(2)(A) and (B):

(a) A local government officer shall file a conflicts disclosure statement with respect to a vendor if:

(2) the vendor:

(A) has an employment or other business relationship with the local government officer or a family member of the officer that results in the officer or family member receiving taxable income, other than investment income, that exceeds \$2,500 during the 12-month period preceding the date that the officer becomes aware that

- (i) a contract between the local governmental entity and vendor has been executed; or
- (ii) the local governmental entity is considering entering into a contract with the vendor;

(B) has given to the local government officer or a family member of the officer one or more gifts that have an aggregate value of more than \$100 in the 12-month period preceding the date the officer becomes aware that:

- (i) a contract between the local governmental entity and vendor has been executed; or
- (ii) the local governmental entity is considering entering into a contract with the vendor.

Local Government Code § 176.006(a) and (a-1)

(a) A vendor shall file a completed conflict of interest questionnaire if the vendor has a business relationship with a local governmental entity and:

- (1) has an employment or other business relationship with a local government officer of that local governmental entity, or a family member of the officer, described by Section 176.003(a)(2)(A);
- (2) has given a local government officer of that local governmental entity, or a family member of the officer, one or more gifts with the aggregate value specified by Section 176.003(a)(2)(B), excluding any gift described by Section 176.003(a-1); or
- (3) has a family relationship with a local government officer of that local governmental entity.

(a-1) The completed conflict of interest questionnaire must be filed with the appropriate records administrator not later than the seventh business day after the later of:

(1) the date that the vendor:

- (A) begins discussions or negotiations to enter into a contract with the local governmental entity; or
- (B) submits to the local governmental entity an application, response to a request for proposals or bids, correspondence, or another writing related to a potential contract with the local governmental entity; or

(2) the date the vendor becomes aware:

- (A) of an employment or other business relationship with a local government officer, or a family member of the officer, described by Subsection (a);
- (B) that the vendor has given one or more gifts described by Subsection (a); or
- (C) of a family relationship with a local government officer.

**EXHIBIT V
CONFLICT OF INTEREST QUESTIONNAIRE**

<p>CONFLICT OF INTEREST QUESTIONNAIRE</p> <p>For vendor doing business with local governmental entity</p>	<p>FORM CIQ</p>
<p>This questionnaire reflects changes made to the law by H.B. 23, 84th Leg., Regular Session.</p> <p>This questionnaire is being filed in accordance with Chapter 176, Local Government Code, by a vendor who has a business relationship as defined by Section 176.001(1-a) with a local governmental entity and the vendor meets requirements under Section 176.006(a).</p> <p>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 vendor becomes aware of facts that require the statement to be filed. See Section 176.006(a-1), Local Government Code.</p> <p>A vendor commits an offense if the vendor knowingly violates Section 176.006, Local Government Code. An offense under this section is a misdemeanor.</p>	<p>OFFICE USE ONLY</p>
<p>1 Name of vendor who has a business relationship with local governmental entity.</p> 	<p>Date Received</p>
<p>2 <input type="checkbox"/> 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 on which you became aware that the originally filed questionnaire was incomplete or inaccurate.)</p>	
<p>3 Name of local government officer about whom the information is being disclosed.</p> <p align="center">_____</p> <p align="center">Name of Officer</p>	
<p>4 Describe each employment or other business relationship with the local government officer, or a family member of the officer, as described by Section 176.003(a)(2)(A). Also describe any family relationship with the local government officer. Complete subparts A and B for each employment or business relationship described. Attach additional pages to this Form CIQ as necessary.</p> <p>A. Is the local government officer or a family member of the officer receiving or likely to receive taxable income, other than investment income, from the vendor?</p> <p align="center"> <input type="checkbox"/> Yes <input type="checkbox"/> No </p> <p>B. Is the vendor receiving or likely to receive taxable income, other than investment income, from or at the direction of the local government officer or a family member of the officer AND the taxable income is not received from the local governmental entity?</p> <p align="center"> <input type="checkbox"/> Yes <input type="checkbox"/> No </p>	
<p>5 Describe each employment or business relationship that the vendor named in Section 1 maintains with a corporation or other business entity with respect to which the local government officer serves as an officer or director, or holds an ownership interest of one percent or more.</p> 	
<p>6 <input type="checkbox"/> Check this box if the vendor has given the local government officer or a family member of the officer one or more gifts as described in Section 176.003(a)(2)(B), excluding gifts described in Section 176.003(a-1).</p>	
<p>7</p> <p align="center">_____ Signature of vendor doing business with the governmental entity</p> <p align="right">_____ Date</p>	

EXHIBIT VI

CERTIFICATION REGARDING DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS - PRIMARY COVERED TRANSACTIONS

This Addendum and Agreement is a covered transaction for purposes of the debarment and suspension regulations implementing Executive Order 12549, *Debarment and Suspension* (1986) and Executive Order 12689, *Debarment and Suspension* (1989) at 2 C.F.R. Part 3000 (Non- procurement Debarment and Suspension). As such, Consultant is required to confirm that neither the Consultant, its principals (defined at 2 C.F.R. §180.995), or its affiliates (defined at 2 C.F.R. § 180.905) are excluded (defined at 2 C.F.R. §180.940) or disqualified (defined at 2 C.F.R. § 180.935).

INSTRUCTIONS FOR CERTIFICATION

- 1) By signing this Addendum, the Consultant, also sometimes referred to herein as a prospective primary participant, is providing the certification set out below.
- 2) The inability of a Consultant to provide the certification required below will not necessarily result in denial of participation in the covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the City's determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.
- 3) The certification in this clause is a material representation of fact upon which reliance was placed when the City determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the City, the City may terminate this transaction for cause or default.
- 4) The prospective primary participant shall provide immediate written notice to the City if at any time the prospective primary participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
- 5) The terms *covered transaction*, *debarred*, *suspended*, *ineligible*, *lower tier covered transaction*, *participant*, *person*, *primary covered transaction*, *principal*, *proposal and voluntarily excluded*, as used in this certification, have the meanings set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549.
- 6) The prospective primary participant agrees by signing the Addendum that it shall not knowingly enter into any lower tier covered transactions with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, declared ineligible or voluntarily excluded from participation in this covered transaction. If it is later determined that the prospective primary participant knowingly entered into such a transaction, in addition to other remedies available to the City, the City may terminate this transaction for cause or default.
- 7) The prospective primary participant further agrees by signing this Addendum that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transaction," as available through the United States Department of Homeland Security, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

- 8) A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, ineligible or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the List of Parties Excluded from Federal Procurement and Non-Procurement Programs.
- 9) Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

CERTIFICATION

- 1) The prospective primary participant certifies to the best of its knowledge and belief that it and its principals:
 - (a) Are not presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded by any Federal department or agency;
 - (b) Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements or receiving stolen property;
 - (c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and
 - (d) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.
- 2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

Contractor Company Name

Name and Title

Signature

Date

EXHIBIT VII

ANTI-Lobbying Certification

The undersigned Consultant certifies, to the best of his or her knowledge, that:

- 1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any City agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
- 2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.
- 3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontractors, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 31 USC § 1352 (as amended by the Lobbying Disclosure Act of 1995). Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

The undersigned Consultant, certifies or affirms the truthfulness and accuracy of each statement of its certification and disclosure, if any. In addition, Consultant understands and agrees that the provisions of 31 USC § 3801 *et seq.*, apply to this certification and disclosure, if any.

Consultant Name:	
President:	
Name of Authorized Official:	
Signature:	
Date:	

EXHIBIT VIII

EQUAL OPPORTUNITY CLAUSE

The applicant/Consultant hereby agrees that it will incorporate or cause to be incorporated into any contract for construction work, or modification thereof, as defined in the regulations of the Secretary of Labor at 41 CFR Chapter 60, which is paid for in whole or in part with funds obtained from the Federal Government or borrowed on the credit of the Federal Government pursuant to a grant, contract, loan, insurance, or guarantee, or undertaken pursuant to any Federal program involving such grant, contract, loan, insurance, or guarantee, the following equal opportunity clause:

During the performance of this Agreement, the Consultant agrees as follows:

(1) The Consultant will not discriminate against any employee or applicant for employment because of race, color, religion, sex, sexual orientation, gender identity, or national origin. The Consultant will take affirmative action to ensure that applicants are employed, and that employees are treated during employment without regard to their race, color, religion, sex, sexual orientation, gender identity, or national origin. Such action shall include, but not be limited to the following:

Employment, upgrading, demotion, or transfer; recruitment or recruitment advertising; layoff or termination; rates of pay or other forms of compensation; and selection for training, including apprenticeship. The Consultant agrees to post in conspicuous places, available to employees and applicants for employment, notices to be provided setting forth the provisions of this nondiscrimination clause.

(2) The Consultant will, in all solicitations or advertisements for employees placed by or on behalf of the Consultant, state that all qualified applicants will receive consideration for employment without regard to race, color, religion, sex, sexual orientation, gender identity, or national origin.

(3) The Consultant will not discharge or in any other manner discriminate against any employee or applicant for employment because such employee or applicant has inquired about, discussed, or disclosed the compensation of the employee or applicant or another employee or applicant. This provision shall not apply to instances in which an employee who has access to the compensation information of other employees or applicants as a part of such employee's essential job functions discloses the compensation of such other employees or applicants to individuals who do not otherwise have access to such information, unless such disclosure is in response to a formal complaint or charge, in furtherance of an investigation, proceeding, hearing, or action, including an investigation conducted by the employer, or is consistent with the Consultant's legal duty to furnish information.

(4) The Consultant will send to each labor union or representative of workers with which he has a collective bargaining agreement or other agreement or understanding, a notice to be provided advising the said labor union or workers' representatives of the Consultant's commitments under this section, and shall post copies of the notice in conspicuous places available to employees and applicants for employment.

(5) The Consultant will comply with all provisions of Executive Order 11246 of September 24, 1965, and of the rules, regulations, and relevant orders of the Secretary of Labor.

(6) The Consultant will furnish all information and reports required by Executive Order 11246 of September 24, 1965, and by rules, regulations, and orders of the Secretary of Labor, or pursuant thereto, and will permit access to his books, records, and accounts by the administering agency and the Secretary of Labor for purposes of investigation to ascertain compliance with such rules, regulations, and orders.

(7) In the event of the Consultant's noncompliance with the nondiscrimination clauses of this Agreement or with any of the said rules, regulations, or orders, this Agreement may be canceled, terminated, or suspended in whole or in part and the Consultant may be declared ineligible for further Government Agreements or federally assisted construction Agreements in accordance with procedures authorized in Executive Order 11246 of September 24, 1965, and such other sanctions may be imposed and remedies invoked as provided in Executive Order 11246 of September 24, 1965, or by rule, regulation, or order of the Secretary of Labor, or as otherwise provided by law.

(8) The Consultant will include the portion of the sentence immediately preceding paragraph (1) and the provisions of paragraphs (1) through (8) in every subcontract or purchase order unless exempted by rules, regulations, or orders of the Secretary of Labor issued pursuant to section 204 of Executive Order 11246 of September 24, 1965, so that such provisions will be binding upon each subcontract or vendor. The Consultant will take such action with respect to any subcontract or purchase order as the administering agency may direct as a means of enforcing such provisions, including sanctions for noncompliance:

Provided, however, that in the event a Consultant becomes involved in, or is threatened with, litigation with a subcontractor or vendor as a result of such direction by the administering agency, the Consultant may request the United States to enter into such litigation to protect the interests of the United States.

The applicant/Consultant further agrees that it will be bound by the above equal opportunity clause with respect to its own employment practices when it participates in federally assisted construction work: Provided, that if the applicant so participating is a State or local government, the above equal opportunity clause is not applicable to any agency, instrumentality or subdivision of such government which does not participate in work on or under the Agreement.

The applicant/Consultant agrees that it will assist and cooperate actively with the administering agency and the Secretary of Labor in obtaining the compliance of Consultant and subcontractors with the equal opportunity clause and the rules, regulations, and relevant orders of the Secretary of Labor, that it will furnish the administering agency and the Secretary of Labor such information as they may require for the supervision of such compliance, and that it will otherwise assist the administering agency in the discharge of the agency's primary responsibility for securing compliance.

The applicant/ Consultant further agrees that it will refrain from entering into any contract or contract modification subject to Executive Order 11246 of September 24, 1965, with a Consultant debarred from, or who has not demonstrated eligibility for, Government contracts and federally assisted construction contracts pursuant to the Executive Order and will carry out such sanctions and penalties for violation of the equal opportunity clause as may be imposed upon Consultant and subcontractors by the administering agency or the Secretary of Labor pursuant to Part II, Subpart D of the Executive Order. In addition, the applicant agrees that if it fails or refuses to comply with these undertakings, the administering agency may take any or all of the following actions: Cancel, terminate, or suspend in whole or in part this grant (contract, loan, insurance, guarantee); refrain from extending any further assistance to the applicant under the program with respect to which the failure or refund occurred until satisfactory assurance of future compliance has been received from such applicant; and refer the case to the Department of Justice for appropriate legal proceedings.