



**CITY OF HOUSTON, TEXAS**  
**NOTICE OF REQUEST FOR PROPOSAL (RFP)**  
**SOLICITATION NO.: T24062**

**HCDD RETAIL DIVISION**  
**"PARTNERING TO**  
**BETTER SERVE**  
**HOUSTON"**

**SOLICITATION DUE DATE/TIME:**

**October 15, 2015 at 2:00 P.M., CST**

**SUBMITTAL LOCATION:**

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

**PROJECT DESCRIPTION:**

**Minor Critical Emergency Home Repair Program (MCEHRP)**

**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 General Contractor'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.**

**Solicitation Contact Person:**  
**Derrick McClendon**

Name

**Derrick.McClendon@houstontx.gov**

E-Mail Address

  
 Housing & Community Development  
 Director/or his/her designee

Date

**9/22/15**

**SPECIAL INSTRUCTIONS TO GENERAL CONTRACTOR(S)  
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**1.0 INTRODUCTION:**

- 1.0.1 The City of Houston, Housing and Community Development Department (HCDD) is seeking "Proposals" from qualified companies, organizations and or agencies that are capable and desirous of serving as General Contractor(s) to undertake housing rehabilitation under the HCDD's Minor Critical Emergency Home Repair Program (MCEHRP) as defined herein to alleviate life, health, or safety hazards at Eligible Residences located within the City of Houston jurisdictional boundaries. Company(s) and or Organization (s) selected as the General Contractor through this "Request for Proposal" solicitation process will have shown documented success in rehabilitating Single Family Homes for the elderly, disabled and low-income homeowners.

**2.0 SUMMITTAL PROCEDURES:**

- 2.1 Five (5) hardcopies of the Proposal, including one (1) printed original signed in BLUE ink (clearly marked "**Original**"), an additional four (4) copies (clearly marked "**Copy**"), and one (1) additional electronic thumb drives 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

- 2.2 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.
- 2.3 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.
- 2.4 The City of Houston shall bear no responsibility for submitting responses on behalf of any General Contractor. General Contractor(s) may submit their Proposal to the City Secretary's Office any time prior to the stated deadline. Late submittals will not be considered and will be returned unopened.
- 2.5 The General Contractor 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, the courier delivery service, or some other act or circumstance.

**3.0 PROPOSAL FORMAT:**

- 3.1 The Proposal should be electronically generated and 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. Expensive paper and bindings are discouraged since no materials will be returned. Legibility, clarity, and completeness are important and essential.
- 3.2 The Proposal must be signed by an individual(s) legally authorized to bind the General Contractor(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.

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**4.0 ADDITIONAL INFORMATION AND SPECIFICATION CHANGES:**

- 4.1 Requests for additional information and questions should be addressed to the Housing and Community Development Department, Procurement Division Buyer, Derrick McClendon, e-mail (preferred method to): [Derrick.McClendon@houstontx.gov](mailto:Derrick.McClendon@houstontx.gov), or telephone at 832.394-6204 no later than Monday, September 21, 2015 at 2:00 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 General Contractor(s) shall be answered and sent to all General Contractor(s) who are listed as having obtained the RFP. General Contractor(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 General Contractor(s).

**6.0 EXAMINATION OF DOCUMENTS AND REQUIREMENTS:**

- 6.1 Each General Contractor 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 General Contractor 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 General Contractor 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 General Contractor 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 his/her designee in a written statement. The General Contractor'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 GENERAL CONTRACTOR(S):**

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

**SPECIAL INSTRUCTIONS TO GENERAL CONTRACTOR(S)  
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**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 ten (10) days prior to the solicitation due date and a post award protest shall be filed within ten (10) days after City Council approval of the contract award.
- 9.2 A protest must be filed in accordance with the timing requirements set forth herein and must 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 grounds for the protest and law, ordinance, or policy alleged to have been violated. The statement should be accompanied by relevant supporting documentation and the relief requested or outcome, which the protester is seeking. All information confirming the timeliness of the protest; and the signature of the protestor.

Protests shall be submitted to:  
City Purchasing Agent  
City of Houston  
901 Bagby  
Houston, TX 77002

- 9.2.5 The City recognizes three (3) types of protests:
- a. Protests regarding solicitation (Pre-Bid Protest)  
Any protest regarding the solicitation published by the City shall be filed no later than five (5) days before the opening of bids (if a competitive bid) or due date for submittals or proposals (if an RFP/RFQ), as appropriate. Any protest filed after the due date raising issues regarding the solicitation will not be considered.
- b. Protests regarding award of contract (Post-Award Protest)  
Upon receipt of a timely and properly filed protest regarding the award of a contract, the City will not issue a notice to proceed or submit an order for goods/or services until the protest has been resolved, provided such delay will not be determined to the interests of the City.
- c. Protests regarding the evaluation of bids, qualifications or proposals (Pre-Award Protest)  
Any protest regarding the evaluation of bids, qualifications, or proposals by the City must be filed no later than ten (10) days after the opening of bids (if a bid); or due date (if RFP/RFQ); or notification that the interested party's bid or proposal has been rejected. Any protest filed after such date will not be considered as a valid protest, but may be considered by the City if deemed advantageous to the City.

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- 9.2.6 This type of protest challenges the determination of the City's responsiveness of any offer or the responsibility of any General Contractor, or errors in calculation of the evaluation, or challenges that the City's evaluation process violated a federal, state or local law or its own regulations.
- 9.2.7 When the Director or his/her designee deems any protest received to be valid, pursuant to the provisions of Section 9.0 "PROTEST" cited above, the Director or his/her designee will notify the protestor in writing within ten (10) business days of making such determination. The Director or his/her designee may, where appropriate, request that the protester furnish additional information regarding the protest. The Director or his/her designee may, at its sole discretion, meet with the protestor to review the issues raised in the protest.
- 9.2.8 Except as otherwise provided, consideration of a protest will be in accordance with the provisions presented below.
- 9.2.9 RFP Solicitation Protests
- 9.2.10 Upon receipt of a valid protest regarding this RFP solicitation, the City may at its sole discretion, postpone the deadline for submission of proposals until resolution of the protest. If the protest regarding the RFP solicitation includes a claim of unduly restrictive or exclusionary specifications, in considering the protest, the City will, review both the specific needs of the City for the feature or item challenged and any effect on competition of including the specification regarding that feature or item. If the City determines that such feature or item was included in the specification in order to meet a legitimate need and that it is not unduly restrictive of competition or designed to exclude a particular competitor, then the City will deny the protest.
- 9.2.11 Decision by the City
- 9.2.12 As indicated above, in some instances, the City may suspend the proposal action upon receipt of a valid protest. However, the City reserves the right, notwithstanding the presence of a protest, to proceed with the appropriate action in the proposal process in the following instances:
- 9.2.13 A. when failing to fulfill the need for the items or services would cause irreparable harm;
- 9.2.14 B. when it is determined that the protest is vexatious or frivolous; or
- 9.2.15 C. when delivery or performance will be unduly delayed or other undue harm would occur by delaying the selection of qualified contractors.
- 9.2.16 After review of a protest submitted under these provisions, the City will issue a written decision on the basis of the information provided by the protestor, the result of any meetings with the protestor, and the City's independent investigation of the matter. If the protest is upheld, the City will take appropriate action to correct the procurement to protect the rights of the protestor, including, but not limited to, reissuance of the solicitation, revised evaluation of the General Contractors or the City conclusion of the evaluation of the offers, or termination of the proposal agreement. If the protest is denied, the City will terminate the suspension of the any procurement activity that was imposed during the consideration of the protest and will proceed with the proposal agreement

10.0 **DEBRIEFINGS:**

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- 10.1 The purpose of a debriefing is to allow the City to explain to a General Contractor(s) why his/her proposal was not selected. Debriefings will only be provided if they are requested by an unsuccessful General Contractor. Debriefing request shall be submitted in writing and filed with both, the Director or his/her designee and the Solicitation contact person as identified on the first page of the RFP. Debriefings must be filed no later than ten (10) days from the day that the City announces a final decision regarding the selection of any General Contractor(s).
- 10.2 A debriefing shall include the following:
  - 10.3 The name, address, e-mail, and telephone number of the General Contractor;
  - 10.4 The signature of the General Contractor or its representative who has the delegated authority to legally bind its company;
  - 10.5 Identification of the RFP description and the RFP number; and
  - 10.6 General Contractor must submit a list of questions in advance of any debriefing.
  - 10.7 General Contractor questions can only be about his/her proposal, the RFP, the General Contractor's response and/or evaluated score. The City will confine its answers to only these questions in the debriefing. The debriefing will not discuss how the General Contractor compares to other responding General Contractors.
- 10.8 After the City receives the formal debriefing request and questions from the General Contractor, the Director(s) or his/her designee will meet with the City Evaluation Committee to discuss and prepare responses to the questions; the General Contractor debriefing will be scheduled at the convenience of the City.
- 10.9 The General Contractor will be notified by the City if any of the questions do not fit within the scope of the debriefing and/or will not be answered.
- 10.10 The debriefing meeting will last no longer than one hour (or some other time limit as determined by the City).
- 10.11 The General Contractor will need to provide in advance a list of the attendees, the company they represent, titles and functional roles. If the General Contractor is bringing an attorney, then a Legal representative from the City will attend. If General Contractor brings an unannounced attorney, the debriefing will be re-scheduled to allow the City ample time to have Legal representative available.
- 10.12 The City will only address the questions submitted in writing beforehand.

**UNIFORM INSTRUCTIONS TO GENERAL CONTRACTOR(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 and responses 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 General Contractor by parties other than the City, at any time during the Proposal evaluation process.
- 4.0 In the event a General Contractor 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 General Contractor 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 General Contractor shall not collude in any manner, or engage in any practices, with any other General Contractor, 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 General Contractor. The copying or paraphrasing of the work product of another General Contractor is not permitted.
- 8.0 The RFP and the related responses of the selected General Contractor will by reference (within either a contract or purchase order) become part of any formal Agreement between the selected General Contractor and the City. The City and the selected General Contractor 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 General Contractor, the City reserves the right to select an alternative General Contractor. The City reserves the right to negotiate with alternative General Contractor the exact terms and conditions of the contract.
- 9.0 General Contractor, 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 Any agreement(s) arising from the Proposal in response to this solicitation shall be for a term of one (1) year. The City of Houston reserves the option of extending the Agreement(s) on an annual basis for one (1) additional one-year term, or portions thereof.
- 11.0 Clerical support and reproduction of documentation costs shall be the responsibility of the General Contractor. If required, such support and costs shall be defined in the negotiated Agreement.
- 13.0 General 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 Director or his/her designee.
- 14.0 The General 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

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Available Funds; Approvals; Term and Termination; Independent Contractor; General 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.

- 15.0 The City may terminate its performance under a contract in the event of a default by the General Contractor and a failure to cure such default after receiving notice of default from the City. Default may result from the General Contractor's failure to perform under the terms of the contract or from the General 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 General Contractor must promptly report to the Director or his/her designee any conditions, transactions, situation, or circumstances encountered by the General 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 solicitation 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 General Contractor must furnish a "Certificate of Registration" which authorizes them to conduct business in the State of Texas prior to the awarding of a 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 General Contractor shall be the 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 Director or his/her designee.
- 23.0 General Contractor assumes total responsibility for the quality and quantity of all work performed, whether it is undertaken by the General Contractor or is subcontracted to another organization.
- 24.0 If subcontractor involvement is required in the use of license, patent, or proprietary process, the General 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**

GENERAL CONTRACTOR 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**

GENERAL CONTRACTOR 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 GENERAL CONTRACTOR AND/OR ITS AGENTS', EMPLOYEES', OFFICERS', DIRECTORS', CONTRACTORS', OR SUBCONTRACTORS' COLLECTIVELY IN NUMBERED PARAGRAPHS 1.1-1.3, "GENERAL CONTRACTOR" ACTUAL OR ALLEGED NEGLIGENCE OR INTENTIONAL ACTS OR OMISSIONS;
- 1.2.2 THE CITY'S AND GENERAL CONTRACTOR ACTUAL OR ALLEGED CONCURRENT NEGLIGENCE, WHETHER GENERAL CONTRACTOR IS IMMUNE FROM LIABILITY OR NOT; AND
- 1.2.3 THE CITY'S AND GENERAL CONTRACTOR ACTUAL OR ALLEGED STRICT PRODUCTS LIABILITY OR STRICT STATUTORY LIABILITY, WHETHER GENERAL CONTRACTOR IS IMMUNE FROM LIABILITY OR NOT.
- 1.2.4 GENERAL CONTRACTOR SHALL DEFEND, INDEMNIFY, AND HOLD THE CITY HARMLESS DURING THE TERM OF THIS AGREEMENT AND FOR FOUR YEARS AFTER THE AGREEMENT TERMINATES. GENERAL CONTRACTOR INDEMNIFICATION IS LIMITED TO \$500,000 PER OCCURRENCE. GENERAL CONTRACTOR SHALL NOT INDEMNIFY THE CITY FOR THE CITY'S SOLE NEGLIGENCE.
- 1.2.5 GENERAL CONTRACTOR AGREES TO AND SHALL DEFEND, INDEMNIFY, AND HOLD HARMLESS THE CITY, ITS AGENTS, EMPLOYEES, OFFICERS, AND LEGAL REPRESENTATIVES (COLLECTIVELY THE CITY) FROM ALL CLAIMS OR CAUSES OF ACTION BROUGHT AGAINST THE CITY ALLEGING THAT THE CITY'S USE OF ANY EQUIPMENT, SOFTWARE, PROCESS, OR DOCUMENTS GENERAL CONTRACTOR FURNISHES DURING THE TERM OF THIS AGREEMENT INFRINGES ON A PATENT, COPYRIGHT, OR TRADEMARK, OR MISAPPROPRIATES A TRADE SECRET. GENERAL CONTRACTOR SHALL PAY ALL COSTS (INCLUDING, WITHOUT LIMITATION, ATTORNEYS' FEES, COURT COSTS, AND ALL OTHER DEFENSE COSTS, AND INTEREST) AND DAMAGES AWARDED. GENERAL 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, GENERAL CONTRACTOR SHALL, AT ITS

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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 GENERAL CONTRACTOR SHALL REFUND THE PURCHASE PRICE.

### 1.3 INDEMNIFICATION-SUBCONTRACTOR'S INDEMNITY

1.3.1 GENERAL 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 the General 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 the General Contractor is prejudiced, suffers loss, or incurs expense because of the delay.

2.3 Defense of Claims.

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

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**3.0 INSURANCE REQUIREMENTS:**

3.1 The General Contractor shall obtain and maintain in effect during the term of the 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:

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 (USE ONLY IF APPLICABLE)

3.2.5.1 \$1,000,000 per occurrence \$1,000,000 aggregate

3.3 Automobile liability insurance for autos furnished or used in the course of performance of this contract including Owned, Non-owned and Hired Auto coverage (Any Auto coverage may be substituted for Owned, Non-owned and Hired Auto coverage.) If no autos are owned by the General Contractor, coverage may be limited to Non-owned and Hired Autos. If Owned Auto coverage cannot be purchased by the General Contractor, Scheduled Auto coverage may be substituted for Owned Auto coverage. **EACH AUTO USED IN PERFORMANCE OF THE 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 Sr. Procurement Specialist (aka Purchasing Agent) identified on page 1 of this RFP if any of your insurance policies are to be cancelled, materially changed, or not renewed. Within this 30-day period, you shall provide other suitable policies in lieu of those about to be canceled, materially changed, or not renewed so as to maintain in effect the required coverage. If you do not comply with this requirement, the Purchasing Agent, at his or her sole discretion, may: (1) immediately suspend you from any further performance under the potential contract and begin procedures to terminate for default or (2) purchase the required insurance with City funds and deduct the cost of the premiums from amounts due to you under the potential contract.
- 3.5 If any part of the work is sublet, similar insurance shall be provided by or in behalf of the Subcontractor to cover their operations, and the General 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 General 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 General Contractor shall maintain in effect certain insurance coverage, which is described as follows:
- 3.6.1 Form of Policies: The Director or his/her designee may approve the form of the insurance policies, but nothing the Director or designee does or fails to do relieves the General Contractor from its duties to provide the required coverage under the Agreement. The Director's or designee's actions or in-actions do not waive the City's right under the 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: The General Contractor shall be responsible for and bear any claims or losses to the extent of any deductible amounts and waives any claim it may have for the same against the City, its officers, agents, or employees.
- 3.6.5 Cancellation: Each policy must state that it may not be canceled, materially modified, or non-renewed unless the contractor gives the Director or his/her designee 30 days' advance written notice. The General Contractor shall give written notice to the Director or his/her designee within five days of the date on which total claims by any party against the General Contractor reduce the aggregate amount of coverage below the amounts required by the Agreement. In the alternative, the policy may contain an endorsement establishing a policy aggregate for the particular project

# GENERAL TERMS AND CONDITIONS

## SOLICITATION NO.: T24062

or location subject to the Agreement.

- 3.6.6 Subrogation: Each policy must contain an endorsement to the effect that the issuer waives any claim or right of subrogation to recover against the City, its officers, agents, or employees, except for Professional Liability insurance.
- 3.6.7 Endorsement of Primary Insurance: Each policy, except Worker's Compensation and Professional Liability (if any), must contain an endorsement that the policy is primary to any other insurance available to the Additional Insured with respect to claims arising under this Agreement.
- 3.6.8 Liability for Premium: The General Contractor shall pay all insurance premiums, and the City shall not be obligated to pay any premiums.
- 3.6.9 Subcontractors: The General 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. The General Contractor shall provide copies of insurance certificates to the Sr. Procurement Specialist (aka Purchasing Agent).
- 3.6.10 Proof of Insurance: On the effective date and at any time during the Term of the Agreement, General Contractor shall furnish the Sr. Procurement Specialist (aka Purchasing Agent) with Certificates of Insurance, along with an Affidavit from the General Contractor confirming that the Certificates accurately reflect the insurance coverage maintained. If requested in writing by the Sr. Procurement Specialist (aka Purchasing Agent), the General Contractor shall furnish the Sr. Procurement Specialist (aka Purchasing Agent) with certified copies of the General Contractor's actual insurance policies.
- 3.6.10.1 The General Contractor shall continuously and without interruption, maintain in force the required insurance coverage's specified in this Section. If the General Contractor does not comply with this requirement, the Director or his/her designee, at his or her sole discretion, may immediately suspend the General Contractor from any further performance under the Agreement and begin procedures to terminate for default, or
- 3.6.10.2 Purchase the required insurance with City funds and deducts the cost of the premiums from amounts due to the General Contractor under the Agreement.
- 3.6.10.3 The City shall never waive or be stopped to assert its right to terminate the Agreement because of its acts or omissions regarding its review of insurance documents.
- 3.6.11 Other Insurance: If requested by the Director or his/her designee, the General Contractor shall furnish adequate evidence of Social Security and Unemployment Compensation Insurance, to the extent applicable to the General Contractor's operations under the Agreement.

#### **4.0 CONTRACTOR PERFORMANCE LANGUAGE:**

- 4.1 The General Contractor shall make citizen satisfaction a priority in providing services under the contract. The General Contractor's employees must be trained to be customer-service oriented and to positively and politely interact with citizens when performing contract services. The General Contractor's employees must 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 or his/her designee determination, the General Contractor is not interacting in a positive and polite manner with citizens, the General Contractor shall take all remedial steps to conform to the standards set by the contract and is subject to termination for breach of contract.

**GENERAL TERMS AND CONDITIONS**  
**SOLICITATION NO.: T24062**

**5.0 INSPECTIONS AND AUDITS:**

- 5.1 The General Contractor agrees to keep and maintain records associated with the agreement (including but not limited to all records of expenditures made, administrative costs, and services provided) for a minimum of three (3) years from the cessation of services provided under the agreement, or as required by Federal or State law or regulation, whichever period is longer. The General Contractor shall allow the City reasonable access to the records in the General Contractor's possession, custody, or control that the City, deems necessary to assist the City, in auditing the services, costs, and payments provided hereunder.
- 5.1.2 City representatives may have the right to perform, or have performed, (1) audits of the General Contractor's books and records, and (2) inspections of all places where work is undertaken in connection with the Agreement. The General Contractor shall keep its books and records available for this purpose for at least three (3) years after the Agreement terminates. This provision does not affect the applicable statute of limitations.

**6.0 INTERPRETING SPECIFICATIONS:**

- 6.1 The specifications and product references contained herein are intended to be descriptive rather than restrictive. The City is soliciting Proposals to provide a complete product and service package, which meets its overall requirements. Specific equipment and system references may be included in this RFP for guidance, but they are not intended to preclude the General Contractor(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 Sr. Procurement Specialist (aka Purchasing Agent) prior to the Proposal due date. Results of informal meetings or discussions between a potential General Contractor(s) and a City of Houston official or employee may not be used as a basis for deviations from the requirements contained in this RFP.

**7.0 GENERAL CONTRACTOR DEBT:**

- 7.1 **IF THE GENERAL CONTRACTOR, AT ANY TIME DURING THE TERM OF THE 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 THE GENERAL CONTRACTOR HAS INCURRED A DEBT, HE OR SHE SHALL IMMEDIATELY NOTIFY THE GENERAL CONTRACTOR IN WRITING. IF THE GENERAL 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 THE GENERAL CONTRACTOR UNDER THE AGREEMENT, AND GENERAL CONTRACTOR WAIVES ANY RECOURSE THEREFOR.**

**SPECIAL TERMS AND CONDITIONS**  
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**1.0 LOCAL MINORITY/WOMEN BUSINESS ENTERPRISE PARTICIPATION:**

- 1.1 The General 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. The General Contractor shall make good faith efforts to award subcontracts or Supply Agreements in at least **34%** of the value of the Agreement to M/WBEs. The General 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 The General Contractor shall require written subcontracts with all M/WBE subcontractors and shall submit all disputes with M/WBEs to binding arbitration to be conducted in Houston, Texas, if directed to do so by the OBO Director. M/WBE subcontracts must contain the Terms set out in **Exhibit II**.

**2.0 CITY 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, will be incorporated into the Agreement for all purposes. The General Contractor shall review 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 the Agreement. This provision requires certain General Contractor 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 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 the 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 FAIR CAMPAIGN ORDINANCE:**

- 4.1 The City of Houston Fair Campaign Ordinance makes it unlawful for a General Contractor(s) 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.

**SPECIAL TERMS AND CONDITIONS**  
**SOLICITATION NO.: T24062**

**5.0 CITY 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 the General 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 General Contractor 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 CITY OF HOUSTON FIRST**

6.1 Pursuant to City Ord. 2011-766, the following Hire Houston First compliance points ("HHF Points") will be added to the total evaluation points awarded for Proposals submitted:

6.1.1 5% of the total evaluation points available for a "city business," and

6.1.2 3% of the total evaluation points available for a "local business."

**7.0 PROCUREMENT TIMELINE/SCHEDULE:**

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

<b><u>EVENT</u></b>	<b><u>DATE</u></b>
Date RFP Issued	September 23 <sup>rd</sup> , 2015
Questions from Proposers Due to City	September 29 <sup>th</sup> , 2015 (2:00 p.m.)
Proposals Due from General Contractor(s)	October 15, 2015 (2:00 p.m.)
Notification of Intent to Award ( <i>Estimated</i> )	November 6, 2015
Council Agenda Date ( <i>Estimated</i> )	November 25, 2015
Contract Start Date ( <i>Estimated</i> )	December 2, 2015

**SPECIFICATIONS / SCOPE OF WORK**  
**SOLICITATION NO.: T24062**

**MINOR CRITICAL EMERGENCY HOME REPAIR PROGRAM  
(MCEHRP)**

**1.0 DEFINITION OF ACRONYMS:**

- 1.1 MCEHRP – Minor Critical Emergency Home Repair Program**
- 1.2 HCDD – Housing & Community Development Department**
- 1.3 HUD – U.S. Department of Housing and Urban Development**
- 1.4 CFR – Code of Federal Regulations**
- 1.5 HCD-MPS – Housing and Community Development Single Family Minimum Property Standards (based on the City of Houston’s Building / Inspection Codes )**
- 1.6 IRC – International Residential Code**
- 1.7 RCA – Request for Council Action**
- 1.8 RFP - Request for Proposal**
- 1.9 UFAS – Uniform Federal Accessibility Standards**
- 1.10 UCC – Uniform Commercial Code**

**2.0 BACKGROUND:**

- 2.1** The City of Houston (“City”) invites general contractor(s), companies, organization and or agencies that are qualified and otherwise capable of serving as a housing rehabilitation GENERAL CONTRACTOR to submit their proposal to perform services in connection with rehabilitating single-family owner-occupied homes.
- 2.2** This effort will be carried out through a program organized and administered by the HCDD Director or his/her designee of the City of Houston, Housing and Community Development Department (“Housing Director”). Singlefamily houses being repaired under this initiative are those owned and occupied by low- income ederly or disabled households having minor critical deferred maintenance damaged housing units.
- 2.3** The City of Houston (“City”) Housing and Community Development Department (HCDD) will oversee the administration and funding of this project. The project work consists of the building rehabilitation of certain singlefamily, owner-occupied, homes deemed repairable singlefamily dwellings.
- 2.4** The City expects to award contracts from Tax Increment Reinvestment Zones (TIRZ) funds (or other available funding sources) allocated to the City, contingent upon the approval of the City of Houston City Council.
- 2.5** This project herein referred to as "The Work" consists of rehabilitation of owner occupied, single-family dwellings. Some of the covered houses will require work that will be covered under the Uniform Federal Accessibility Standards (UFAS)-

# SPECIFICATIONS / SCOPE OF WORK

## SOLICITATION NO.: T24062

compatible components. Once rehabilitated, all of the covered houses shall meet all Federal, State, and local jurisdictional requirements and applicable environmental laws and regulations.

- 2.6 The "Work Geographic Area" includes only, the incorporated areas in the City of Houston.
- 2.7 General Contractor(s) interested in performing rehabilitation, may be responsible for performing containment and/or abatement of Lead and Asbestos Containing Materials as necessary.
- 3.0 OBJECTIVE:**
- 3.1 This Request for Proposals ("RFP") is to allow the City to select qualified companies, organizations and or agencies capable and desirous of serving as the General Contractor to undertake housing rehabilitation under the HCDD's Minor Critical Emergency Home Repair Program (MCEHRP) to alleviate life, health, or safety hazards at Eligible Residences located within the incorporated areas of the City of Houston. The selected pre-qualified General Contractor(s) will be invited to obtain bids on individual projects pertaining to housing rehabilitation.
- 3.2 The scope of services needed in connection with the work is described in SECTION 5.0.
- 3.3 The City intends to offer approximately Two Million Dollars for the "**rehabilitation and repair**" of approximately 120 owner-occupied, single-family houses.
- 3.4 It is anticipated that the City of Houston, HCDD, will award a contract in January 1<sup>st</sup> 2016.  
It is expected that all of **the Work** will be completed under this program no later than December 31<sup>st</sup> 2016.
- 3.6 General Contractor(s) submitting a Proposal should understand and take into consideration that the program could increase to serve additional damaged houses in the affected areas; could be expanded to include other housing rehabilitation programs administered by the City; and that the maximum housing rehabilitation contract price could increase, depending upon future amendments to this RFP as approved by appropriate local, authorities.

### **4.0 SCOPE OF SERVICES:**

- 4.1 Under this RFP, "**Housing Rehabilitation**" is defined as a diverse scope of repair work needed to alleviate life, health, or safety hazards in damaged, owner-occupied single-family homes and as applicable, with Uniform Federal Accessibility Standards.
- 4.2 Under this RFP, the General Contractor may submit a proposal to bid on contracts to perform housing rehabilitation work. The City will evaluate the submitted credentials and make a determination as to whether the General Contractor satisfies the criteria to be selected for housing rehabilitation.
- 4.4 A proposed scope of work will be prepared for each eligible residence property covered under this project by the General Contractor in the service area within the service area within the City; and will be approved or disapproved by the Director or his/her designee of the City of Houston Housing and Community Development Department ("City Housing Director") or his/her authorized designee.

**SPECIFICATIONS / SCOPE OF WORK**  
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- 4.5 The proposed scope of work will be based on a comprehensive visual on-site inspection of the property by a qualified specialist(s); and a determination will be made as to whether the property should be scheduled for housing rehabilitation repair. The scope of work shall be designed so as to render the property owner with a single-family home where minor but critical life, health, or safety hazards have been alleviated and where applicable complies with local codes and ordinances.

**5.0 HOUSING REHABILITATION CONTRACTS:**

5.1 The scope of work for each Eligible Residency Contract will vary depending upon the actual repair needs of each individual single-family home covered under the program. An extensive scope of repair work may include the need for diverse services and may include licensed trade work (e.g., electrical, plumbing, HVAC); roof repair or replacement; general and specialized carpentry work that may include window and door repairs or replacement; exterior siding repair or replacement; sub-floor and floor covering repair or replacement; lead based paint and mold hazard remediation; tree removal and or pruning, the General Contract shall comply with the City of Houston Tree Protection Ordinance when applicable, termite and other pests infestation and any other repairs required to alleviate life, health, or safety hazards;

5.2 The City will not include under housing rehabilitation any property where it has been determined that a given single-family home cannot reasonably be rehabilitated within the maximum \$10,000.00 per unit grant allowance. This maximum amount includes a ten percent (10%) cost contingency allowance that will be set aside for each job. As such, the maximum cost estimate for any single house rehabilitated under this program will not exceed a prime facie bid amount of \$ 9,000.00. The City may however, on case by case basis, authorize the Selected General Contractor to contract for more than the maximum per unit grant allowance to make necessary repairs to remedy severe structural damage to an Eligible Residence provided the total repair cost does not exceed \$25,000.00 per unit.

5.3 Selected General Contractor(s) will be eligible to obtain bids on individual housing rehabilitation contracts as they become available. The Contracts will be awarded to the lowest most responsive and responsible bidder, as determined by the HCDD.

5.4 The total number of outstanding contracts any General Contractor can be awarded will be determined by the HCDD and will be based upon the capacity of the General Contractor to simultaneously complete several projects at one time.

5.5 As the successful bidder, upon contract award, the bidder's company shall serve as the General Contractor, the company is solely responsible for hiring and managing qualified workers and sub-contractors needed to ensure that all work included in the housing rehabilitation scope of work is carried out in a timely manner and is completed in compliance with applicable local building code standards and as applicable Uniform Federal Accessibility Standards.

5.6 The successful General Contractor will be required to enter into an Agreement with the City of Houston. No work will commence; nor shall an order to proceed be issued by the City or General Contractor, until after the parties have signed the Agreement; and until after (on a subsequent date), a "Pre-construction Conference" is held at each eligible property site. The preconstruction conference must be attended by the homeowner, the General Contractor and representatives of any subcontractors invited to submit a bid.

**SPECIFICATIONS / SCOPE OF WORK**  
**SOLICITATION NO.: T24062**

5.7 During the pre-construction conference, parties will negotiate logistical arrangements needed to execute the housing rehabilitation scope of work. The parties will address all issues related to the timeframe by which the General Contractor must complete the rehabilitation work; the General Contractors' use of the house utilities and facilities; moving and/or the offsite storage of homeowner furniture and personal belongings (needed to provide the Contractors with ready access to identified work areas); and any other matters related to steps necessary to ensure that the rehabilitation work is completed in a timely manner.

5.8 The outcome of the pre-construction conference negotiations must be placed in writing signed by all parties and will become an addendum to the Agreement. The Agreement will include a copy of the housing rehabilitation scope of work, and other related documents that shall state a specific date for commencement of the repair work and a specific date for completion of all repairs. An executed copy of the Agreement and any addenda shall be furnished to all parties.

5.9 The General Contractor shall ensure that all permits that are required to perform the authorized scope of work are obtained, placed in a visible location as required by the City within the residency during rehabilitation of the property. The General Contractor must comply with all the regulations governing the issuance and inspections of any Work permitted. Furthermore, the General Contractor and his/her subcontractors must possess trade or other professional licenses as may be required by the State of Texas and the City in order to perform such functions that are subject to licensing.

5.10 The entire structure of any house selected for housing rehabilitation may not be required to be brought into full compliance with local health and safety codes and standards. Rehabilitation shall be limited to "stick built" structures that have been deemed feasible for rehabilitation by the City and General Contractor.

# **PROPOSAL OUTLINE AND MINIMUM CONTENT REQUIREMENTS**

## **SOLICITATION NO.: T24062**

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

### **1.0 TITLE PAGE:**

- 1.1 The title page must include the title and number of the RFP, name and address of the General Contractor(s), and the date of the Proposal.

### **2.0 OFFER & SUBMITTAL FORM:**

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

### **3.0 LETTER OF TRANSMITTAL:**

- 3.1 A letter of transmittal shall include the following:
  - 3.1.1 The names, titles, addresses, and telephone numbers of the individuals who are authorized to make representation on behalf of the General Contractor.
  - 3.1.2 A statement that the per-unit proposed price and/or lump sum (if prices are proposed) is the total fixed price for the services enumerated. The General Contractor will provide additional per unit average (100% - 150%) leveraging.
  - 3.1.3 A statement that the person signing the letter of transmittal is authorized to legally bind the General Contractor; that the Proposal and the total fixed price contained therein shall remain firm for a period of one hundred-eighty (180) days, and that the Proposal will comply with the requirements and arrangements stated in the RFP.

### **4.0 EXPERTISE/EXPERIENCE/QUALIFICATION STATEMENT:**

- 4.1 Provide a brief statement (No more than three pages) describing the General Contractor's background information, history, resources and/or track record.
- 4.2 Provide an organizational chart of proposed team or staff for this project.
- 4.3 Provide resumes of key personnel who will be responsible for the delivery of the services/project.
- 4.4 Provide copies of key personnel relevant certifications and/or licenses.
- 4.5 Provide five (5) references including addresses from clients who received housing rehabilitation or related construction services from the General Contractor performed by the General Contractor. The General Contractor(s) are encouraged to include color photographs (before work done and after work is done) if available or written statements from customer(s) briefing describing the customers overall opinion of the General Contractor and the quality of repair work performed by the General Contractor.
- 4.6 Provide five (5) letters of references from subcontractors who have performed work for the General Contractor on housing rehabilitation or any other construction related projects.
- 4.7 Provide a sample of the General Contractor's written warranty that is compliant with the applicable Texas State law, and guarantee's the General Contractor's work for the durations after the completion required by all regulations, which will be provided to the homeowner under this program. If warranty is to be provided by a third party insurer, provide information regarding the insurer's status as an eligible insurer in the State of Texas.

# **PROPOSAL OUTLINE AND MINIMUM CONTENT REQUIREMENTS**

## **SOLICITATION NO.: T24062**

- 4.8 Provide a written copy of the General Contractor's Quality Control Program that describes his/her approach to quality control. The General Contractor shall provide his/her procedures for inspection of all items of work and his/her procedures for addressing punch list items.
- 4.9 Provide a written statement acknowledging the City's M/WBE Program and contractor's willingness to make a good-faith effort in utilizing certified M/WBE sub-contractor for 34% of the work per each project.
- 4.10 Provide an Affidavit from the General Contractor listing any and all claims, litigation or arbitration actions related to contracts entered into by the General Contractor and any contracted party. (The City reserves the right to independently investigate the General Contractor reporting in this area).
- 5.0 PROPOSED STRATEGY AND OPERATIONAL PLAN:**
- 5.1 Provide a detailed description and methodology of the proposed plan for this RFP, which should include, but not be limited to the following:
- 5.1.1 A brief statement of the General Contractor's understanding of the work to be done; and
- 5.1.2 A detailed description that clearly defines the method of approach that will be utilized in the successful achievement of the RFP's intended Scope of Work.
- 6.0 FINANCIAL STATEMENTS:**
- 6.1 Submit your company's audited annual financial statements, in accordance with and as defined in the Financial Accounting Standards Board (FASB) regulation(s) for the past two years. In addition, include your Dunn & Bradstreet Report and Federal Tax Forms Filed to the Internal Revenue Service (IRS) for the past two years.
- 6.2 Submit a letter from the Insurance provider stating the General Contractor's ability in obtaining insurance to meet the City's minimum insurance requirements (as stated in the GENERAL TERMS, SECTION 3.0) and Insurance providers A.M. Best rating.
- 7.0 CONTENTS:**
- 7.1 The contents should be identified by section, subject description, page number, and should include, at a minimum, the following sections:
- 7.1.1 Title Page
- 7.1.2 Signed and Notarized Offer and Submittal Form (Exhibit I)
- 7.1.3 Letter of Transmittal
- 7.1.4 Expertise/Experience/Reliability Statement
- 7.1.5 Organizational Chart, Resumes and Certifications/Licenses of Proposed Key Personnel
- 7.1.6 Proposed Strategy/Operational Plan
- 7.1.7 Proposed Equipment (If Applicable)
- 7.1.8 Financial Statement and Dunn & Bradstreet Reports or Federal Tax Forms Filed for Past Two Years
- 7.1.9 Signed M/WBE Forms: Attachment "A" Schedule of M/WBE Participation, and Attachment "B" Letter of Intent (Exhibit II)

<p style="text-align: center;"><b>PROPOSAL OUTLINE AND MINIMUM CONTENT REQUIREMENTS</b> <b>SOLICITATION NO.: T24062</b></p>
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- 7.1.10 List of References and List of Proposed Subcontractors (Exhibit I)
- 7.1.11 Pricing Form/Fee Schedule (Exhibit III)
- 7.1.12 Fair Campaign Ordinance Form "A" (Exhibit V)
- 7.1.13 Affidavit of Ownership or Control (Exhibit VI)
- 7.1.14 Drug Compliance Agreement Attachment "A" and Contractor's Certification of No Safety Impact Positions Attachment "C" (Exhibit VII)
- 7.1.15 Anti-Collusion Statement (Exhibit VIII)
- 7.1.16 Conflict of Interest Questionnaire (Exhibit IX )
- 7.1.17 City Contractors' Pay or Play Acknowledgement Form (Exhibit X)
- 7.1.18 Requested Information Outlined in the Scope of Work and Other Additional Relevant/Supporting Information or Alternate Proposals

**EVALUATION AND SELECTION PROCESS**  
**SOLICITATION NO.: T24062**

**1.0 EVALUATION SUMMARY:**

1.1 An evaluation committee will develop a short list of General Contractor(s) based upon the initial review of each Proposal received. The short listed of General Contractor(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 General Contractor(s) will be completed. However, the evaluation committee reserves the right to issue letter(s) of clarity when deemed necessary to any or all General Contractor(s). The oral presentations, demonstrations and/or interview may be recorded and/or videotaped.

**2.0 SELECTION PROCESS:**

2.1 The award of a contract(s) will be made to the respondent(s) offering the response which best meets the needs of the City. The City may make investigations, as it deems necessary, to determine the capabilities of the General Contractor(s) to create, modify and implement the required application modules. The General Contractor(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 General Contractor(s) fails to satisfy the City or the General Contractor(s) is deemed unqualified to provide the services contemplated. Each Proposal will be evaluated on the basis of the following evaluation criteria that are listed in order of importance below:

- 2.1.1 Proposed Strategy and Operational Plan
- 2.1.2 Expertise/Experience/Qualifications
- 2.1.3 Conformance to RFP Requirements
- 2.1.4 Financial Strength of General Contractor
- 2.1.5 M/WBE Participation
- 2.1.6 Additional Value added Per Unit through Volunteer Labor

**EXHIBIT I – OFFER AND SUBMITTAL, REFERENCES,  
PROPOSED SUBCONTRACTORS  
SOLICITATION NO.: T24062**

**EXHIBIT I – OFFER AND SUBMITTAL**  
**SOLICITATION NO.: T24062**

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

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

Respectfully Submitted:

\_\_\_\_\_  
(Print or Type Name of Contractor – Full Company Name)

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

Federal Identification Number: \_\_\_\_\_

By: \_\_\_\_\_  
(Signature of Authorized Officer or Agent)

Printed Name: \_\_\_\_\_

Title: \_\_\_\_\_

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

Address of Contractor: \_\_\_\_\_  
Street Address or P.O. Box

\_\_\_\_\_  
City – State – Zip Code

Telephone No. of Contractor: (\_\_\_\_) \_\_\_\_\_

Signature, Name and title of Affiant: \_\_\_\_\_

\_\_\_\_\_  
(Notary Public in and for)

\_\_\_\_\_  
County, Texas

My Commission Expires: \_\_\_\_\_ day of \_\_\_\_\_ 20\_\_\_\_

**EXHIBIT I – REFERENCES**  
**SOLICITATION NO.: T24062**

**LIST OF PREVIOUS CUSTOMERS**

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

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

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

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



**EXHIBIT III – MINORITY/WOMEN BUSINESS ENTERPRISES  
CONTRACT REQUIREMENTS  
SOLICITATION NO.: T24062**



**EXHIBIT III – ATTACHMENT “A” (CONTINUED): SCHEDULE OF MWBE PARTICIPATION  
SOLICITATION NO.: T24062**

IF YOU HAVE USED YOUR BEST EFFORTS TO CARRY OUT THE CITY'S MWBE 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 (832) 393-0600).

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 MWBE 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 III – ATTACHMENT “B”: M/WBE LETTER OF INTENT  
SOLICITATION NO.: T24062**

THIS AGREEMENT IS SUBJECT TO BINDING ARBITRATION ACCORDING TO THE TEXAS GENERAL ARBITRATION ACT.

TO: **City of Houston  
City Purchasing Agent**

**MINORITY/WOMEN BUSINESS ENTERPRISE (M/WBE) AND SUPPLIER**

**LETTER OF INTENT**

Contract Bid Number: \_\_\_\_\_

Bid Title: \_\_\_\_\_

Bid Amount: \_\_\_\_\_

M/WBE Participation Amount: \$ \_\_\_\_\_ M/WBE GOAL \_\_\_\_\_ %

1. \_\_\_\_\_ agrees to perform work/supply goods and/or  
**(Name of Minority/Women Business Enterprise)**  
Services in connection with the above-named contract and \_\_\_\_\_ as:  
**Name of General Contractor**

- (a) \_\_\_\_\_ An Individual
- (b) \_\_\_\_\_ A Partnership
- (c) \_\_\_\_\_ A Corporation
- (d) \_\_\_\_\_ A Joint Venture

2. \_\_\_\_\_ status is confirmed by M/WBE Directory made  
**(Name of Minority/Women Business Enterprise)**  
available through the City of Houston Office of Business Opportunity. Certificate No.: \_\_\_\_\_.

3. \_\_\_\_\_ and \_\_\_\_\_  
**(Name of General Contractor)** **(Minority/Women Business Enterprise)**  
intend to work on the above-named contract in accordance with the M/WBE Participation Section of the  
City of Houston Contract Bid Provision.

The Terms & Conditions of Attachment “C” attached hereto are incorporated into this Letter of Intent for all purposes.

\_\_\_\_\_  
(Signed -- General Contractor)

\_\_\_\_\_  
(Signed -- Minority/Women Business Enterprise)

\_\_\_\_\_  
(Title)

\_\_\_\_\_  
(Title)

\_\_\_\_\_  
(Date)

\_\_\_\_\_  
(Date)

**EXHIBIT III – ATTACHMENT “C”: CERTIFIED M/WBE SUBCONTRACT TERMS  
SOLICITATION NO.: T24062**

Contractor shall insure that all subcontracts with M/WBE subcontractors and suppliers are clearly labeled “**THIS CONTRACT IS SUBJECT TO BINDING ARBITRATION ACCORDING TO THE TEXAS GENERAL ARBITRATION ACT**” and contain the following terms:

1. \_\_\_\_\_ (M/WBE 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 (“the Director”).
2. \_\_\_\_\_ (M/WBE 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 nor the applicable statute of limitations.
3. Within five (5) business days of execution of this subcontract, the General Contractor and Subcontractor shall designate in writing to the Director or his/her designee 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.
4. As conclude by the parties to this subcontract, and as evidenced by their signatures hereto, any controversy between the parties involving the construction or application of any of the terms, covenants or conditions of this subcontract shall, on the written request of one party served upon the other or upon notice by Director served on both parties, be submitted to binding arbitration, under the Texas General Arbitration Act (Tex. Civ. Prac. & Rem. Code Ann., Ch. 171 – “the Act”). Arbitration shall be conducted according to the following procedures:
  - a. Upon the decision of the Director or upon written notice to the Director form either party that a dispute has arisen, the Director shall notify all parties that they must resolve the dispute within thirty (30) days or the matter may be referred to arbitration.
  - b. If the dispute is not resolved within the time specified, any party or the Director may submit the matter to arbitration conducted by the American Arbitration Association under the rules of the American Arbitration Association, except as otherwise required by the City’s contract with American Arbitration Association on file in the Office of the City’s Office of Business Opportunity.
  - c. Each party shall pay all fees required by the American Arbitration Association and sign a form releasing the American Arbitration Association and its arbitrators from liability for decisions reached in the arbitration.
  - d. In the event the American Arbitration Association no longer administers Office of Business Opportunity arbitration for the City, the Director shall prescribe alternate procedures as necessary to provide arbitration by neutrals in accordance with the requirements of Chapter 15 of the Houston City Code of Ordinances.

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

The M/WBE policy of the City of Houston will discussed during the pre-bid. 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 at (832) 393-0600, 611 Walker, 7<sup>th</sup> Floor, Houston, Texas 77002.

**EXHIBIT III – ATTACHMENT “D”: OFFICE OF BUSINESS OPPORTUNITY AND  
 CONTRACT COMPLIANCE M/WBE UTILIZATION REPORT  
 SOLICITATION NO.: T24062**

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

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

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

GENERAL 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 832-393-0600  
 611 Walker, 7<sup>th</sup> Floor  
 Houston, Texas 77002



**EXHIBIT V – INSURANCE REQUIREMENTS AND SAMPLE  
INSURANCE CERTIFICATE  
SOLICITATION NO.: T24062**

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):

=====CANCELLATION=====

J. D.

NON-RENEWED

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

J. D.

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

J. D.

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

=====

AUTHORIZED REPRESENTATIVE OF INSURER John Doe

=====

- O R -

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

# EXHIBIT V – INSURANCE REQUIREMENTS AND SAMPLE INSURANCE CERTIFICATE

SOLICITATION NO.: T24062

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

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

PRODUCER

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

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

INSURED

SAMPLE FORM

**COMPANIES AFFORDING COVERAGE**

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

**COVERAGE'S**

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

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

**DESCRIPTION OF OPERATION/LOCATIONS/VEHICLES/SPECIAL ITEMS**

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

**CERTIFICATE HOLDER**

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

DEPARTMENT – STRATEGIC PURCHASING DIVISION

P.O. BOX 1562  
HOUSTON, TEXAS 77251

AUTHORIZED REPRESENTATIVE

**EXHIBIT VI – FAIR CAMPAIGN ORDINANCE**  
**SOLICITATION NO.: T24062**

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 VI: CONTRACTOR OWNERSHIP  
DISCLOSURE ORDINANCE  
SOLICITATION NO.: T24062**

**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.: T24062**

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.: T24062**

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.: T24062**

**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 VIII : DRUG DETECTION AND DETERRENCE  
PROCEDURES FOR CONTRACTORS  
SOLICITATION NO.: T24062**

- (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 VIII – ATTACHMENT “A”  
DRUG POLICY COMPLIANCE AGREEMENT  
SOLICITATION NO.: T24062**

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

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

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

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

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

\_\_\_\_\_  
**Date**

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

\_\_\_\_\_  
**Signature**

\_\_\_\_\_  
**Title**

**EXHIBIT VIII – ATTACHMENT “B”  
 DRUG POLICY COMPLIANCE DECLARATION  
 SOLICITATION NO.: T24062**

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

\_\_\_\_\_ (Contractor)  
 (Name of Company)

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

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

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

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

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

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

From \_\_\_\_\_ to \_\_\_\_\_ the following testing has occurred.  
*Initials* (start date) (end date)

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

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

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

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

\_\_\_\_\_  
 Date

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

\_\_\_\_\_  
 Signature

\_\_\_\_\_  
 Title

**EXHIBIT VIII – ATTACHMENT “C” AND “D”  
 CONTRACTOR’S CERTIFICATION OF NO SAFETY IMPACT POSITIONS  
 SOLICITATION NO.: T24062**

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 IX – ANTI-COLLUSION STATEMENT**  
**SOLICITATION NO.: T24062**

**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 X – CONFLICT OF INTEREST QUESTIONNAIRE**

**SOLICITATION NO.: T24062**

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

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

The Conflict of Interest Questionnaire is available for downloading from the Texas Ethics Commission’s website at <http://www.ethics.state.tx.us/forms/CIQ.pdf>. The completed Conflict of Interest Questionnaires will be posted on the City Secretary’s website. There will also be a list of the City’s Local Government Officers on the City of Houston’s website.

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

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

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

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

# EXHIBIT X – CONFLICT OF INTEREST QUESTIONNAIRE

## SOLICITATION NO.: T24062

### CONFLICT OF INTEREST QUESTIONNAIRE

For vendor or other person doing business with local governmental entity

**FORM CIQ**

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

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

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

**OFFICE USE ONLY**

Date Received

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

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

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

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

\_\_\_\_\_  
Name of Officer

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

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

Yes       No

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

Yes       No

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

Yes       No

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

**4**

\_\_\_\_\_  
Signature of person doing business with the governmental entity

\_\_\_\_\_  
Date

Adopted 06/29/2007

# EXHIBIT XI – PAY OR PLAY PROGRAM REQUIREMENTS

## SOLICITATION NO.: T24062

### 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 General 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 General Contractor, as well as maintenance of records.
5. **Exemptions/Waivers:** The City of Houston will award a Contract to a General Contractor that neither Pays nor Plays only if the Contractor has received an approved waiver.
6. **Administration:** General 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 XI – PAY OR PLAY PROGRAM REQUIREMENTS

## SOLICITATION NO.: T24062

### 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 XI – FORM “1A”**  
**PAY OR PLAY PROGRAM ACKNOWLEDGEMENT FORM**  
**SOLICITATION NO.: T24062**



**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

**SPECIAL INSTRUCTIONS TO GENERAL CONTRACTOR(S)**  
**SOLICITATION NO. T24062**

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

Contractor Address: \_\_\_\_\_

Project No.: [GFS/CIP/AIP/File No.] \_\_\_\_\_

Project Name: [Legal Project Name] \_\_\_\_\_

In accordance with the City of Houston Pay or Play Program authorized by Ordinance 2007-534, Contractor agrees to abide by the terms of this Program. This certification is required of all Contractors for Contracts subject to the program. You must agree EITHER to PAY or to PLAY for each covered employee, including those of subcontractors subject to the program.

Yes  No Contractor agrees to Pay \$1.00 per hour for work performed by covered employees, including covered subcontractors' employees, under the Contract with the City.

Yes  No Contractor agrees to offer health benefits to each covered employee, including covered subcontractors' employees that meet or exceed the following criteria:  
 (1) the employer will contribute no less than \$150 per employee per month toward the total premium cost; and  
 (2) the employee contribution, if any amount, will be no greater than 50% of the total premium cost.

Yes  No Contractor agrees to pay of behalf of some covered employees and play on behalf of other covered employees, in accordance with program requirements, including subcontractors' employees, if applicable.

Yes  No If contract labor is utilized the Contractor agrees to report hours worked by the contract laborer and Pay \$1.00 per hour for work performed.

Yes  No Contractor will comply with all provisions of the Pay or Play Program and will furnish all information and reports requested to determine compliance with program provisions.

Yes  No For General Contractors Only: General Contractor will file compliance reports with the City, which will include activity for subcontractors subject to the program, in the form and to the extent requested by the administering department or the OBO and Contract Compliance Office. Compliance reports shall contain information including, but not limited to, documentation showing employee health coverage and employee work records.

<b>*Estimated Number of:</b>	<b>General Contractor</b>	<b>Sub-Contractor</b>
Total Employees on City Job		
Covered Employees		
Non-Covered Employees		
Exempt Employees		

\*Required

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

\_\_\_\_\_  
 GENERAL CONTRACTOR (Signature)

\_\_\_\_\_  
 DATE



**SPECIAL INSTRUCTIONS TO GENERAL CONTRACTOR(S)**  
**SOLICITATION NO. T24062**

CITY OF HOUSTON  
AFFIRMATIVE ACTION & CONTRACT COMPLIANCE  
M/WBE UTILIZATION REPORT

Report Period \_\_\_\_\_

PROJECT NAME & NUMBER: \_\_\_\_\_ AWARD DATE: \_\_\_\_\_

GENERAL CONTRACTOR: \_\_\_\_\_ CONTRACT No.: \_\_\_\_\_

ADDRESS: \_\_\_\_\_ CONTRACT AMOUNT: \_\_\_\_\_

LIAISON/PHONE#: \_\_\_\_\_ M/WBE GOAL: \_\_\_\_\_

M/WBE SUB/VENDOR NAME  
DATE OF AA 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.  
Affirmative Action Division  
Provide support documentation on all revenues paid to end of the report period to:  
ATTN:  
M/WBEs to reflect up/down variances on contract amount  
611 Walker, 20th Floor, Houston, Texas 77002

**SPECIAL INSTRUCTIONS TO GENERAL CONTRACTOR(S)**  
**SOLICITATION NO. T24062**

**EXHIBIT "D"**

**DRUG POLICY COMPLIANCE AGREEMENT**

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

have authority to bind the General 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 General 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 \_\_\_\_\_

**SPECIAL INSTRUCTIONS TO GENERAL CONTRACTOR(S)**  
**SOLICITATION NO. T24062**

**EXHIBIT "E"**

**CONTRACTOR'S CERTIFICATION OF NO SAFETY IMPACT POSITIONS IN PERFORMANCE OF A CITY CONTRACT**

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

as an owner or officer of \_\_\_\_\_ (Contractor) have authority to bind the General Contractor with respect to its bid, and I hereby certify that General 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. The General 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**

I, \_\_\_\_\_  
(NAME) (PRINT/TYPE)

As an owner or officer of \_\_\_\_\_ (General Contractor) have authority to bind the General Contractor with respect to its bid, and I hereby certify that The General Contractor has fewer than fifteen (15) employees during any 20-week period during a calendar year and also certify that the General 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 General 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 GENERAL CONTRACTOR NAME

\_\_\_\_\_  
SIGNATURE

\_\_\_\_\_  
TITLE

**SPECIAL INSTRUCTIONS TO GENERAL CONTRACTOR(S)**  
**SOLICITATION NO. T24062**

**EXHIBIT "F"**  
**DRUG POLICY COMPLIANCE DECLARATION**

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

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

This reporting period covers the preceding 6 months from \_\_\_\_\_ to \_\_\_\_\_, 20\_\_\_\_\_.

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

\_\_\_\_\_ Written drug testing procedures have been implemented in conformity with the Mayor's  
Initials Drug Detection and Deterrence Procedures for Contractors, Executive Order No. 1-31. Employees have been notified of such procedures.

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

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

\_\_\_\_\_ From \_\_\_\_\_ to \_\_\_\_\_ the following test has occurred  
Initials (Start date) (End date)

Random  
Reasonable Suspicion  
Post  
Accident  
Total  
Number Employees Tested  
Number Employees Positive  
Percent Employees Positive

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

\_\_\_\_\_ I affirm that falsification or failure to submit this declaration timely in accordance with  
Initials established guidelines will be considered a breach of contract.

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

\_\_\_\_\_ (Date) \_\_\_\_\_  
(Typed or Printed Name)  
(Signature) \_\_\_\_\_ (Title) \_\_\_\_\_

<b>SPECIAL INSTRUCTIONS TO GENERAL CONTRACTOR(S) SOLICITATION NO. T24062</b>
--

**EXHIBIT "G"**  
**PAY OR PLAY PROGRAM**

Pay or Play  
Program Requirements

Pay or Play Program Elements

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.

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 general 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 general contractor, 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: General 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.

**SPECIAL INSTRUCTIONS TO GENERAL CONTRACTOR(S)**  
**SOLICITATION NO. T24062**

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 – General 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.

Compliance and Enforcement

The Affirmative Action 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>

FORM POP 2 (DOCUMENT 00630)  
CERTIFICATION OF AGREEMENT TO  
COMPLY WITH PAY OR PLAY PROGRAM

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

Contractor Address: \_\_\_\_\_

Project No.: [GFS/CIP/AIP/File No.] \_\_\_\_\_

Project Name: [Legal Project Name] \_\_\_\_\_

**SPECIAL INSTRUCTIONS TO GENERAL CONTRACTOR(S)**  
**SOLICITATION NO. T24062**

In accordance with the City of Houston Pay or Play Program authorized by Ordinance 2007-534, Contractor agrees to abide by the terms of this Program. This certification is required of all contractors for contracts subject to the program. You must agree EITHER to PAY or to PLAY for each covered employee, including those of subcontractors subject to the program.

Yes  No Contractor agrees to Pay \$1.00 per hour for work performed by covered employees, including compliance for covered subcontractors' employees and contract labor, under the contract with the City.

Yes  No Contractor agrees to offer health benefits to each covered employee, including compliance by the covered subcontractors that meet or exceed the following criteria:

- (1) the employer will contribute no less than \$150 per employee per month toward the total premium cost; and
- (2) the employee contribution, if any amount, will be no greater than 50% of the total premium cost.

Yes  No Contractor agrees to pay on behalf of some covered employees and contract labor and play on behalf of other covered employees, in accordance with program requirements, including subcontractors' employees, if applicable.

Yes  No If contract labor is utilized the Contractor agrees to report hours worked by the contract laborer and Pay \$1.00 per hour for work performed.

Yes  No Contractor will comply with all provisions of the Pay or Play Program and will furnish all information and reports requested to determine compliance with program provisions.

Yes  No For General Contractors Only: General Contractor will file compliance reports with the City, which will include activity for subcontractors subject to the program, in the form and to the extent requested by the administering department or the Affirmative Action and Contract Compliance Office. Compliance reports shall contain information including, but not limited to, documentation showing employee health coverage and employee work records.

Following Information is Mandatory	General Contractor	Sub-Contractor
Total No. Of Employees on City Job		
No. Of Employees-"Playing"		
No. Of Employees -"Paying"		
No. Of Employees "Exempt"		

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

\_\_\_\_\_  
GENERAL CONTRACTOR (Signature)

\_\_\_\_\_  
DATE

\_\_\_\_\_  
NAME AND TITLE (Print or type)