



**Procurement  
Operations**

**Request for Qualifications**

**For**

**Federal, State & Local Government Relations Consulting Services**

**Project No. 12-47**

**Submittal Deadline: September 6, 2012, no later than 3:00pm (local time)**

# REQUEST FOR QUALIFICATIONS

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# REQUEST FOR QUALIFICATIONS

Date: August 13, 2012

Project Name: Federal, State & Local Government Relations Consulting Services

HCC Project No. 12-47

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**ISSUED BY:**

Houston Community College  
Procurement Operations Department  
3100 Main Street (11<sup>th</sup> Floor)  
Houston, Texas 77002

**SUBMIT INQUIRES TO:**

Name: Jeffery Austin  
Title: Procurement Supervisor  
Telephone: (713) 718-2777  
Fax: (713) 718-2113  
Email: [Jeffery.Austin@HCCS.edu](mailto:Jeffery.Austin@HCCS.edu)

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**RESPONDENTS ARE CAUTIONED TO READ THE INFORMATION CONTAINED IN THIS RFQ CAREFULLY AND TO SUBMIT A COMPLETE RESPONSE TO ALL REQUIREMENTS AND QUESTIONS AS DIRECTED.**

**I. General**

Houston Community College (“HCC”) is seeking Statement of Qualifications from firms interested in providing Federal, State and Local Government Relations Consulting Services on an “as needed” basis as described in Attachment No. 2, and in accordance with the terms, conditions and requirements set forth in the Request for Qualifications (RFQ).

It is anticipated that HCC may make multiple awards based on the following:

1. Federal Government Relations Consulting Services (Only),
2. State & Local Government Relations Consulting Services (Only); or
3. Federal, State & Local Government Relations Consulting Services (Jointly)

HCC reserves the right to make multiple awards as deemed in its own best interests.

It is anticipated that the contract term for contract(s) awarded resulting from this solicitation, if any, will be three (3) years with the option to renew for two (2) additional one-year terms. Further, HCC reserves the right to extend the contract term on a month to month basis, not to exceed three (3) months upon the expirations of the initial term and any successive renewal term.

The selected firm will be expected to perform the services in accordance with the Scope of Services set forth in Attachment No. 2 and in accordance with the requirements of this solicitation

The Request for Qualifications (RFQ) provides the information necessary to prepare and submit qualifications for consideration by HCC based on the listed criteria. HCC may request additional clarification and oral interviews solely on the written responses to this request for qualifications.

By submitting its Qualifications in response to this RFQ, respondent accepts the evaluation process and acknowledges and accepts that determination of “most-qualified” firm(s) will require subjective judgments by the Evaluation Committee.

Qualifications shall not include any information regarding respondent's fees, pricing or other compensation. Such information will be solicited from the firm selected as the most highly qualified by HCC, in accordance with the published evaluation criteria

II. **Pre-proposal Meeting:** \_\_\_Mandatory \_\_\_Non-Mandatory XNot Applicable

III. **Document Submission:**

- A. Interested firms shall submit original and **five (5)** printed copies of their statement of qualifications documents to the below address no later than **September 6, 2012 @ 3:00 p.m. (local time)**. Original and copies of the submission should be accompanied by one (1) CD or flash drive with electronic copies of the submission. The electronic copies should be in non-editable .PDF format and should include the entire submission.

**Houston Community College  
Procurement Operations  
Attn: Jeffery Austin  
3100 Main Street (11th Floor, Room No. 11A06)  
Houston, Texas 77002**

**Project Name: Federal, State & Local Government Relations Consulting Services No. 12-47**

- B. **Please complete and return the following documents in your statement of qualifications package:**

- Response to Section V (Document Format and Content)
- Attachment No. 1 Proposal/Contract Award Form
- Attachment No. 3 Determination of Good Faith Effort
- Attachment No. 4 Small Business Unavailability Certificate
- Attachment No. 5 Contractor & Subcontractor Participation Form
- Attachment No. 6 Small Business Development Questionnaire
- Attachment No. 7 Respondent Certifications
- Attachment No. 8 Conflict of Interest Questionnaire
- Attachment No. 9 Disclosures Financial Interests and Potential Conflict of Interests

C. **Notes:**

**C.1 All applicable attachments contained in the RFQ shall be completed. Failure to do so may result in the firm's Qualification Submittal being declared non-responsive to the solicitation requirements.**

**C.2 In addition to signature, Attachment Nos. 1, 7, and 9 must be notarized.**

**C.3 Late Qualification Submittals properly identified will be returned to submitting respondent unopened. Late Statement of Qualifications will not be considered under any circumstances.**

**C.4 Facsimile ("FAX") or electronic (email) submittals are not acceptable when in response to this Request for Qualifications.**

IV. **Inquiries and Interpretations**

Any questions or concerns regarding this Request for Qualifications shall be directed to the above named HCC individual.

HCC specifically requests that Respondents restrict all contact and questions regarding this RFQ to the above named individual. Interested firms may make written inquiries only concerning this Request for Qualifications to obtain clarification of the requirements. Written inquiries shall be submitted no later than **3:00 p.m. (local time) on August 23, 2012** to the above named individual. Requests received after this date and time will not be accepted. It is HCC's intent to respond to all appropriate questions and concerns; however, HCC reserves the right to decline to respond to any questions.

Responses to inquiries which directly affect an interpretation or change to this RFQ will be issued in writing by addendum (amendment) and all parties recorded by HCC as having received a copy of the RFQ will be notified of the addendum; and all addenda will be posted on the HCC Website. [www.hccs.edu](http://www.hccs.edu). All such addenda issued by HCC prior to the time that statements of qualifications are received shall be considered part of the RFQ. Firms receiving this proposal other than directly from HCC are responsible for notifying HCC that they are in receipt of a proposal package and are to provide a name and address to utilize in the event an amendment is issued.

Only those HCC replies to inquiries which are made by formal written addenda shall be binding. Oral and other interpretations or clarification will be without legal effect.

## **V. Document Format and Content**

- A. Responses shall be submitted in 8 1/2" x 11" sizes. Responses must be typed and should not include any unnecessarily elaborate or promotional material. The form, content and sequence of the response should follow the outline presented below.

### **B. Document Content:**

1. **Transmittal Letter/Introduction (1 Page maximum):** The letter of transmittal shall be addressed to Jeffrey Austin, and must, at a minimum, contain the following:
  - a. Identification of the offering firm(s), including name, mailing address, e-mail address, telephone number and fax number of each firm;
  - b. Acknowledgement of receipt of RFQ amendments, if any;
  - c. Name, title, address and telephone number and fax number of a contact person for the firm(s);
  - d. Identification of any information contained in the response documents which the respondent deems to be, and establishes as, confidential or proprietary and wishes to be withheld from disclosure to others under the Texas Open Records Act (a blanket statement that all contents of the response document are confidential or proprietary will not be honored by HCC); and signature of a person authorized to bind the offering firm to the terms of the response documents.
2. **Table of Contents:**  
Immediately following the transmittal letter and introduction, include a complete table of contents for material included in the response documents.
3. **Professional Qualifications and Experience of Firm:** Briefly furnish background information about your firm, including date of founding, legal form (sole proprietorship, partnership, corporation/state of incorporation), number and location of offices, and principal lines of business. Certify that the firm is legally permitted or licensed to conduct business in the State of Texas for the services offered. **Only individual firms or lawfully formed business organizations may apply (This does not preclude a respondent from using consultants.) HCC will contract only with the individual firm or formal organization that submits a Statement of Qualifications.**
4. **Experience and Qualifications of Personnel:** This section should discuss the staff of the responding firm who would provide the Federal, State & Local Government Relations Consulting Services.
  - a. Key Personnel: Identify the Key personnel that would be assigned to HCC and will provide the Work described in Attachment No. 2, Scope of Services. Please include the following:
    - i. a brief description of their unique qualifications as it pertains to this Work,
    - ii. availability and commitment of the respondent, its principal(s) and assigned professionals to undertake the project,
    - iii. Respondent's job functions and office location.
    - iv. Designate the individual who is authorized to sign and enter into any resulting contract.
    - v. Provide brief resumes (not more than one (1) page) for each key personnel.
  - b. Include and organizational chart, which identifies key personnel and their particular roles in furnishing the services required under this RFQ
5. **Past Performance:** This section should establish the ability of the respondent (and its sub-consultant), if any to satisfactorily perform the required work. Provide examples of similar project experience; public

institutions or public entities, preferred. HCC may verify all information furnished. As a minimum, include the following per project experience:

- a. Project Name, Location – Year Completed;
- b. Brief project description describing your experience, work performed by your firm and work subcontracted.
- c. Owner Name, title, and current phone number.

**6. Project Understanding & Management:** Proposer will provide a response to the items noted in Attachment No. 2, Scope of Services; providing detailed responses to the following.

- a. How you envision your firm will provide the services, objectives and deliverables noted;
- b. Describe the resources that will be enlisted and their availability in provided the services, objectives and deliverables noted;
- c. Provide a detailed implementation plan and schedule of events in meeting the requirements;
- d. Provide a list of any perceived challenges in meeting the services, objectives and deliverables noted;
- e. Provide a list of expectations and requirements you may need from HCC in meeting the services, objectives and deliverables noted.

**7. Firm's Financial Status:**

- a. Provide evidence of the firm's financial stability including but not limited, any one or more of the following: the firm's audited financial statement for the last two (2) years; a statement from at least one financial institution with validation of at least six (6) months working capital; recent annual reports or equivalent information and your short and long-term credit rating; a letter from the company's CPA attesting to the company's financial stability.
- b. Identify if your firm is currently for sale or involved in any transaction to expand or to become acquired by another business entity? If so, please explain the impact both in organization and company direction and the estimated timing for the transaction to be completed.
- c. Provide details of any past or pending litigation, or claims filed, against your firm that may affect your performance under a Contract with HCC.
- d. Identify if your firm is currently in default on any loan agreement or financing agreement with any bank, financial institution, or other entity? If so, specify date(s), details, circumstances, and prospects for resolution.

**8. Small Business Commitment:** For this Project HCC has a small business participation goal of **Best Effort**. At a minimum, your response must include: (a) a description of previous projects where your firm has successfully subcontracted work to small businesses, minority/women owned businesses, and/or disadvantaged businesses including the percentage (%) of work subcontracted to these firms under each project; (b) a narrative outlining your overall approach to subcontracting and how you will solicit and select small businesses, minority/women owned businesses, and/or disadvantaged businesses for participation as part of this Project; and (c) indicate what challenges you anticipate in attaining HCC's goal of **Best Effort**.

Note: Refer to Attachment Nos. 3, 4 & 5, Determination of Good Faith Effort, Contractor and Subcontractor Participation Form, and Small Business Unavailability Certificate, respectively These forms are provided as Samples only and do not need to be completed by Respondents at this time.

**9. Subcontracting:**

- a. Describe what opportunities you foresee to utilize sub-consultants/subcontractors to perform portions of the work contemplated under this RFQ?
- b. Describe your company's process for the selection sub-consultants/subcontractors and process for evaluating sub-consultants/subcontractors performance?

**10. Business Relationship Strength:** "Business Relationship Strength" for the purpose of this RFQ shall mean the definition and commitment of the respondent towards a mutually successful "relationship" between the selected contractor and HCC for the duration of the contract term.

Respondent's Qualification Statement must include their definition, proposal and commitment to forge, foster and maintain a mutually successful "relationship" with HCC. At a minimum, your response must include: (a) your definition of a mutually successful "relationship" between your firm and HCC; and (b) your firm's commitment to a mutually successful "relationship" in the form of at least three, and not

more than five, specific, obtainable criteria, activities, agreements or requirements that shall, subject to negotiation and mutual consent, become features of the awarded contract and shall guide the HCC-Contractor relationship for the duration of the Project

**VI. Evaluation Criteria**

Selection of the most qualified firm will be made on the basis of demonstrated competence and qualifications to perform the Federal, State & Local Government Relations Consulting Services

. An Evaluation Committee will review the statement of qualifications submitted in response to the solicitation. Evaluation factors for the selection of the firm(s) are as follows:

<b>Evaluation Criteria</b>	<b>Available Points</b>
Professional Qualifications and Experience of Firm (See description at Section V.B.3)	30
Experience and Qualifications of Personnel (See description at Section V.B.4)	25
Past Performance (See description at Section V.B.5)	20
Project Understanding & Management (See description at Section V.B.6 and Attachment No. 2)	20
Firm's Financial Status (See description at Section V.B.7)	acceptable/unacceptable
Small Business Commitment (See description at Section V.B.8)	acceptable/unacceptable
Business Relationship Strength (See description at Section V.B.10)	5
<b>Total Points</b>	<b>100</b>

HCC may request additional clarification and oral interviews from a short-list of the top rated firms solely on the written responses to this request for qualifications.

**VII. Eligibility for Award**

- a. In order for a respondent to this solicitation to be eligible to be awarded the contract, the Qualification submittal must be responsive to the solicitation and HCC must be able to determine that the respondent is responsible and has the resources and capacity to perform the resulting contract satisfactorily.
- b. Responsive Qualification submittals are those that comply with all material aspects of the solicitation, conform to the solicitation documents and meet the requirements set forth in this solicitation. Qualification submittals, which do not comply with all the terms and conditions of this solicitation, will be rejected as non-responsive.
- c. Responsible respondents, at a minimum, must meet the following requirements:
  - Have adequate financial resources, or the ability to obtain such resources as required during the performance of any resulting contract:
  - Have a satisfactory record of past performance:
  - Have necessary personnel and management capability to perform any resulting contract:
  - Be qualified as an established firm regularly engaged in the type of business necessary to fulfill the contract requirements:
  - Certify that the firm is not delinquent in any tax owed the State of Texas under Chapter 171, Tax Code; and is not delinquent in taxes owed to the Houston Community College System; signing and submitting the proposal is so certifying to such non-delinquency:
  - Be otherwise qualified and eligible to receive an award under applicable laws and regulations.

- d. Respondents(s) may be requested to submit additional written evidence verifying that the firm meets the minimum requirements described in Section VII. (c), above and as necessary to perform the requirements of the solicitation and be determined a responsible respondent. Failure to provide any requested additional information may result in the respondent being declared non-responsive and the proposal being rejected.
- e. A person is not eligible to be considered for award of this solicitation or any resulting contract or to be a subcontractor of the respondent or prime contractor if the person assisted in the development of this solicitation or any part of this solicitation or if the person participated in a project related to this solicitation when such participation would give the person special knowledge that would give that person or a prime contractor an unfair advantage over other bidders.
- f. A person or respondent shall not be eligible to be considered for this solicitation if the person or respondent engaged in or attempted to engage in prohibited communications as described in Section X of this solicitation.

### **VIII. Texas Public Information Act**

HCC considers all information, documentation and other materials requested to be submitted in response to this solicitation to be of a non-confidential and/or non-proprietary nature, and therefore, shall be subject to public disclosure under the Texas Public Information Act (Texas Government Code, Chapter 552.001, et seq.) (“the Act”) after a contract if any, is awarded. If the respondent considers any information submitted in response to this request for qualifications to be confidential under law or constitute trade secrets or other protected information, the respondent must identify such materials in the proposal response. Notwithstanding the foregoing, the identification of such materials would not be construed or require HCC to act in contravention of its obligation to comply with the Act and the respondent releases HCC from any liability or responsibility for maintaining the confidentiality of such documents.

### **IX. Small Business Development Program (SBDP)**

- a. HCC has adopted a Small Business Development Program for small businesses attempting to provide goods and/or services as prime contractors or as subcontractors to other prime contractors to HCC. The program is designed to prevent discrimination by ensuring that small, underutilized and disadvantaged businesses are informed and prepared to compete for HCC procurements. HCC will neither discriminate nor select vendors on the basis of race, color, national origin, religion, gender, age, veteran status, sexual orientation or disability in its procurement selection process.
- b. Small businesses whose gross annual income averaged over the past three (3) years does not exceed the Small Business Administration’s size standard as specified in 13 CFR Part 121 are eligible to apply for participation in the program.
- c. For this solicitation, HCC has established **Best Effort** as its goal for Small Business participation.
- d. Good Faith Efforts - HCC will make a good faith effort to utilize small businesses in all contracts. The annual program goals may be met by contracting directly with small businesses or indirectly through subcontracting opportunities. Therefore, any business that contracts with HCC will be required to make a good faith effort to award subcontracts to small businesses. The subcontracting goal applies to all vendors regardless of their status by implementing the following procedures, a contractor shall be presumed to have made a good faith effort:
  - To the extent consistent with industry practices, divide the contract work into reasonable lots.
  - Give notice to SBDP eligible firms of subcontract opportunities or post notices of such opportunities in newspapers and other circulars.
  - Document reasons for rejecting a firm that submitted a proposal for subcontracting opportunities.

To the extent required by the solicitation, the contract shall require the selected contractor to agree to attain small business participation goal or target set forth in the solicitation.

### **X. Prohibited Communications**

Except as provided in exceptions below, the following communications regarding this solicitation or any other invitation for bids, requests for proposal, requests for qualifications, or other solicitation are prohibited:

- [1] Between a potential vendor, subcontractor to vendor, service provider, respondent, Offeror, lobbyist or consultant and any Trustee;



- [2] Between any Trustee and any member of a selection or evaluation committee; and
- [3] Between any Trustee and administrator or employee.

The communications prohibition shall be imposed from the day the solicitation is first advertised through the day the contract documents are signed by all parties. During this period, no HCC Trustee and no vendor shall communicate in any way concerning any pending Solicitation involving the Vendor, subject to the penalties stated herein.

In the event the Board refers the recommendation back to the staff for reconsideration, the communication prohibition shall be re-imposed.

The communications prohibition shall not apply to the following:

- [1] Duly noted pre-bid or pre-proposal conferences.
- [2] Communications with the HCC General Counsel.
- [3] Emergency contracts.
- [4] Presentations made to the Board during any duly-noticed public meeting.
- [5] Unless otherwise prohibited in the solicitation documents, any written communications between any parties, provided that the originator shall immediately file a copy of any written communication with the Board Services Office. The Board Services Office shall make copies available to any person upon request.
- [6] Nothing contained herein shall prohibit any person or entity from publicly addressing the Board during any duly-noticed public meeting, in accordance with applicable Board policies, regarding action on the contract.

Any potential vendor, subcontractor vendor, service provider, bidder, offeror, lobbyist or consultant who engages or attempts to engage in prohibited communications shall not be eligible for the award of any resulting contract under this solicitation. Any other direct or indirect actions taken to unduly influence competitive purposes, to circumvent equal consideration for competitive bidders, or to disregard ethical and legal trade practices will disqualify bidders, vendors, service providers, lobbyist, consultants, and contractors from both this current and any future consideration for participation in HCC orders and contracts.

## **XII. Drug Policy**

HCC is a drug-free workforce and workplace. The manufacture, sale, distribution, dispensation, possession or use of illegal drugs (except legally prescribed medications under physician's prescription and in the original container) or alcohol by vendors or contractors while on HCC's premises is strictly prohibited.

## **XIII. Conflict of Interest**

If a firm, proposer, contractor or other person responding to this solicitation knows of any material personal interest, direct or indirect, that any member, official or employee of HCC would have in any contract resulting from this solicitation, the firm must disclose this information to HCC. Persons submitting a proposal or response to this solicitation must comply with all applicable laws, ordinances, and regulations of the State of Texas Government Code, including, without limitation, Chapter 171 and 176 of the Local Government Code. The person /respondent submitting a response to this solicitation must complete (as applicable), sign and submit Attachment No. 8, Conflict of Interest Questionnaire Form, and Attachment No. 9, Disclosures – Financial Interest and Potential Conflict of interests with the proposal package. HCC expects the selected contractor to comply with Chapter 176 of the Local Government Code and that failure to comply will be grounds for termination of the contract.

Note: Attachment No. 8 and Attachment No. 9 shall be completed signed and returned to HCC. Enter N/A in those areas on the Attachments that are not applicable to your company.

## **XIV. Ethics Conduct**

Any direct or indirect actions taken to unduly influence competitive purposes, to circumvent equal consideration for competitive bidders, or to disregard ethical and legal trade practices will disqualify vendors and contractors from current and future consideration for participation in HCC orders and contracts.

#### **XV. Submission Waiver**

By submitting a response to this RFQ, the Offerer or respondent agrees to waive any claim it has or may have against Houston Community College System and its Trustees, employees or agents arising out of or in connection with (1) the Administration, evaluation or recommendation of any offer or response; (2) any requirements under the solicitation, the solicitation or response package or related documents; (3) the rejection of any offer or any response or any part of any offer or response; and/or (4) the award of a contract, if any.

#### **XVI. Obligation and Waivers:**

**THIS RFQ IS A SOLICITATION FOR STATEMENTS OF QUALIFICATION AND IS NOT A CONTRACT OR AN OFFER TO CONTRACT.**

**THIS REQUEST FOR QUALIFICATIONS DOES NOT OBLIGATE HCC TO AWARD A CONTRACT OR PAY ANY COSTS INCURRED BY THE RESPONDENT IN THE PREPARATION AND SUBMITTAL OF A STATEMENT OF QUALIFICATIONS.**

**HCC, IN ITS SOLE DISCRETION, RESERVES THE RIGHT TO ACCEPT ANY STATEMENTS OF QUALIFICATION AND/OR REJECT ANY AND ALL STATEMENTS OF QUALIFICATION OR A PART OF A STATEMENT OF QUALIFICATION, WITHOUT REASON OR CAUSE, SUBMITTED IN RESPONSE TO THIS RFQ.**

**HCC RESERVES THE RIGHT TO REJECT ANY NON-RESPONSIVE OR CONDITIONAL STATEMENTS OF QUALIFICATION. HCC RESERVES THE RIGHT TO WAIVE ANY INFORMALITIES, IRREGULARITIES AND/OR TECHNICALITIES IN THIS SOLICITATION, THE STATEMENTS OF QUALIFICATION DOCUMENTS AND /OR STATEMENTS OF QUALIFICATION RECEIVED OR SUBMITTED.**

**BY SUBMITTING A STATEMENT OF QUALIFICATION, RESPONDENT AGREES TO WAIVE ANY CLAIM IT HAS, OR MAY HAVE, AGAINST HOUSTON COMMUNITY COLLEGE SYSTEM AND ITS TRUSTEES OR AGENTS ARISING OUT OF OR IN CONNECTION WITH (1) THE ADMINISTRATION, EVALUATION OR RECOMMENDATIONS OF ANY STATEMENTS OF QUALIFICATION; (2) ANY REQUIREMENTS UNDER THE SOLICITATION, STATEMENTS OF QUALIFICATION PACKAGE, OR RELATED DOCUMENTS; (3) THE REJECTION OF ANY O STATEMENTS OF QUALIFICATION OR ANY PART OF ANY STATEMENTS OF QUALIFICATION; AND/OR (4) THE AWARD OF A CONTRACT, IF ANY.**

**HCC RESERVES THE RIGHT TO WITHDRAW THIS SOLICITATION AT ANY TIME FOR ANY REASON; REMOVE ANY SCOPE COMPONENT FOR ANY REASON AND TO ISSUE SUCH CLARIFICATIONS, MODIFICATIONS AND/OR AMENDMENTS AS DEEMED APPROPRIATE.**

**HCC IS AN EQUAL OPPORTUNITY/EDUCATIONAL INSTITUTION, WHICH DOES NOT DISCRIMINATE ON THE BASIS OF RACE, COLOR, RELIGION, NATIONAL ORIGIN, GENDER, AGE, DISABILITY, SEXUAL ORIENTATION OR VETERAN STATUS.**

#### **XVII. Vendor Registration**

**A PROPERLY COMPLETED VENDOR APPLICATION IS REQUIRED AND IS A CONDITON OF CONTRACT AWARD.** The website address to access the vendor registration form is: <http://hccs.aecglobal.com/SupplierRegistrationForm.asp>

#### **XVIII. Terms and Conditions**

The HCC General Terms and Conditions of Contracts dated October 20, 2011 shall govern any Purchase Order/Contract issued as a result of this solicitation (IFB). A copy is available and posted on the HCC [WEBSITE](#).

Bidders may offer for HCC's consideration alternate provisions to the Sample Agreement. Alternates proposed must refer to the specific article(s) or section(s) concerned. General exceptions such as "company standard sales terms

apply” or “will negotiate” are not acceptable. Bidder's silence as to the terms and conditions shall be construed as an indication of complete acceptance of these conditions as written.

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**ATTACHMENT NO. 1**

**PROPOSAL/CONTRACT AWARD FORM**

PROJECT TITLE: Federal, State & Local Government Relations Consulting Services

PROJECT NO.: 12-47

Name of Respondent/Firm: \_\_\_\_\_

Federal Employer Identification Number \_\_\_\_\_

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

Telephone: \_\_\_\_\_

Fax: \_\_\_\_\_

E-mail: \_\_\_\_\_

In compliance with the requirements of this Request for Qualifications for Federal, State & Local Government Relations Consulting Services, the undersigned hereby proposes to furnish all necessary resources required to perform the services in accordance with our Statement of Qualifications dated \_\_\_\_\_ and as mutually agreed upon by subsequent negotiations, if any.

The undersigned certifies that he/she has read, understands and agrees to be bound by the requirements and terms and conditions set forth in this Solicitation and any and all amendments issued and made a part hereof. The undersigned further certifies that he/she is legally authorized to make the statements and representations in the Solicitation and that said statements and representations are true and accurate to the best of his/her knowledge. The undersigned understands and agrees that when evaluating bids and making an award decision, HCC relies on the truth and accuracy of the statements and representations presented in the bid response. Accordingly, HCC has the right to suspend or debar the undersigned from its procurement process and/or terminate any contract award that may have resulted from this solicitation if HCC determines that any statements or representations made were not true and accurate.

Signed By: \_\_\_\_\_

Name: \_\_\_\_\_  
(Type or Print)

Title: \_\_\_\_\_  
(Type or Print)

State of \_\_\_\_\_

Sworn to and subscribed before me at \_\_\_\_\_, \_\_\_\_\_,  
(City) (State)

this the \_\_\_\_\_ day of \_\_\_\_\_, 2012.

\_\_\_\_\_

Notary Public for the State of: \_\_\_\_\_

## ATTACHMENT NO. 2

### SCOPE OF SERVICES

Houston Community College (“HCC”) is seeking Statements of Qualification from interested firms to provide Federal, State and Local Government Relations Consulting Services on an “as needed” basis as described in this Attachment No. 2, and in accordance with the terms, conditions and requirements set forth in the Request for Qualifications (RFQ).

It is anticipated that HCC may make multiple awards based on the following:

1. Federal Government Relations Consulting Services (Only),
2. State & Local Government Relations Consulting Services (Only); or
3. Federal, State & Local Government Relations Consulting Services (Jointly)

HCC reserves the right to make multiple awards as deemed in its own best interests.

It is anticipated that the contract term for contract(s) awarded resulting from this solicitation, if any, will be three (3) years with the option to renew for two (2) additional one-year terms. Further, HCC reserves the right to extend the contract term on a month to month basis, not to exceed three (3) months upon the expirations of the initial term and any successive renewal term.

The scope of services covers the requirements of government relations consulting services to assist Houston Community College in legislative matters on an “as needed” basis as follows.

As a community college district and political subdivision within the State of Texas, please be aware of certain legal limitations stated herein regarding the use of HCC funds to pay for the required services. All firms are encouraged to seek specific legal advice from their own legal counsel regarding this RFQ and any other legal restrictions in providing the required services. Potentially relevant statutes in providing the services under this solicitation include, but may not be limited to:

- Chapter 305 of the Texas Government Code.
- Chapter 2254.003 Professional Services Procurement Act
- 2 U.S.C. 1601, et seq. (“Lobbying Disclosure Act of 1995”)
- 31 U.S.C. Section 1352 (the “Byrd Amendment”)

As applicable firms must be in compliance with requirements of Title VII of the Civil Rights Act of 1964, as amended March 24, 1972, and the Rules and Regulations of the Equal Employment Opportunity Commission. Each firm must submit an affidavit to this effect.

#### **I. HCC Government Relations Goals**

- a. Increase funding from all government sources, with an emphasis on non-competitive appropriations, as well as special competitive grants;
- b. Expand collaboration opportunities with other governmental and educational entities, especially those in higher education, workforce, homeland security/public safety, community development and economic development, etc;
- c. Participate in government policy development with other governmental entities, especially those in the higher education field;

- d. Promote good will by coordinating HCC’s marketing, public and community relations efforts that seek to expand HCC’s positive impact in the community;
- e. Attain a positive and higher profile with relevant members of the U.S. Congress and the Texas Legislature, and with federal, state and local governmental entities to gain a “place at the table”; and
- f. Continue building local relationship with the City of Houston, surrounding cities and communities, county governments and school districts to foster partnerships that enhance HCC higher education opportunities for students.

**II. Requirement**

The government relations consulting service provider shall provide the following information or demonstrate the requisite knowledge and skill:

- g. Involvement of members of the firm on issues of direct importance to HCC (e.g., Workforce Investment Act, appropriations, etc.);
- h. Specific past involvement of the firm and/or its members with associations or direct importance to HCC (e.g., AACC, ACCT, TACC, HACU, etc.);
- i. Knowledge of and professional contact with relevant decision makers, and major political parties;
- j. Knowledge of existing and likely proposed relevant legislation;
- k. Short and long-term objectives for representation;
- l. Demonstration of creative strategies in developing new relationship between HCC, federal, state and local agencies or public/private entities that may provide a direct or indirect benefit to HCC;
- m. Experience with the appropriations process, including specific appropriation requests that the firm or individual anticipates seeking on behalf of HCC;
- n. Experience in maintaining legislative momentum during the “off-session” period and strategy in effectively working with the State of Texas Legislative Budget Board or similar entities during the off-session.
- o. Experience in maximizing legislative cost avoidance opportunities, please provide examples.
- p. Experience in benchmarking goals, objectives and accomplishments realized with comparable cohorts (other Community Colleges) and regionally (other educational institutions, municipal and local government agencies).
- q. Comprehensively understand and review all fiscal needs and objectives of HCC;
- r. With the Board of Trustees and HCC administration, establish priority objectives to provide revenue sources for HCC through the federal, state and local appropriations process and through agency grants or funds (e.g., Department of Labor, Department of Education; Department of Homeland Security, Department of Defense, etc.);
- s. Assist with developing an annual legislative agenda and plan;
- t. As appropriate, educate the members of the Texas congressional delegation, non-Texas congressional members, the Texas Legislature and their respective staffs about HCC, its needs and objectives, and how the same relates to the goals of the members and committees;

- u. As appropriate coordinate meetings for Trustees the Chancellor and staff in Washington with appropriate Members of Congress or Committee staff to reaffirm HCC's key objectives;
- v. As appropriate, coordinate meeting for Trustees, the Chancellor and staff in Austin with state policymakers and/or their staff;
- w. Assist with developing community support for HCC priority projects and encourage grassroots and grass tops communications to Congress;
- x. Work closely with state and national associations that promote community colleges and higher education policy considerations (e.g., AACC, TACC, AACT, HACU, etc.);
- y. As appropriate, assist with developing and implementing a local press/public recognition strategy to encourage and reward HCC key policy maker supports (federal, state and local policy makers);
- z. Provide follow-up communications to policy makers and their respective staffs. Continue to strengthen relationships and expand knowledge of and interest in the future of HCC;
- aa. Monitor the rule-making process at the Higher Education Coordinating Board to protect against changes in administrative rules that may be damaging to HCC;
- bb. Coordinate all activities with HCC staff and maintain appropriate correspondence files with copies provided to HCC staff and Trustees, as appropriate; and
- cc. Perform other services reasonably related to the provision of governmental relations services.

### **III. Deliverables**

#### **Federal Requirements**

- dd. No less than monthly legislative updates;
- ee. Talking points, as deemed appropriate;
- ff. Congressionally directed or non-congressionally directed federal funds, as appropriately identified by HCC (e.g., earmark funds, competitive grants where practicable, etc.); and
- gg. Other considerations to non-exclusively include shaping rules and policies impacting HCC.

#### **State and Local Requirements**

- hh. No less than monthly legislative updates;
- ii. Talking points, as deemed appropriate;
- jj. Annexation;
- kk. State Appropriations; and
- ll. Other considerations to non-exclusively include shaping rules and policies impacting HCC.

### **IV. Communication Protocol**

- mm. Consultant shall deliver a monthly written of activities related to HCC initiatives no later than the 2nd Wednesday of every month or as otherwise directed.

- nn. Minimally, the Consultant shall provide a briefing to the Chancellor's delegated authority (Executive Director of Government Relations, System Compliance & Sustainability) by the 1st of the month (or on the first working day following the 1st day of the month) to report on all activities and to seek direction.
- oo. Consultant, at the direction of the chancellor or the delegated authority, shall appear before the Board of Trustees as needed to report activity and to seek direction.
- pp. If applying for state and local representation, consultant shall arrange legislative and committee meeting in Austin for Trustees, the Chancellor and staff.
- qq. If applying for state and local representation, consultant shall arrange legislative and committee meeting in Austin for Trustees, the Chancellor and staff, as appropriate and necessary.
- rr. Consultant shall report to the Executive Director of Government Relations, System Compliance & Sustainability will administer the contract and provide staff direction.

*Balance of page intentionally left blank.*



**ATTACHMENT NO. 3**  
**DETERMINATION OF GOOD FAITH EFFORT**  
**PROJECT NO. 12-47**

Respondent \_\_\_\_\_

Address \_\_\_\_\_

Phone \_\_\_\_\_ Fax Number \_\_\_\_\_

In making a determination that a good faith effort has been made, HCC requires the Respondent to complete this form as directed below:

**Section 1.**

After having divided the contract work into reasonable lots or portions to the extent consistent with prudent industry practices, the Respondent must determine what portion(s) of work, including goods or services, will be subcontracted. Check the appropriate box that identifies your subcontracting intentions:

Yes, I will be subcontracting portion(s) of the contract.

(If Yes, please complete Section 2, below and Attachments No.4 Contractor/Subcontractor Participation Form and No. 5 SBD Questionnaire)

No, I will not be subcontracting any portion of the contract, and will be fulfilling the entire contract with my own resources. (If No, complete Section 3, below.)

**Section 2.**

In making a determination that a good faith effort has been made, HCC requires the Respondent to complete this form Section and submit supporting documentation explaining in what ways the Respondent has made a good faith effort to attain the goal. The Respondent will respond by answering “yes” or “no” to the following and provide supporting documentation.

\_\_\_\_\_ (1) Whether the Respondent provided written notices and/or advertising to at least five (5) certified small businesses or advertised in general circulation, trade association and/or small businesses focus media concerning subcontracting opportunities.

\_\_\_\_\_ (2) Whether the Respondent divided the work into the reasonable portions in accordance with standard industry practices.

\_\_\_\_\_ (3) Whether the Respondent documented reasons for rejection or met with the rejected small business to discuss the rejection.

\_\_\_\_\_ (4) Whether the Respondent negotiated in good faith with small businesses, not rejecting qualified subcontractors who were also the lowest responsive bidder.

**NOTE:** If the Respondent is subcontracting a portion of the work and is unable to meet the solicitation goal or if any of the above items (1-4) are answered “no”, the Respondent must submit a letter of justification.

**Section 3.**

**SELF PERFORMANCE JUSTIFICATION**

If you responded “No” in SECTION 1, please explain how your company will perform the entire contract with its own equipment, supplies, materials, and/or employees.

---

---

\_\_\_\_\_  
(Signature of Respondent)

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

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

*Balance of page intentionally left blank.*

**ATTACHMENT NO. 4  
SMALL BUSINESS UNAVAILABILITY CERTIFICATE  
PROJECT NO. 12-47**

I. \_\_\_\_\_ TITLE \_\_\_\_\_  
 OF \_\_\_\_\_ FIRM NAME \_\_\_\_\_ CERTIFY THAT ON \_\_\_\_\_ DATE \_\_\_\_\_

THE SMALL BUSINESSES LISTED HEREIN WERE CONTACTED TO SOLICIT PROPOSALS FOR MATERIALS OR SERVICES TO BE USED ON THE ABOVE STATED PROJECT.

DATE	SMALL BUSINESS	TELEPHONE #	CONTACT PERSON	MATERIALS OR SERVICES	RESULTS
1.					
2.					
3.					
4.					
5.					
6.					

TO THE BEST OF MY KNOWLEDGE AND BELIEF, SAID SMALL BUSINESS WAS UNAVAILABLE FOR THIS SOLICITATION, UNABLE TO PREPARE A PROPOSAL THAT WAS REJECTED FOR THE REASON(S) STATED IN THE RESULTS COLUMN ABOVE.

THE ABOVE STATEMENT IS A TRUE AND ACCURATE ACCOUNT OF WHY I AM UNABLE TO COMMIT TO AWARDING SUBCONTRACT(S) OR SUPPLY ORDER(S) TO THE SMALL BUSINESS LISTED ABOVE.

**NOTE: THIS FORM TO BE SUBMITTED WITH ALL PROPOSAL DOCUMENTS FOR WAIVER OF SMALL BUSINESS PARTICIPATION (SEE RESPONDENT INSTRUCTIONS)**

\_\_\_\_\_  
 PRINT NAME

\_\_\_\_\_  
 SIGNATURE

\_\_\_\_\_  
 TITLE

\_\_\_\_\_  
 DATE

**ATTACHMENT NO. 5 (Sample)**

**HCC PROJECT NO. 12-47**

**CONTRACTOR AND SUBCONTRACTOR PARTICIPATION FORM**

*RESPONDENT/OFFERER PRESENTS THE FOLLOWING PARTICIPANTS IN THIS SOLICITATION AND ANY RESULTING CONTRACT. ALL RESPONDENTS/OFFERORS, INCLUDING SMALL BUSINESSES SUBMITTING PROPSALS AS PRIME CONTRACTORS, ARE REQUIRED TO DEMONSTRATE GOOD FAITH EFFORTS TO INCLUDE SMALL BUSINESS IN THEIR PROPOSAL SUBMISSIONS.*

<b>CONTRACTOR</b>	<b>TYPE OF WORK TO BE DONE</b>	<b>TYPE OF SMALL BUSINESS CERTIFICATION</b>	<b>PERCENT OF CONTRACT EFFORT</b>	<b>PRICE \$</b>
BUSINESS NAME: _____ ADDRESS: _____ CONTACT NAME: _____ TELEPHONE #/E-MAIL ADDRESS: _____				
<b>SMALL BUSINESS SUBCONTRACTOR(S)/ATTACH SEPARATE SHEET IF NEEDED</b>				
BUSINESS NAME: _____ ADDRESS: _____ CONTACT NAME: _____ TELEPHONE #/E-MAIL ADDRESS: _____				
BUSINESS NAME: _____ ADDRESS: _____ CONTACT NAME: _____ TELEPHONE #/E-MAIL ADDRESS: _____				
<b>NON-SMALL BUSINESS SUBCONTRACTOR(S)/ATTACH SEPARATE SHEET IF NEEDED</b>				
BUSINESS NAME: _____ ADDRESS: _____ CONTACT NAME: _____ TELEPHONE #/E-MAIL ADDRESS: _____				
BUSINESS NAME: _____ ADDRESS: _____ CONTACT NAME: _____ TELEPHONE #/E-MAIL ADDRESS: _____				

BUSINESS NAME: \_\_\_\_\_  
 ADDRESS: \_\_\_\_\_  
 SUBMITTED BY: \_\_\_\_\_  
 TELEPHONE/FAX: \_\_\_\_\_  
 E-MAIL ADDRESS: \_\_\_\_\_

	DATE SUBMITTED	_____
	CONTRACTOR'S PRICE/TOTAL SMALL BUSINESS	\$ _____
	SUBCONTRACTOR(S) PRICE/TOTAL NON- SMALL BUSINESS	\$ _____
	SUB-CONTRACTOR'S PRICE/TOTAL	\$ _____
	GRAND TOTAL	\$ _____

**ATTACHMENT NO. 6  
SMALL BUSINESS DEVELOPMENT QUESTIONNAIRE  
PROJECT NO. 12-47**

**Note:** Vendors are to complete and submit this form in a separate envelope marked “*Small Business Development Questionnaire*” as part of the Statement of Qualification response.

FIRM NAME: \_\_\_\_\_

FIRM ADDRESS: \_\_\_\_\_  
\_\_\_\_\_

TELEPHONE: \_\_\_\_\_

FAX NUMBER: \_\_\_\_\_

EMAIL ADDRESS: \_\_\_\_\_

CONTACT PERSON’S NAME AND PHONE NO. \_\_\_\_\_

SIGNATURE OF FIRM’S AUTHORIZED OFFICIAL: \_\_\_\_\_

NAME AND TITLE (Type or Print): \_\_\_\_\_

**COMPANY MAJORITY OWNERSHIP** (Check one in each column)

**ETHNICITY**

**GENDER**

**LOCATION**

\_\_\_ African American (AA)

\_\_\_ Male

\_\_\_ Houston (H)

\_\_\_ Asian Pacific American (APA)

\_\_\_ Female

\_\_\_ Texas (T)

\_\_\_ Caucasian (C)

\_\_\_ Out of State (O)

\_\_\_ Hispanic American (HA)

Specify State \_\_\_\_\_

\_\_\_ Native American (NA) \_\_\_ Public Owned (PO)

\_\_\_ Other (O) Specify \_\_\_\_\_

**BUSINESS CLASSIFICATION**

\_\_\_ **DBE** Disadvantaged Business Enterprise \_\_\_ **SB** Small Business

\_\_\_ **WBE** Women Owned Business Enterprise \_\_\_ **MBE** Minority Business Enterprise

\_\_\_ **HUB** Historically Underutilized Business \_\_\_ Other: \_\_\_\_\_

Please provide information regarding certifying agency (if any)

**Name of Agency**

**Certificate Number**

**Expiration Date**

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

**ATTACHMENT NO. 7  
RESPONDENT CERTIFICATIONS  
PROJECT NO. 12-47**

**1. NON-DISCRIMINATION STATEMENT:**

The undersigned certifies that he/she will not discriminate against any employee or applicant for employment or in the selection of subcontractors because of race, color, age, religion, gender, national origin or disability. The undersigned shall also take action to ensure that applicants are employed, and treated during employment, without regard to their race, color, religion, gender, age, national origin or disability. Such action shall include, but shall not be limited to, the following non-discriminatory employment practices: employment, upgrading or transfer, recruitment or recruitment advertising, layoff or termination, rates of pay or other compensation and selection for training, including apprenticeship.

**2. ASSURANCE OF SBDP GOAL:**

The undersigned certifies that he/she has read, understands and agrees to be bound by the small business provisions set forth in this Solicitation. The undersigned further certifies that he/she is legally authorized to make the statements and representations in the Solicitation and that said statements and representations are true and accurate to the best of his/her knowledge. The undersigned will enter into formal agreement(s) for work identified on the CONTRACTOR AND SUBCONTRACTOR PARTICIPATION form conditioned upon execution of a contract with HCC. The undersigned agrees to attain the small business utilization percentages of the total offer amount as set forth below:

**Small Business Participation Goal = Best Effort**

The undersigned certifies that the firm shown below has not discriminated against any small business or other potential subcontractor because of race, color, religion, gender, age, veteran's status, disability or national origin, but has provided full and equal opportunity to all potential subcontractors irrespective of race, color, religion, gender, age, disability, national origin or veteran status.

The undersigned understands that if any of the statements and representations are made knowing them to be false or there is a failure to implement any of the stated commitments set forth herein without prior approval of HCC's Chancellor or the duly authorized representative, the Respondent may be subject to the loss of the contract or the termination thereof

**3. BLACKOUT PERIOD COMPLIANCE:**

The undersigned certifies that he/she has read, understands and agrees to be bound by the Prohibited Communications provision set forth in the RFQ. The undersigned further understands that the Respondent shall not communicate with a HCC Trustee, employee, or any member of the selection/evaluation committee in any way concerning this Solicitation from the day it is first advertised through the day the contract documents are signed by all parties. This period is known as the "Blackout Period," as further defined in Section 1.7.10 and 3.3 of the Procurement Operations Manual. Violation of the Blackout Period is considered unethical conduct and will be handled as such with regard to a Trustee and all applicable federal and state laws and regulations, local ordinances, board policies and procurement procedures with respect to their conduct as public officials involved in the procurement process.

With regard to a Respondent, violation of the Blackout Period may result in the cancellation of the referenced transaction, disbarment, disqualification from future procurement solicitations and prosecution in accordance with the Laws of the State of Texas.

**4. CERTIFICATION AND DISCLOSURE STATEMENT:**

A person or business entity entering into a contract with HCC is required by Texas Law to disclose, in advance of the contract award, if the person or an owner or operator of the business entity has been convicted of a felony. The disclosure should include a general description of the conduct resulting in the conviction of a felony as provided in section 44.034 of the Texas Education Code. The requested information is being collected in accordance with applicable law. This requirement does not apply to a publicly held corporation.

If an individual:

Have you been convicted of a felony? YES or NO

If a business entity: YES or NO

Has any owner of your business entity been convicted of a felony? \_\_\_\_\_

Has any operator of your business entity been convicted of a felony? \_\_\_\_\_

If you answered yes to any of the above questions, please provide a general description of the conduct resulting in the conviction of the felony, including the Case Number, the applicable dates, the State and County where the conviction occurred, and the sentence.

I attest that I have answered the questions truthfully and to the best of my knowledge.

Signed: \_\_\_\_\_

Name of Company: \_\_\_\_\_

Address of Company: \_\_\_\_\_

State of \_\_\_\_\_

Sworn to and subscribed before me at \_\_\_\_\_, \_\_\_\_\_, (City) \_\_\_\_\_, (State) this \_\_\_\_\_ the \_\_\_\_\_ day of \_\_\_\_\_, 2012.

\_\_\_\_\_

Notary Public for the State of: \_\_\_\_\_

**ATTACHMENT NO. 8**

<b>CONFLICT OF INTEREST QUESTIONNAIRE</b> For vendor or other person doing business with local governmental entity		<b>FORM CIQ</b>
<p><small>This questionnaire reflects changes made to the law by H.B. 1491, 80th Leg., Regular Session.</small></p> <p><small>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).</small></p> <p><small>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.</small></p> <p><small>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.</small></p>	<b>OFFICE USE ONLY</b>	
<p><b>1</b> Name of person who has a business relationship with local governmental entity.</p>	Date Received	
<p><b>2</b> <input type="checkbox"/> Check this box if you are filing an update to a previously filed questionnaire.</p> <p align="center"><small>(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.)</small></p>		
<p><b>3</b> Name of local government officer with whom filer has employment or business relationship.</p> <p align="center">_____</p> <p align="center">Name of Officer</p> <p><small>This section (item 3 including subparts A, B, C &amp; 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.</small></p> <p>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?</p> <p align="center"> <input type="checkbox"/> Yes      <input type="checkbox"/> No                 </p> <p>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?</p> <p align="center"> <input type="checkbox"/> Yes      <input type="checkbox"/> No                 </p> <p>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?</p> <p align="center"> <input type="checkbox"/> Yes      <input type="checkbox"/> No                 </p> <p>D. Describe each employment or business relationship with the local government officer named in this section.</p>		
<p><b>4</b></p> <p align="center">                     _____                      Signature of person doing business with the governmental entity                 </p> <p align="center">                     _____                      Date                 </p>		

Adopted 06/29/2007

**Note: When completing this Questionnaire, please be certain to answer each and every question; indicate “Not Applicable”, if appropriate. Please sign and date**



**ATTACHMENT NO. 9  
DISCLOSURES  
FINANCIAL INTERESTS AND POTENTIAL CONFLICTS OF INTERESTS  
PROJECT NO. 12-47**

Texas Local Government Code Chapter 176 requires that vendors desiring to enter into certain contracts with a local governmental entity must disclose the financial and potential conflict of interest information as specified below.

Vendor shall disclose the financial interest and potential conflict of interest information identified in Sections 1 through 3 below as a condition of receiving an award or contract. Submit this information along with your bid, proposal, or offer. **This form must be completed by Vendor and submitted as part of their Statement of Qualifications response.** Completed forms must be **NOTARIZED.**

This requirement applies to contracts with a value exceeding \$50,000.

**Section 1 - Disclosure of Financial Interest in the Vendor**

**a.** If any officers or employees of HCC (“individuals”) have one of the following financial interests in the vendor (or its principal) or its subcontractor(s), please show their name and address and check all that apply and (include additional documents if needed):

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

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

Ownership interest exceeding 10% (\_\_\_\_)

Ownership interest exceeding \$15,000 or more of the fair market value of vendor (\_\_\_\_)

Distributive Income Share from Vendor exceeding 10% of individual’s gross income (\_\_\_\_)

Real property interest with fair market value of at least \$2,500 (\_\_\_\_)

Person related to or married to individual has ownership or real property interest in Vendor (\_\_\_\_)

No individuals have any of the above financial interests (\_\_\_\_)

(If none, go to Section 2)

**b.** For each individual named above, show the type of ownership/distributable income share:

sole proprietorship \_\_\_ stock \_\_\_ partnership \_\_\_\_\_

other (explain) \_\_\_\_\_

**c.** For each individual named above, show the **dollar value or proportionate share** of the ownership interest in the vendor (or its principal) or its subcontractor (s) as follows:

If the proportionate share of the named individual(s) in the ownership of the vendor (or its principal) or subcontractor of vendor is 10% or less, and if the value of the ownership interest of the named individual(s) is \$15,000 or less of the fair market value of vendor, check here (\_\_\_\_).

If the proportionate share of ownership exceeds 10%, or the value of the ownership interest exceeds \$15,000 of the fair market value of vendor, show either:

the percent of ownership \_\_\_\_\_%, or  
the value of the ownership interest \$ \_\_\_\_\_

**Section 2 - Disclosure of Potential Conflicts of Interest**

For each of the individuals having the level of financial interest identified in Section 1 above, and for any other HCC individual not identified in Section 1 above check "Yes" or "No" to indicate which, if any, of the following potential conflict of interest relationships apply. If "Yes," please describe (use space under applicable section-attach additional pages as necessary).

a. Employment, currently or in the previous eighteen (18) months, including but not limited to contractual employment for services for vendor. Yes \_\_\_\_ No \_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

b. Employment of individual's spouse, father, mother, son, or daughter, including but not limited to contractual employment for services for vendor in the previous eighteen (18) months. Yes \_\_\_\_ No \_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**Section 3- Disclosure of Gifts**

For each of the individuals having the level of financial interest identified in Section 1 above, and for any other HCC individual not identified in Section 1 above check "Yes" or "No" to indicate which, if any, of the following potential conflict of interest relationships apply. If "Yes," please describe (use space under applicable section-attach additional pages as necessary).

a. Received a gift from vendor (or principal), or subcontractor of vendor, of \$250 or more within the preceding 12 months. Yes \_\_\_\_ No \_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

b. Individual's spouse, father, mother, son, or daughter has received a gift from vendor (or principal), or

subcontractor of vendor, of \$250 or more within the preceding 12 months. Yes \_\_\_\_ No

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

This disclosure is submitted on behalf of

\_\_\_\_\_  
(Name of Vendor)

**Certification.** I hereby certify that to the best of my knowledge and belief the information provided by me in this disclosure statement is true and correct. I understand that failure to disclose the information requested may result in

my bid, proposal, or offer, being rejected, and/or may result in prosecution for knowingly violating the requirements of **Texas Local Government Code Chapter 176**. I understand that it is my responsibility to comply with the requirements set forth by HCC as it relates to this disclosure. I also understand that I must submit an updated disclosure form within seven (7) days of discovering changes in the significant financial interests of the individuals I identified in Section 1 of this disclosure or if individuals that were not identified, later receive a financial interest in my company or a subcontractor of my company.

Official authorized to sign on behalf of vendor:

Name (Printed) \_\_\_\_\_ Title \_\_\_\_\_

Signature \_\_\_\_\_ Date \_\_\_\_\_

**AFFIX NOTARY SEAL ABOVE**

Sworn to and subscribed before me, by the said \_\_\_\_\_, this the \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_, to certify which, witness my hand and seal of office.

**"NOTE: RESPONDENT MUST COMPLETE THE ABOVE "DISCLOSURE OF FINANCIAL INTERESTS AND POTENTIAL CONFLICTS OF INTERESTS" FORM. FAILURE TO COMPLETE AND RETURN THIS FORM WITH YOUR OFFER MAY RESULT IN YOUR OFFER BEING CONSIDERED AS "NON-RESPONSIVE" TO THIS SOLICITATION."**

For assistance with completing this form, please contact the **Office of System-wide Compliance** at (713)718-2099.