HOUSTON COMMUNITY COLLEGE SYSTEM

REQUEST FOR PROPOSAL

(SERVICES)

**Bank Depository Services**

**RFP NO.: 16-38**

**Issued by:**

Procurement Operations Department

**FOR:**

Treasury Department

**PROCUREMENT OFFICER:**

Jennifer Chiu, Sr. Buyer

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PROPOSALS ARE DUE AT THE ADDRESS SHOWN BELOW

**NO LATER THAN:**

August 5, 2016 by 2:00 p.m. (local time)

**at**

Houston Community College

Procurement Operations Department

3100 Main Street, 11th Floor

Houston, Texas 77002

Ref: RFP 16-38 – Bank Depository Services

**Visit the** [**HCC Procurement Operations Department website**](http://www.hccs.edu/district/departments/procurement/) **to get more information on this and other business opportunities. While at our website we invite you to** [**Register as a Vendor**](https://hccs.sbecompliance.com/FrontEnd/StartRegistry.asp?TN=hccs&XID=2722)**, if already registered, please confirm your contact information is current.**

**TABLE OF CONTENTS**

|  |  |
| --- | --- |
| **Section Headings** | **Page Number** |
| Section 1 – Project Overview & Scope of Services | 3 |
| Section 2 – Bank Services Fee Schedule | 19 |
| Section 3 – Proposal Evaluations | 25 |
| Section 4 – Instructions to Proposers | 27 |
| Section 5 – General Information | 32 |
| Section 6 – Required Attachments | 38 |
| **Attachment Number** | **Attachment Title** |
| Attachment No. 1 | Contract Award Form |
| Attachment No. 2 | Determination of Good Faith Effort Form |
| Attachment No. 3 | Small Business Unavailability Certificate |
| Attachment No. 4 | Contractor & Subcontractor Participation Form |
| Attachment No. 5 | Proposer’s Certifications |
| Attachment No. 6 | Conflict of Interest Questionnaire |
| Attachment No. 7 | Financial Interests and Potential Conflicts of Interests |
| Attachment No. 8 | PFIA Certification Form |
| Attachment No. 9 | Response Attachments |
| **Exhibit Number** | **Attachment Title** |
| Exhibit 1 | Bank Transactions by Account |
| Exhibit 2 | Account Analysis Summary |

**NOTE: All noted Attachments are to be completed and submitted with Proposal, Attachments 1, 5 and 7 must be signed and notarized.**

**Solicitation Schedule**

**The following is the anticipated solicitation schedule including a brief description for milestone dates:**

|  |  |
| --- | --- |
| **Solicitation Milestone** | **Date & Time** |
| RFP released and posted to HCC’s & ESBD’s websites | July 6, 2016 |
| Pre-Proposal Meeting (Non-Mandatory) will be held by the Procurement Operations Department at 3100 Main Street (2nd Floor, Seminar Room B) Houston, Texas 77002 | July 20, 2016 at 10:00 am (local time) |
| Deadline to receive written question/inquiries | July 25, 2016 by 2:00 pm (local time) |
| Responses to written questions/inquiries (estimated) | July 28, 2016 |
| Proposal Submittal Due Date | August 5, 2016 by 2:00 pm (local time) |
| Anticipated Board Recommendation and Approval | October 2016 |

**NOTE: Houston Community College reserves the right to revise this schedule.  Any such revision will be formalized by the issuance of an addendum to the RFP and posted on Procurement Operations website for your convenience.**

*Balance of page intentionally left blank.*

**Section 1 – Project Overview & Scope of Services**

1. **Project Overview**

The Houston Community College, (“HCC”) or (“College”) is soliciting sealed proposals from qualified banking institutions to provide primary bank depository services to be performed in accordance with the scope of services noted below. Qualified respondents are invited to submit a written response outlining their qualifications and experience to provide the services as described in the scope of services and in accordance with the terms, conditions and requirements set forth in the Request for Proposal (RFP). The successful proposer will provide the scope of services in accordance with all applicable laws, regulations and professional standards

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) 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.

1. **Scope of Services**
   1. **Account Activities:** The College anticipates establishing an account configuration that consists of the following bank accounts:

* General Accounts Payable Clearing Account
* Accounts Payable Clearing Account
* Accounts Payable Account
* Tuition/Fees/Other Campus Deposits Account
* State/Local Current Restricted Account
* Plant Fund Account
* Federal Restricted Funds Account
* Auxiliary Enterprise Fund Account
* TG Student Loan Account
* System Payroll Account
* Merchant Services Offset Account
* Current Operating Account
* 2013 Limited Tax Bonds Account
* Managed PFI Account
* Retirement of Indebtedness Account
* 2001A Bond Debt Service Reserve Account
* 2003 Limited Tax Bonds

The College issues checks through the A/P Clearing Account which is utilized to issue vendor payments. The average number of checks per month is 929 and the estimated dollar amount per month is $4,200,000. The number of electronic vendor payments per month is 1,192 and the estimated dollar amount per month is $13,800,000.

The College offers its employees direct deposit of payroll and approximately 6,000 of the 6,132 employees use this service for an estimated monthly debit amount of $6,300,000. Also, an average of 201 employees are paid with Payroll Cards.

The College reserves the right to open or close any number or type of accounts as it deems necessary through the term of the Depository Services Contract. Any services not listed, but later requested by the College, will be charged for at a mutually agreed upon fee. Fees are to be fixed for the entire contract period. No additional setup fees or software fees will be charged if the Depository Bank mergers or is acquired by another bank.

The activity for May 2016 with balance information for these accounts is tabulated in Exhibit 1 and Exhibit 2, and targeted on the Bank Services Fee Schedule. Actual balances and transaction activity could vary significantly.

* 1. **Bank Services:** The **following services must be provided as** described and/or be provided in an alternative form that results in essentially the same outcome or capability.

1. ONLINE BANKING SERVICES – The College **requires** online banking services accessible through the internet that at a minimum include balance reporting, inter- and intra-bank transfers, initiation of ACH debits and credits and wire transfers, and placement of stop payments on checks with user-defined security requirements. Additional capabilities must include the ability to reprint statements and export information to MS-Excel. The minimum balance reporting information must be for intra-day and previous business day and include at a minimum: ledger balance, collected balance, one-day float amount, two-day float amount, total credits, total debits, and detail debits and credits, and must allow transaction search capability. Historical information must be maintained online and accessible for a minimum of six months.

Yes, can provide as requested/required.

No, cannot provide as requested/required.

***Comment:***

1. CONTROLLED DISBURSEMENT ACCOUNT - The College **requires** the use of a controlled disbursement account for its disbursements. The controlled disbursement presentment notification must also be accessible through online banking services. This information must be available and accessible by 10:00 A.M. local time.

Yes, can provide as requested/required.

No, cannot provide as requested/required.

***Comment:***

1. POSITIVE PAY AND ACCOUNT RECONCILIATION SERVICE – The College **requires** positive pay and full reconciliation on designated accounts from which checks are issued including A/P Clearing Account. Positive Pay files will be transmitted electronically. Minimum payment verification criteria shall be payee name, date, check number, and amount. The College may approve and make pay/no pay decisions on any exception items.

Yes, can provide as requested/required.

No, cannot provide as requested/required.

***Comment:***

1. ACH – The College **requires** a robust ACH system with the capability to create ACH credits for direct deposit of payroll and vendor payments.

Yes, can provide as requested/required.

No, cannot provide as requested/required.

***Comment:***

1. ELECTRONIC DATA INTERCHANGE – The College **requires** Electronic Data Interchange (“EDI”) service capability with the ability of obtaining monthly reports and transacting vendor payments.

Yes, can provide as requested/required.

No, cannot provide as requested/required.

***Comment:***

1. ACH DEBIT BLOCKING – The College **requires** ACH debit blocking capabilities on its accounts, with the ability to selectively permit specified ACH debits on certain accounts and restrict all ACH debits from certain accounts.

Yes, can provide as requested/required.

No, cannot provide as requested/required.

***Comment:***

1. WIRE TRANSFERS – The online banking system must provide for initiating wire transfers as a normal course of business. Wires may be one time wires or be set up as repetitive wires of varying amounts.

Yes, can provide as requested/required.

No, cannot provide as requested/required.

***Comment:***     

1. Remote Deposit Capture – The College is currently utilizing and **requires** remote deposit capture services.

Yes, can provide as requested/required.

No, cannot provide as requested/required.

***Comment:***

1. POST NO CHECKS – The College **requires** the fraud protection feature or service that prevents checks being presented for payment to be posted to the accounts from which checks are not issued.

Yes, can provide as requested/required.

No, cannot provide as requested/required.

***Comment:***

1. FUNDS AVAILABILITY – The College **requires**, at a minimum, same day credit for all transactions submitted before 4:00 P.M., subject to the bank’s availability schedule.

Yes, can provide as requested/required.

No, cannot provide as requested/required.

***Comment:***

1. EMPLOYEES CHECK CASHING – The College **requires** the bank to cash checks issued to employees and students (with proper identification) without service charges or fees to the employee, student or the College, and without requiring the employee or student to open an account with the bank.

Yes, can provide as requested/required.

No, cannot provide as requested/required.

***Comment:***

12. PAYROLL CARDS – The College **requires** the use of Payroll Cards for compensating employees that utilize this form of payment**.**

Yes, can provide as requested/required.

No, cannot provide as requested/required.

***Comment:***

13. RETURNED CHECK REPROCESSING – The College **requires** deposited checks to be processed for collection at least twice before making non-paid checks available to the College for pick up. The College prefers to receive notification of rejected items electronically. The College **requires** same day notification of all returned items.

Yes, can provide as requested/required.

No, cannot provide as requested/required.

***Comment:***

14. ACCOUNT ANALYSIS – The College **expects** account analysis statements by individual account and at group level, reflecting average ledger balance, average uncollected funds, average collected balance, reserve requirement, average available balance, rate and amount of earnings credit, detail of services provided with quantities and unit fees for each, and total service cost, delivered to the College on a monthly basis. **This applies to “No Fee” or “Fee Waiver” proposals.**

Yes, can provide as requested/required.

No, cannot provide as requested/required.

***Comment:***     

15. BANK STATEMENTS – The College **requires** that statements be rendered within five (5) working days after the close of the calendar month. Monthly cutoff of statements must occur on the last calendar day of each month. Accounts shall not be placed in dormant mode for inactivity. The statement shall include debits and credits made on the last day of the period and the detail items. Bank statements must be received on a monthly basis, even if there is no activity for the account. Checks and deposit slip images must be provided in a manner that the College can download or save to their internal storage systems. -Online banking service is required by HCC.

Yes, can provide as requested/required.

No, cannot provide as requested/required.

***Comment:***

16. PAYMENT FOR SERVICES – The College intends to pay for all services provided by the earnings credit amount generated by account balances, or by direct payment, or a combination of both.

Yes, can provide as requested/required.

No, cannot provide as requested/required.

***Comment:***

17. ACCOUNT SETTLEMENT – Settlement of the excess/deficient condition as reflected by the group level account analysis is **expected** to occur annually. If deficient, settlement must be made by direct debit to the College’s Current Operating Account.

Yes, can provide as requested/required.

No, cannot provide as requested/required.

***Comment:***

18. RESEARCH – The College **requires** that all research requests are responded to within three business days of the request.

Yes, can provide as requested/required.

No, cannot provide as requested/required.

***Comment:***

19. BANK ERRORS – Bank errors resulting in lost interest to the College must be reimbursed by the bank to the College, utilizing a mutually agreed upon method of reimbursement.

Yes, can provide as requested/required.

No, cannot provide as requested/required.

***Comment:***

20. SAFEKEEPING/CUSTODY SERVICES – The College **requires** that the bank provide safekeeping services for the securities owned by the College. All securities will be handled on a delivery versus payment (“DVP”) basis as they are cleared into and out of the College’s account.

The bank must act as securities clearing agent for all security purchases made by the College and for sales of securities from the investment portfolio, and will provide the necessary wire transfer and physical delivery services required to support investment activities. Necessary controls will be negotiated with the Bank. Confirmation of trades must be provided to the College within one business day.

The bank must provide safekeeping services for all securities owned/purchased during the term of the depository agreement pursuant to a "Custodial Agent Agreement" executed between the College and the bank. Safekeeping receipts for all security purchases must be issued within two business days. All interest payments on securities held must be posted on the due date or on the next business day in the event the due date falls on a weekend or bank holiday. The College must be notified of any securities called prior to maturity.

The College requires a web-based safekeeping transaction monitoring and reporting mechanism.

All fees related to investment services provided by the bank, including safekeeping services, must be itemized and included on the Bank Services Fee Schedule submitted in response to this RFP.

Yes, can provide as requested/required.

No, cannot provide as requested/required.

***Comment:***

21. INVESTMENT ACCOUNT – Proposers must provide a description of the bank’s best “hard dollar” interest earning option. If a sweep option is proposed, proposer must confirm its compliance with Local Government Code Chapter 2256, the “Public Funds Investment Act” (“PFIA”), and the College’s Investment Policy.

Yes, can provide.

No, cannot provide.

***Comment:***

22. AUDIT CONFIRMATIONS – Successful proposer must provide account balance audit confirmations to the College’s audit firm annually at no charge.

Yes, can provide as requested/required.

No, cannot provide as requested/required.

***Comment:***

23. Balance ASSESSMENT – Proposer must state how the FDIC Insurance Assessment on balances will be treated: (**Treatment must be reflected on the attached Bank Services Fee Schedule as well**)

Fees to be waived

Fees to be partially waived

Fee to be passed in full to the College

***Comment:***

24. RESERVE REQUIREMENT – Proposer must indicate whether or not a reserve requirement on balances used in calculating earnings credit is required.

Yes.

No

Reserve Requirement %

***Comment:***

25. Bank lending – The College may have needs to borrow funds for short-term, intermediate term and long-term financing. Proposer should indicate its ability to meet such needs and provide an estimate of a potential credit line.

Yes.

No

***Comment:***

* 1. **Services That May Be Considered:** The following services are optional and may be considered by the College for award; please indicate the proposer’s ability to provide the services as described and the associated set-up, maintenance and/or per item processing charges:

1. BANK PROVIDED ATM – The College may consider installation of a bank provided ATM for employee and public use.

Yes, can provide.

No, cannot provide.

***Comment:***

1. INTEGRATED DISBURSEMENT SERVICES – The College may consider different levels of outsourcing for its disbursement function including, but not limited to, check printing and distribution.

Yes, can provide.

No, cannot provide.

***Comment:***

1. CREDIT AND DEBIT CARD PAYMENTS – The College allows its patrons to pay for certain charges utilizing credit and debit cards. Currently the credit & debit card payments are accepted for AMERICAN EXPRESS, DISCOVER, VISA and MASTERCARD. This method of payment accounts for approximately $5,400,000(net) from 22,070 transactions per month. The College maintains a separate Merchant Bank Services contract. However, the College will consider including your bank for this service in the next RFP issued for these services. Please provide information on services and costs associated with the bank’s credit and debit card processing abilities. Currently the College maintains 2 separate merchant accounts.

Yes, can provide as requested/required.

No, cannot provide as requested/required.

***Comment:***

1. PROCUREMENT CARD – The College has developed and utilizes a very extensive procurement card program. With 612 cardholders, monthly transaction volume averages approximately 1,520 in the amount of $320,000. While Procurement Card services are outside of the scope of this depository RFP solicitation, please provide detailed information about your Bank’s ability and interest in providing a Procurement Card program.

Yes, can provide as requested/required.

No, cannot provide as requested/required.

***Comment:***

1. ONLINE PAYMENTS ACCEPTANCE – The College currently offers online payment options for its students and is interested in exploring options and capabilities for accepting payments for an expanded scope of services through an online interactive facility that would include payments by credit card, direct debit, funds transfer, etc. A function of the system would be the preparation of the accompanying remittance information.

Yes, can provide as requested/required.

No, cannot provide as requested/required.

***Comment:***

1. REVERSE POSITIVE PAY SERVICE – The College **–may request** reverse positive pay on the check issuing accounts with limited and infrequent issuance. The bank shall notify the College of the checks presented for payment and the College may select the items to be honored.

Yes, can provide as requested/required.

No, cannot provide as requested/required.

***Comment:***

1. RETAIL LOCKBOX PROCESSING – The College **–may request** retail lockbox processing services for remittances of tuition payments and possibly others. On a daily basis, the remittance data and payment amount captured during processing would be transmitted to the College for the update of the accounts receivable file. This service would be solicited by the College under a separate RFP.

Yes, can provide as requested/required.

No, cannot provide as requested/required.

***Comment:***

1. CONSUMER BILL PAY PROCESSING - The College **–may request** this service (sometimes referred to E-Lockbox) for receipts of tuition and other payments generated from personal customer bank bill pay programs. On a daily basis, the remittance data and payment amount captured during processing must be transmitted to the College for the update of the accounts receivable file.

Yes, can provide as requested/required.

No, cannot provide as requested/required.

***Comment:***

* 1. **Collateral Requirements:**

1. COLLATERALIZATION – The successful proposer shall pledge collateral to satisfy the requirements of the Public Funds Collateral Act, Chapter 2257, Texas Government Code, and the College’s Investment Policy. Ledger balance shall determine the total balance level. The successful proposer shall pledge collateral equal to or in excess of the required level of 102% on a same day basis. Irrevocable Federal Home Loan Bank (FHLB) letters of credit are acceptable as pledged collateral.

Yes, can provide as requested/required.

No, cannot provide as requested/required.

***Comment***:

1. Collateral Amount – The maximum ledger balances could exceed $20,000,000 in the aggregate. Historically, the average balances are less than $15,000,000 and could be as low as $5,000,000. Proposer must clearly explain any collateral limitations or fees. The College reserves the right to maximize or minimize bank balances regardless of historical patterns. The successful proposer must monitor the collateral adequacy on a daily basis and provide additional collateral to secure balances as required.

Yes, can provide as requested/required.

No, cannot provide as requested/required.

***Comment*:**

1. Custody/Safekeeping – The pledged securities shall be held in safekeeping at an independent custodian acceptable to both the College and the successful proposer. The original copy of all pledge receipts shall be filed with the College’s Treasurer. Proposer must provide the name of the proposed independent custodian as well as any related fees.

Yes, can provide as requested/required.

No, cannot provide as requested/required.

***Comment*:**

1. Collateral Substitution – Substitutions of the pledged securities will be permitted as provided for in the College’s Investment Policy. Reductions in the total amount pledged shall be made only by and with the proper written authorization of an authorized College signatory. The College shall approve, in advance and in writing, all proposed collateral. In the case of reduction requests, the successful proposer shall provide in writing that collateral shall be available when needed to meet balance increases throughout the term of any agreement resulting from this RFP.

Yes, can provide as requested/required.

No, cannot provide as requested/required.

***Comment*:**

1. Collateral Report – The successful proposer **and** the custodial bank shall provide the College a monthly pledged securities report or additional reports at any time requested by the College. The report must describe the total pledged securities by:

Name

Type / Description

CUSIP

Par Value

Current Face Value

Market Value

Maturity Date

Rating by Moody’s or Standard & Poor’s

Yes, can provide as requested/required.

No, cannot provide as requested/required.

***Comment:***

1. Board Resolution – The Board of Directors or designated committee of the successful proposer shall be required to provide a Financial Institutions Reform, Recovery, and Enforcement Act of 1989 (“FIRREA”) compliant resolution of certification approving the award of the agreement and commitment for delivery of the collateral to the custodian not later than five days before the commencement of services. The following is an extract of the FIRREA requirement from the Federal Deposit Insurance Corporation (“FDIC”) Code:

e)  AGREEMENTS AGAINST INTERESTS OF CORPORATION.--   
    (1)  IN GENERAL.--No agreement which tends to diminish or defeat the interest of the Corporation in any asset acquired by it under this section or section 11, either as security for a loan or by purchase or as receiver of any insured depository institution, shall be valid against the Corporation unless such agreement--   
      (A)  is in writing,   
      (B)  was executed by the depository institution and any person claiming an adverse interest thereunder, including the obligor, contemporaneously with the acquisition of the asset by the depository institution,   
      (C)  was approved by the board of directors of the depository institution or its loan committee, which approval shall be reflected in the minutes of said board or committee, and   
      (D)  has been, continuously from the time of its execution, an official record of the depository institution

Yes, can provide as requested/required.

No, cannot provide as requested/required.

***Comment:***

* 1. **Investment Activities:** The Public Funds Investment Act, in conjunction with the College’s Investment Policy, shall govern the College’s investment activity and the successful proposer shall be required to provide services within the constraints of both. Proposers must complete the attached PFIA Certification that acknowledges that they have reviewed the College’s Investment Policy.

1. Direct Investment Alternative – The College’s direct investment activities may take place in any and all the College accounts. The College shall have the right, at its sole discretion, to direct investment of its funds. The successful proposer shall be required to provide clearing and safekeeping services for the College’s investment activity. Interest earnings on interest bearing accounts shall be credited monthly regardless of the amount, with no minimum amount restriction. The Investment Policy outlines the College’s options for investing. The Investment Policy is subject to annual review and revision by the College’s Board of Trustees.

Yes, can provide as requested/required.

No, cannot provide as requested/required.

***Comment:***

1. Certificates of Deposit – Certificates of Deposit (“CDs”) purchased for the College shall be non-negotiable and shall be registered in the name of the College. The CDs must be fully insured by the FDIC or collateralized in accordance with the RFP requirements. Proof of collateral must be supplied to the College prior to CD settlement.

Extension of CDs – The successful proposer agrees to honor and continue any CD made during the term of any agreement resulting from this RFP that will mature after the expiration date of such agreement at the same rate established at the time of placement.

Yes, can provide as requested/required.

No, cannot provide as requested/required.

***Comment:***

1. Certificates of Deposit $250,000 (or more): Proposer must provide the basis or formula for determining the interest rate.

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Term** |  | **Floor Rate** |  | **Minimum $** |  | **Maximum $** |
| 7 to 29 days |  |  |  |  |  |  |
| 30 to 59 days |  |  |  |  |  |  |
| 60 to 89 days |  |  |  |  |  |  |
| 90 to 119 days |  |  |  |  |  |  |
| 120 to 149 days |  |  |  |  |  |  |
| 150 to 179 days |  |  |  |  |  |  |
| 180 to 269 days |  |  |  |  |  |  |
| 270 to 364 days |  |  |  |  |  |  |
| 1 to 2 years |  |  |  |  |  |  |
| 2 to 3 years |  |  |  |  |  |  |

1. InterestRates:

The College is interested in your highest paying Money Market, High Yield Savings, and/or NOW Accounts and prefers that the interest rate be indexed to a published rate such as the 90-day T-Bill with a stated floor.

If rate is an unpublished Bank Managed rate please type MANAGED in the Indexed to column.

Please complete the table below to provide the interest rate information:

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
|  |  | Indexed to | Base Rate on June 1, 2016 | Variable Component (bps) | Total Rate on June 1, 2016 | Floor |
|  |  |  |  |  |  |  |
| Money Market Account | |  |  |  |  |  |
|  |  |  |  |  |  |  |
| High Yield Savings Account | |  |  |  |  |  |
|  |  |  |  |  |  |  |
| NOW Account | |  |  |  |  |  |

1. Earnings Credit Rate:

Please explain the rate basis for your Earnings Credit Rate (if applicable):

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
|  |  | Indexed to | Base Rate on June 1, 2016 | Variable Component (bps) | Total Rate on June 1, 2016 | Floor |
|  |  |  |  |  |  |  |
| Earnings Credit Rate | |  |  |  |  |  |

* 1. **Overdraft Provisions:**

1. Net overdraft defined – The College does not intend to have a net overdraft position occur during the term of the agreement. A net overdraft shall be defined as a negative balance in the College’s accounts **collectively**, not by individual account.

Yes.

No

***Comment:***

1. Notification – In the event a check or checks shall be presented for payment where there are insufficient funds in College’s collective accounts, the successful proposer agrees to promptly notify the College’s Director of Treasury Operation or Designee, by telephone or other means, of the overdraft condition, and to provide the College a period not exceeding one business day to respond and rectify the condition.

Yes, can provide as requested/required.

No, cannot provide as requested/required.

***Comment:***

1. Stipulations – Should a net overdraft condition occur, the following shall apply:

Maximum number of banking days the overdraft shall be allowed:

Maximum amount of the overdraft:

Interest rate per annum computed on the overdraft:

***Comment:***

* 1. **Other Stipulations:**

1. Regulation Notifications – The successful proposer shall notify the College in writing within thirty (30) days of any changes in federal or state regulations, or laws that would affect any agreement resulting from this RFP.

Yes, can provide as requested/required.

No, cannot provide as requested/required.

***Comment:***

1. INCOMING WIRE TRANSFERS – Notification of incoming wire transfers shall be made by - email (via online banking) to the College’s Director of Treasury Operation or Designee within one hour of the transaction and a written confirmation mailed to the College the same day of the transaction.

Yes, can provide as requested/required.

No, cannot provide as requested/required.

***Comment:***

1. Right to cancel under Federal or State Law rulings – In the event it would be ruled illegal under the provisions of any federal or state laws or regulations for the successful proposer to comply with the requirements of this RFP or any resulting agreement, then the College expressly reserves the right and privilege to cancel the agreement and to re-solicit proposals.

Yes, can provide as requested/required.

No, cannot provide as requested/required.

***Comment:***

1. Access to Bank Records – The successful proposer’s records relating to the College’s accounts shall be open for review during normal business hours by designated College staff members or appointed independent auditors.

Yes, can provide as requested/required.

No, cannot provide as requested/required.

***Comment:***

1. Right to Open & Maintain other accounts – The College reserves the right to open and maintain one or more demand accounts at financial institutions not affiliated with the successful proposer.

Acknowledged

***Comment:***

1. BANK DEPOSITORY SERVICES AGREEMENT – The College **requires** that the successful proposer execute a Bank Depository Services Agreement that is substantially the same as the one included as Exhibit 3 of this RFP.

Yes, can provide as requested/required.

No, cannot provide as requested/required.

***Comment:***

1. ALTERNATE PRIMARY BANK DEPOSITORIES – The College intends to maintain primary alternate banking relationship. Would the proposer consider entering into this relationship?

Yes, can provide as requested/required.

No, cannot provide as requested/required.

***Comment:***

1. Right to terminate – The College expressly reserves the right to terminate any agreement resulting from this RFP with or without cause at any time by providing ninety (90) days written notice to the successful proposer to close its accounts.

Acknowledged

***Comment:***

1. Terms fixed – All fees, rates (including floor rates), and conditions shall be fixed for the entire term, including any and all extensions.

Yes, can provide as requested/required.

No, cannot provide as requested/required.

***Comment:***

1. One relationship officer – The College requests **one** relationship manager to coordinate the successful proposer’s efforts and remain directly responsible for facilitating all College/proposer interaction:

|  |  |  |  |
| --- | --- | --- | --- |
| **Description** | **Name** | **Title** | **Phone** |
| Relationship Officer |  |  |  |

* 1. **Miscellaneous:**

1. Semi-annual meeting – The College shall require a review meeting at least once every six months to evaluate the working relationship between the College and the successful proposer. The objective shall be to address any problems and to seek solutions as well as keeping abreast of changes, new services, or new requirements.

Yes, can provide as requested/required.

No, cannot provide as requested/required.

***Comment:***

1. Formal Agreement Required – The final appointment of the successful proposer shall be subject to approval by the Houston Community College Board of Trustees. The successful proposer shall be required to enter into an agreement that incorporates all of the requirements of proposer’s official response to this RFP, along with the accompanying related schedules and materials as required by this RFP. Required attachments include: collateral custodial agreement, FIRREA bank certification, and PFIA investment provider certification.

Yes, can provide as requested/required.

No, cannot provide as requested/required.

***Comment:***

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# PROPOSAL SUBMITTED BY

This proposal is being submitted to the College by the following person duly authorized to act on behalf of this proposer.

Name of Financial Institution       FDIC Certificate #

Address of Financial Institution

Telephone #

Email Address

Officer Name & Title (printed)

Officer Signature \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Signature indicates respondent accepts the specifications, terms and conditions of this RFP and that proposer is not delinquent on any payment due the College or involved in any lawsuit against the College.

Date:

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**Section 2 – Bank Services Fee Schedule**

1. **Instructions**

Proposer must complete this section in its entirety, and may supplement this section with additional pages as to provide HCC with a more detailed breakdown, backup and/or options of related cost associated with the services being solicited in this solicitation. The Total Cost for the solution provided must be a turnkey cost inclusive of but not limited to travel and living expenses.

1. **May 2016 Fee Schedule**

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| ***NOTE: Please include UNIT PRICE for each listed item, even if no ACTIVITY is listed. Also, highlight changes to item descriptions or measurement units in written and electronic responses.***   |  | | --- | |  | |  |  |  |  |  |
| (Monthly Activity from May 2016 Account Analysis) | | | | | |
|  |  |  |  |  |  |
|  | **NUMBER OF** |  | **UNIT** |  | **SERVICE** |
| **SERVICE** | **UNITS** |  | **PRICE** |  | **CHARGE** |
| **BALANCE RELATED SERVICES** |  |  |  |  |  |
| DEP INSURANCE-BANK ASSESSMENT | 9,068,108 |  |  |  | - |
| **DEPOSITORY SERVICES** |  |  |  |  |  |
| ACCOUNT MAINTENANCE | 11 |  |  |  | - |
| BANKING CENTER DEPOSIT | 19 |  |  |  | - |
| VAULT DEPOSIT | 428 |  |  |  | - |
| DEBITS POSTED-OTHER | 4 |  |  |  | - |
| PAPER DEPOSIT STATEMENT MAILED | 16 |  |  |  | - |
| TFR MASTER ACCT MAINT | 1 |  |  |  | - |
| TFR SUBSIDIARY ACCT MAINT | 3 |  |  |  | - |
| DEPOSITORY+ SUB ACCT MAINT | 3 |  |  |  | - |
| RETURNS-CHARGEBACK | 1 |  |  |  | - |
| CKS DEP UN-ENCODED ITEMS | 44 |  |  |  | - |
| STOP PAY AUTOMATED<=12 MONTHS | 137 |  |  |  | - |
| DEBITS POSTED-ELECTRONIC | 71 |  |  |  | - |
| CREDITS POSTED-OTHER | 3 |  |  |  | - |
| CREDITS POSTED-ELECTRONIC | 516 |  |  |  | - |
| GEN DISB CKS PD-IS FRONT IMG | 165 |  |  |  | - |
| CHECK DEPOSIT-ICL OR RDSO | 226 |  |  |  | - |
| IMAGE DEPOSITED ITEMS-RDSO | 993 |  |  |  | - |
| CPO STOP PAYMENT CANCEL | 123 |  |  |  | - |
| **COMMERCIAL DEPS-CASH VAULT** |  |  |  |  |  |
| CURR/COIN DEP/$100-BKG CTR | 259 |  |  |  | - |
| CURR/COIN DEP/$100-VLT | 3,408 |  |  |  | - |
| CURRENCY SUPP/$100-NONSTD-VLT | 13 |  |  |  | - |
| COIN SUPPLIED/ROLL-VLT | 90 |  |  |  | - |
| COIN SUPP/ROLL-BOX-VLT | 50 |  |  |  | - |
| FAX NOTIFICATION-DCN-VLT | 1 |  |  |  | - |
| CHANGE ORDER-AUTO-VLT | 3 |  |  |  | - |
| **GENERAL ACH SERVICES** |  |  |  |  |  |
| ACH OPTIONAL RPTS-ELECTRONIC | 35 |  |  |  | - |
| ACH DELETE/REVERSAL | 2 |  |  |  | - |
| ACH RETURN ITEM | 61 |  |  |  | - |
| ACH TRANSMISSION SETUP/TEST | 1 |  |  |  | - |
| ACH MONTHLY MAINTENANCE | 10 |  |  |  | - |
| ACH INPUT-ECHANNEL | 3 |  |  |  | - |
| ACH INPUT-FILE | 67 |  |  |  | - |
| ACH BLOCKS AUTH INSTRUCTIONS | 16 |  |  |  | - |
| ACH BLOCKS AUTH MAINTENANCE | 10 |  |  |  | - |
| ACH ORIGINATED ADDENDA | 2,023 |  |  |  | - |
| DELETE/REVERSAL BATCH/FILE | 1 |  |  |  | - |
| ACH NOTIF OF CHANGE (NOC) | 12 |  |  |  | - |
| ACH STANDARD REPORTS-FAX | 13 |  |  |  | - |
| ACH STANDARD RPTS-ELECTRONIC | 20 |  |  |  | - |
| ACH CONSUMER ON US CREDITS | 2,518 |  |  |  | - |
| ACH CONSUMER OFF US CREDITS | 10,000 |  |  |  | - |
| ACH CONSUMER ON US DEBITS | 232 |  |  |  | - |
| ACH CONSUMER OFF US DEBITS | 1,235 |  |  |  | - |
| ACH CORPORATE ON US CREDITS | 329 |  |  |  | - |
| ACH CORPORATE OFF US CREDITS | 1,694 |  |  |  | - |
| ACH CREDIT RECEIVED ITEM | 500 |  |  |  | - |
| ACH DEBIT RECEIVED ITEM | 120 |  |  |  | - |
| **CONTROLLED DISBURSEMENTS** |  |  |  |  |  |
| CONTROLLED DISB MAINTENANCE | 2 |  |  |  | - |
| CONT DISB CKS PAID-TRUNCATED | 644 |  |  |  | - |
| CONT DISB-FUNDING CREDITS | 26 |  |  |  | - |
| **WIRE TRANSFER** |  |  |  |  |  |
| CPO GP MTHLY MAINT BASIC | 1 |  |  |  | - |
| ELEC WIRE OUT-DOMESTIC | 13 |  |  |  | - |
| ELEC WIRE OUT-BOOK DB | 2 |  |  |  | - |
| INCOMING DOMESTIC WIRE | 14 |  |  |  | - |
| WIRE ADVICE-MAIL | 1 |  |  |  | - |
| CPO GP CUST MNT TEMP STORAGE | 19 |  |  |  | - |
| BOOK CREDIT | 1 |  |  |  | - |
| **ACCOUNT RECONCILIATION** |  |  |  |  |  |
| ARP FULL PPAY MAINT PAPER RPT | 6 |  |  |  | - |
| ARP FULL PPAY INPUT PER ITEM | 929 |  |  |  | - |
| ARP RECON TRANS END OF CYCLE | 3 |  |  |  | - |
| ARP VOID CANCEL ITEMS | 28 |  |  |  | - |
| POSITIVE PAY EXCEPTIONS | 3 |  |  |  | - |
| ARP PPAY MAINT-NO RECON | 6 |  |  |  | - |
| ARP POS PAY RETURN DEFAULT | 1 |  |  |  | - |
| **INFORMATION SERVICES** |  |  |  |  |  |
| CPO ARP POSITIVE PAY NOTIF | 103 |  |  |  | - |
| CPO ONLINE SUBSCRIPTION | 1 |  |  |  | - |
| CPO PREM IR MAINTENANCE | 1 |  |  |  | - |
| CPO PREM PDR ACCOUNT | 17 |  |  |  | - |
| CPO PREM PDR ITM STORED | 5,292 |  |  |  | - |
| CPO PREM CDR ACCOUNT | 16 |  |  |  | - |
| CPO PREM CDR ITEM | 3,568 |  |  |  | - |
| CPO PREM RESEARCH ITEM | 1,588 |  |  |  | - |
| CPO PREM RESEARCH ITEM | 100 |  |  |  | - |
| CPO PER IMAGE ACCESS | 19 |  |  |  | - |
| CPO PER IMAGE ACCESS | 10 |  |  |  | - |
| GCS TRANSACTION HISTORY | 2 |  |  |  | - |
| **EDI SERVICES** |  |  |  |  |  |
| EDI REPORT PER ACCOUNT | 1 |  |  |  | - |
| CPC REC INVOICE VOLUME | 191 |  |  |  | - |
| CPC REC CASH PRO MONTHLY MAINT | 1 |  |  |  | - |
| **CASHPAY SERVICES** |  |  |  |  |  |
| CASHPAY ATM WD DOMESTIC | 203 |  |  |  | - |
| **SAFEKEEPING & SEC. CLEARINGS** |  |  |  |  |  |
| SAFEKEEPING ACCOUNT MAINT | 1 |  |  |  | - |
| SAFEKEEPING OF ASSETS-RECEIPT | 1 |  |  |  | - |
| $1,000 PAR VALUE | 1,000 |  |  |  | - |
| NEXT $4,000,000 PAR VALUE | 605 |  |  |  | - |
| **REMOTE DEPOSIT SERVICES** |  |  |  |  |  |
| REMOTE DEP-ACCOUNT MAINTENANCE | 1 |  |  |  | - |
| REMOTE DEP CK IMAGE PROCESSING | 1,213 |  |  |  | - |
| RDSOL-ITEM STORAGE | 47,405 |  |  |  | - |
| MED VOLUME SCANNER MAINT | 18 |  |  |  | - |
| **IMAGE** |  |  |  |  |  |
| CD ROM MAINTENANCE | 3 |  |  |  | - |
| CD ROM PER IMAGE | 809 |  |  |  | - |
| CD ROM DISK | 3 |  |  |  | - |
| IMAGE ARCHIVE-90 DAYS | 678 |  |  |  | - |
| IMAGE MAINTENANCE CPO | 13 |  |  |  | - |
| IMAGE RETRIEVAL CPO | 42 |  |  |  | - |
| **MISCELLANEOUS** |  |  |  |  |  |
| CHECK COPY | 3 |  |  |  | - |
| NONRELATIONSHIP CUST CK CASHED | 15 |  |  |  | - |
|  |  |  |  |  |  |
| TOTAL SERVICE CHARGES |  |  |  |  | - |
|  |  |  |  |  |  |
| Collected Balances/Earnings Credit |  |  |  |  |  |
| Formula |  |  |  |  |  |
|  |  |  |  |  |  |
|  |  |  |  |  |  |
| Current Rate | 0.00% |  |  |  |  |
| Average Collected Balance | $ 7,300,000 |  |  |  |  |
| Less Reserve Requirement | 0 |  |  |  |  |
| Investable Balance | 7,300,000 |  |  |  |  |
| Estimated Earnings Credit per Month |  |  |  |  | - |
|  |  |  |  |  |  |
| Checking/Sweep Account Interest Rate |  |  |  |  |  |
| Formula |  |  |  |  |  |
|  |  |  |  |  |  |
|  |  |  |  |  |  |
| Current Rate | 0.00% |  |  |  |  |
| Average Collected Balance | $ 7,300,000 |  |  |  |  |
| Estimated Monthly Earnings | 0 |  |  |  |  |
| Less Sweep Fee |  |  |  |  |  |
| Net Estimated Monthly Earnings |  |  |  |  | - |
|  |  |  |  |  |  |

1. **Price Evaluation**

Price points shall be calculated based on the following formula:

Lowest Total Proposed Cost/Proposer’s Total Proposed Cost X Available Price Points = Price Score

1. **Price Proposal Signature**

The information in this RFP is to be utilized solely for preparing the proposal response to this RFP and does not constitute a commitment by HCC to procure any product or service in any volume.

|  |  |
| --- | --- |
| Name: |  |
| Title: |  |
| Date: |  |
| Signature: |  |

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**Section 3 – Proposal Evaluations**

1. **Evaluation Criteria**

An Evaluation Committee (“Committee”) will review all proposals to determine which proposers have qualified for consideration according to the criteria stated herein. The Committee’s evaluations will be based on all available information, including qualification statements, subsequent interviews, if necessary, reports, discussions, reference checks, and other appropriate checks. The highest rated proposer(s) evaluated by the Committee may be invited to make an oral presentation of their written proposal to the Committee.

Proposals will be evaluated using the following criteria:

|  |  |
| --- | --- |
| **Evaluation Criteria** | **Available Points** |
| Firm’s Qualification/Experience and Qualifications of Personnel/Team  (Section 4.5.c - Tab 1) | **20** |
| Proposed Approach and Methodology  (Section 4.5.e - Tab 3) | **25** |
| Past Performance & References  (Section 4.5.f - Tab 4) | **20** |
| Price Proposal  (Section 4.5.g - Tab 5) | **35** |
| **Total Points** | **100** |

**Additional Criteria:**

1. Financial strength and stability of institution; **Tab 7**
2. Completeness of proposal and agreement to points outlined in the RFP; **Tab 9**
3. Ability to perform and provide the required and requested services; **Tab 3 & 4**
4. Reputation of proposer and quality of services; **Tab 1**
5. Cost of services; **Tab 5**
6. Earnings credit calculation on compensating balances; **Tab 5**
7. Transition cost, retention and transition offers and incentives; **Tab 5**
8. Funds availability; **Tab 5**
9. Interest paid on interest bearing accounts and deposits; **Tab 5**
10. Convenience of location(s); and **Tab 8**
11. Previous service relationship with the College. **Tab 4**
12. **Eligibility for Award**

In order for a proposer to be eligible to be awarded the contract, the proposal must be responsive to the solicitation and HCC must be able to determine that the proposer is responsible and has the resources and capacity to perform the resulting contract satisfactorily. Responsive proposals 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. Proposals, which do not comply with all the terms and conditions of this solicitation, will be rejected as non-responsive.

1. Responsible proposers, at a minimum, must meet the following requirements:
   * 1. Have adequate financial resources, or the ability to obtain such resources as required during the performance of any resulting contract;
     2. Be able to comply with the required performance schedule, taking into consideration all existing business commitments;
     3. Have a satisfactory record of past performance;
     4. Have necessary personnel and management capability to perform any resulting contract;
     5. Be qualified as an established firm regularly engaged in the type of business necessary to fulfill the contract requirements;
     6. 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; and
     7. Be otherwise qualified and eligible to receive an award under applicable laws and regulations.
2. Proposer(s) may be requested to submit additional written evidence verifying that the firm meets the minimum requirements described above and as necessary, to perform the requirements of the solicitation and be determined a responsible proposer. Failure to provide any requested additional information may result in the proposer being declared non-responsive and the proposal being rejected.
3. A person is not eligible to be considered for award of this solicitation or any resulting contract or to be a subcontractor of the proposer 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 proposers.
4. A person or proposer shall not be eligible to be considered for this solicitation if the person or proposer engaged in or attempted to engage in prohibited communications as described in Section 5.17 - Prohibited Communications and Political Contributions.
5. Only individual firms or lawfully formed business organizations may apply (This does not preclude a respondent from using subcontractors or contractors.) HCC will contract only with the individual firm or formal organization that submits a response to this RFP.

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**Section 4 – Instructions to Proposers**

1. **General Instructions**
   1. Proposers should carefully read the information contained herein and submit a complete response to all requirements and questions as directed.
   2. Proposals and any other information submitted by Proposers in response to this Request for Proposal (RFP) shall become the property of HCC.
   3. HCC will not provide compensation to Proposers for any expenses incurred by the Proposer(s) for proposal preparation or for any demonstrations that may be made, unless otherwise expressly stated. Proposers submit proposals at their own risk and expense.
   4. Proposals, which are qualified with conditional clauses, or alterations, or items, not called for in the RFP documents, or irregularities of any kind are subject to disqualification by HCC, at its option.
   5. Each proposal should be prepared simply and economically, providing a straightforward, concise description of your firm's ability to meet the requirements of this RFP. Emphasis should be on completeness, clarity of content, responsiveness to the requirements, and an understanding of HCCs needs.
   6. HCC makes no guarantee that an award will be made as a result of this RFP, and reserves the right to accept or reject any or all proposals, waive any formalities or minor technical inconsistencies, or delete any item/requirements from this RFP or resulting Agreement when deemed to be in HCCs best interest. Representations made within the proposal will be binding on responding firms. HCC will not be bound to act by any previous communication or proposal submitted by the firms other than this RFP.
   7. Firms wishing to submit a “No-Response” are requested to return the first page of the Contact Award Form (ref. Attachment No. 1). The returned form should indicate your company's name and include the words “No-Response” in the right-hand column.
   8. Failure to comply with the requirements contained in this Request for Proposal may result in the rejection of your proposal.
2. **Preparation and Submittal Instructions**

All Attachments noted are to be completed and submitted with Proposal, Attachments 1, 5 and 7 must be signed and notarized.

1. **Document Format and Content**
   1. Proposal must be signed by Proposer’s company official(s) authorized to commit such proposals. Failure to sign and return these forms will subject your proposal to disqualification.
   2. Responses to this RFP must include a response to the proposal requirements set forth in the Scope of Services, above.
   3. Proposals must be typed on letter-size (8-1/2” x 11”) paper. HCC requests that proposals be submitted in a binder. Preprinted material should be referenced in the proposal and included as labeled attachments. Sections should be divided by tabs for ease of reference. An electronic copy of the proposal must be provided in an Adobe Acrobat (.pdf) format.
   4. Table of Contents: Include with the proposal a Table of Contents that includes page number references. The Table of Contents should be in sufficient detail to facilitate easy reference of the sections of the proposal as well as separate attachments (which should be included in the main Table of Contents). Supplemental information and attachments included by your firm (i.e., not required) should be clearly identified in the Table of Contents and provided as a separate section.
   5. Pagination: All pages of the proposal should be numbered sequentially in Arabic numerals (1, 2, 3, etc.) Attachments should be numbered or referenced separately.
   6. Number of Copies: Submit one (1) original printed and one (1) electronic copy of your Proposal including all required HCC Forms and documents. An original (manual) signature must appear on the original printed copy and must be reflected in the original electronic copy. The electronic copies should be in non-editable .PDF format and should include the entire submission, including an individual separate file containing your price proposal. The front cover of the binder containing your response should be clearly marked with the Project Name and Number.
2. Proposals must be submitted and received in the HCC Procurement Operations Department on or before the time and date specified in the Solicitation Schedule.
3. The envelope containing a proposal shall be addressed as follows:
   * 1. Name, Address and Telephone Number of Proposer;
     2. Project Description/Title; Project Number; and Proposal Due Date/Time.
4. Late proposals properly identified will be returned to Proposer unopened. Late proposals will not be considered under any circumstances.
5. Telephone, Facsimile (“FAX”) or electronic (email) proposals are not acceptable when in response to this Request for Proposal.
6. **Proposer Response**

General: Your Technical Proposal should clearly define (i) your Firm’s total capacity and capabilities, (ii) your qualifications to perform the work, (iii) your ability to perform the services outlined in the Scope of Services, (iv) your understanding of HCC, and (v) what differentiates you from your competitors. At a minimum, your Technical Proposal shall include the following:

* 1. Cover letter

The cover letter shall not exceed 1 page in length, summarizing key points in the proposal and shall 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, location of company headquarters/main office, total number of employees’ company-wide and total number of employees in the State of Texas, 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 response to this RFP.**

* 1. Table of Contents

Immediately following the cover letter and introduction, include a complete table of contents for material included in the response documents.

* 1. Tab 1: Firm’s Qualification/Experience and Qualifications of Personnel and Team
     1. Qualifications & Experience of the Firm: This section should illustrate the reputation of proposer and quality of service. Provide a brief description of your firm, including the total number of supporting personnel related to providing the services of the type and kind required in this RFP.
        1. Provide firm’s principal(s) and staff commitment in providing the services required in this solicitation.
        2. Provide firm’s overall ability in providing the services required in this solicitation.
        3. Demonstrate firm’s understanding, knowledge and experience of the solicitation requirements.
        4. Provide examples of your firm civic activities including awards and recognitions.
     2. Provide a detailed list where your firm has provided services of the type and kind required in this RFP for each phase/task during the past 3 years including but not limited to public and private organizations including: state agencies, state institutions of higher education, cities, counties, school districts, junior colleges, or other special authorities and districts.

HCC may verify all information furnished. As a minimum, include the following per project experience:

* + - 1. Project Name, Location – Year Completed.
      2. Brief project description describing your experience, work performed by your firm and work subcontracted.
      3. Owner’s Name, title, and current phone number.
      4. Identify firm’s role; completion date; and contract name(s).
      5. The methods of delivery used and how the firm maintains quality control.
      6. Provide documented experience in providing the types of services described herein especially related to community or junior college experience or higher education facilities experience and with regard to accomplishment of past engagements involving services of the type and kind required in this RFP. List if firm was prime or subcontractor.

This section should also discuss the proposed designated staff of the responding firm (key personnel) committed to HCC and providing the services described in this solicitation.

* + 1. Key Personnel: Identify key personnel that would be assigned to HCC and that will provide the services described in the Scope of Services for each phase/task. Include an organizational chart, which identifies key personnel and their particular roles in furnishing the services required under this RFP. Describe how the team will be organized to deliver the services defined in this RFP.
    2. Provide brief resumes (not more than one (1) page) for each key personnel. The resumes must clearly specify the number of years the personnel has been providing the type of services as described in this RFP.

Please include the following:

* + - 1. A brief description of their unique qualifications, experience and education as it pertains to services of the type and kind required in this RFP.
      2. Availability and commitment of the respondent, its principal(s) and assigned professionals to undertake the services described in this RFP.
      3. Personnel’s job functions, role, percent of time to be assigned to this account and physical office location.
      4. Designate the individual, who is authorized to sign and enter into any resulting contract.
      5. Provide a list of similar accounts where they have provided services of the type and kind required in this solicitation and include detailed description of their particular role in the account and length of time on the account.
  1. Tab 3 – Proposed Approach & Methodology

This section should describe and discuss your proposed approach and methodology in providing the services of the type and kind required in this RFP. By reading the proposed approach and methodology overview, HCC must be able to gain a comfortable grasp and clear understanding of the level of services to be provided and the methods proposed by the firm to provide them. A detailed explanation shall be included to understand how the services comply with the requirements of this RFP.

* + 1. Proposer shall respond to all requirements and questions noted in Section 1.
    2. Provide a detailed implementation plan with projected start and end dates of completion for each task of each phase/task from delivery of service to HCC. List any required HCC resources or expectations needed in order to meet the proposed timeline.
    3. Proposer must provide an approach and methodology overview which consists of a concise and detailed description of the requested services proposed in response to this RFP and the ability to perform and provide the required and requested services.
    4. HCC intends that each proposer provide a detailed and comprehensive description of all services that the proposer will provide if it enters into a contract pursuant to the RFP.
    5. Quality: Please identify the key metrics you propose to use to measure your performance in delivering services of the type and kind required in this RFP to HCC. Your response should indicate the frequency of the measurement, how it will be used to continually improve performance, and how this information will be shared with HCC. Your response should include how do you measure and monitor quality of work, ensure delivery is met, and how problems are tracked, escalated (if required) both internally and with the customer.
    6. Customer Satisfaction: How do you measure and monitor customer satisfaction; describe the method used, frequency, and how results are reported.
    7. Capabilities and Capacity: Proposer shall clearly define its in-house capability and capacity to perform the work identified in the Scope of Services of this RFP. Your response must describe the various technologies, tools, methods, and technical expertise that you will provide to HCC and/or that will be used in the delivery of the services and how that will be of benefit in the delivery of services to HCC.
  1. Tab 4 - Past Performance and References

This section should establish the ability of the respondent (and its sub-consultant), if any to satisfactorily perform the required work.

* + 1. Provide contact information for the list of accounts noted in Tab 1 above, HCC may verify all information furnished. The list of accounts should include accounts that demonstrate the ability to perform and provide the required and requested services in the RFP.
    2. Describe lessons learned from previous clients for services of the type and kind required in this RFP that were not successful and what steps your firm has taken to effectively identify and mitigate from recurring.
    3. Demonstrate the capability and successful past performance of the firm with respect to producing high quality services, maintaining good working relations for services of the required in this RFP.
    4. Provide a list of all contracts that may have ended during the past 3 years; including contracts that may have been terminated or not renewed when a renewal was available. Include a detailed explanation of the circumstances related therein for any such contracts noted.
    5. Provide a list of any work or previous service relationship that your firm may have completed for Houston Community College during the past 3 years, including a detailed description of the work effort, performance and define if the work was completed as a contractor directly with HCC or as a subcontractor under an engagement.
    6. Provide letters of recommendations from other public junior or community colleges or higher education clients or other relevant references listing recently completed engagements for the services of the type and kind required in this RFP.
  1. Tab 5 – Price Proposal

The Proposer/Contractor shall furnish all resources and services necessary and required to provide the services of the type and kind required in this RFP, in accordance with the Scope of Services, and the governing terms and conditions for the proposed price(s) listed in Section 2 – Price Proposal.

* + 1. Please include a description of any discount offered to HCC and an outline of any other fees or charges.
    2. Please provide the following:

(a) Cost of services;

(b) Funds availability

(c) Interest paid on interest bearing accounts and deposits

(d) Earnings credit calculation on compensating balance and transition cost retention and transition offers and incentives.

* + 1. For the purposes of this RFP, Houston Community College will review the overall rate structure to evaluate its reasonableness for the anticipated work. Failure to fully disclose any fees or cost and to comply with the requirements herein may be cause for HCC to reject, as non-compliant, a proposal from further consideration.
  1. Tab 6 - Small Business Practices

This section shall include a clear statement of the firm’s commitment and plan to meet the small business goal specified in this solicitation, if any.

* + 1. Describe your previous experience, involvement and approach in working with certified Small Business firms; including level of effort, division of duties and providing opinions. Provide a statement detailing small business participation commitment.
    2. For this solicitation HCC has a small business participation goal of Best Effort.
    3. At a minimum, your response must include: (a) Firm’s commitment to meeting the small business participation goal for the solicitation (b) a description of previous engagements where your firm has successfully subcontracted work to small businesses including the percentage (%) of work subcontracted to these firms under each engagement; (c) a narrative outlining your overall approach to subcontracting and how you will solicit small businesses for participation as part of this solicitation; and (d) indicate what challenges you anticipate in attaining HCC’s goal.
    4. Describe your company’s process for the selection of subcontractors in accordance with the statutory procedures required for the solicitation of subcontractors, including your process for evaluating subcontractors’ performance while also incorporating a Small Business Development Program.
    5. Provide a reference list of all customers noted in Tab 4 above that included a Small Business or similar program where you have performed work similar to the type of work described in this RFP. Provide the contact person and the representative who served as the Small Business Development liaison (or equivalent), telephone number and email address.
  1. Tab 7 - Firm’s Financial Status
     1. This section should demonstrate financial strength and stability of institution. Please provide a statement from the president, owner or financial officer on company letterhead certifying that the company is in good financial standing and current in payment of all taxes and fees including but not limited to state franchise fees.
     2. Is your company currently in default on any loan agreement or financing agreement with any bank, financial institution, or other entity? If yes, specify date(s), details, circumstances, and prospects for resolution.
  2. Tab 8 – Business Relationship Strength

“Business Relationship Strength” for the purpose of this RFP 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. Respondent’s Statement of Qualification 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:

* + 1. your definition of a mutually successful “relationship” between your firm and HCC; and
    2. 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, at the discretion of HCC, become features of the awarded contract and shall guide the HCC-Contractor relationship for the duration of the contract
  1. Tab 9 – Required Attachments

This section shall include all Attachments noted in Section 6, all forms shall be completed, signed and submitted with Proposal and completeness of proposal and agreement to points outlined in the RFP. Attachments 1, 5 and 7 must be signed and notarized.

*Balance of page intentionally left blank.*

**Section 5 – General Information**

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

1. **General Information**

Houston Community College's service area is Houston Independent School District, Katy, Spring Branch, Alief Independent School Districts, Stafford Municipal District, and the Fort Bend portion of Missouri City. The System is accredited by the Commission on Colleges of the Southern Association of Colleges and Schools to award the associate degree.

Houston Community College serves its students each semester, by offering associate degrees, certificates, academic preparation, workforce training, and lifelong learning opportunities that prepares students in our diverse community to compete in an increasingly technological and international society. Houston Community College plays an integral role in transforming the lives of its students and making our community work.

More information regarding HCC can be found in the annual [HCC Fact Book.](http://www.hccs.edu/district/about-us/oir/hcc-fact-book/)

*HCC Mission* - Houston Community College is an open-admission, public institution of higher education offering a high-quality, affordable education for academic advancement, workforce training, career development, and lifelong learning to prepare individuals in our diverse communities for life and work in a global and technological society.

*HCC Vision* - Houston Community College will be a leader in providing high quality, innovative education leading to student success and completion of workforce and academic programs. We will be responsive to community needs and drive economic development in the communities we serve.

Additional information about Houston Community College may be found by visiting [HCC Website](http://www.hccs.edu/).

Visit the [HCC Procurement Operations Department website](http://www.hccs.edu/district/departments/procurement/) to get more information on this and other business opportunities. While at our website we invite you to [Register as a Vendor](https://hccs.sbecompliance.com/FrontEnd/StartRegistry.asp?TN=hccs&XID=2722), if already registered, please confirm your contact information is current.

1. **Overview**

The Houston Community College, (“HCC”) or (“College”) is seeking proposals from qualified firms in accordance with the Scope of Services noted above. Qualified respondents are invited to submit a written response outlining your qualifications and willingness to provide the services as described in the Scope of Services, and in accordance with the terms, conditions and requirements set forth in the Request for Proposal (RFP). The successful proposer will provide the scope of services in accordance with all applicable laws, regulations and professional standards.

HCC reserves the right to make single, multiple or no award for the services described herein and as deemed in its own best interests.

HCC reserves the right to reject any or all proposals or to accept any proposals it considers most favorable to HCC, or to waive irregularities in the Request for Proposal (RFP) and submittal process. HCC further reserves the right to reject all proposals or submittals and terminate the solicitation process or seek new proposals when such procedure is reasonably in the best interest of HCC.

This RFP solicitation does not in any way obligate HCC to award a contract or pay any expense or cost incurred in the review and submission of proposals responding to this RFP.

All applicable attachments contained in the RFP shall be completed. Failure to do so may result in the firm’s proposal or submittal being declared non-responsive to the solicitation requirements.

Information provided in response to the RFP is subject to the Texas Public Information Act and may be subject to public disclosure.

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

Any exceptions taken to the terms of the RFP must be specific, and the respondent must indicate clearly what alternative is being offered to allow HCC a meaningful opportunity to evaluate and rank proposals and implications of the exception (if any).

Where exceptions are taken, HCC shall determine the acceptability of the proposed exceptions. HCC may accept or reject the exceptions. Where exceptions are rejected, HCC may insist that the respondent furnish the services described herein or negotiate an acceptable alternative.

All exceptions shall be referenced by utilizing the corresponding Section, paragraph and page number in this RFP. However, HCC is under no obligation to accept any exceptions. Respondent shall be deemed to have accepted all terms and conditions to which no exceptions have been taken.

The RFP provides information necessary to prepare and submit proposals or responses 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 proposals.

1. **Award / Contract Approval**

This Procurement, any award under this procurement, and the resulting contract, if any, is subject to approval by HCC Board of Trustees. Subsequent to Board approval, the only person authorized to commit HCC contractually is the Chancellor or designee. This solicitation is a request for proposals and neither this solicitation nor the response or proposal from any prospective proposer shall create a contractual relationship that would bind HCC until such time as both HCC and the selected proposer sign a legally binding contract, which includes, without limitation, the terms required by HCC as set forth in the Scope of Work/Services and this RFP.

1. **Pre-Proposal Meeting**

The purpose of the meeting is to briefly describe the procurement process and specifications while allowing interested firms to ask general questions. Nothing said in the pre-proposal meeting shall be binding to HCC; any changes to the requirements of this RFP shall be made by way of written solicitation amendment.

If applicable, the Pre-Proposal Meeting date and time is noted in the Solicitation Schedule (see Page 2)

1. **HCC Contact**

Any questions or concerns regarding this Request for Qualification shall be directed to the Procurement Officer listed on the cover page. HCC specifically requests that proposer restrict all contact and questions regarding this RFP to the Procurement Officer. The Procurement Officer must receive all questions or concerns no later than the date and time listed in the Solicitation Schedule.

1. **Inquiries and Interpretations**

Responses to inquiries, which directly affect an interpretation or change to this RFP, will be issued in writing by addendum (amendment) 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 proposals are received shall be considered part of the RFP, and the Proposer shall be required to consider and acknowledge receipt of such in their proposal.

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. Proposer must acknowledge receipt of all addenda in Attachment No. 1 of this RFP (Contract Award Form).

1. **Commitment**

Proposer understands and agrees that this RFP and any resulting Agreement is issued predicated on anticipated requirements for the materials or services described herein and that HCC has made no representation, guarantee or commitment with respect to any specific quantity of or dollar value to be furnished under any resulting Agreement. Further Proposer recognizes and understands that any cost borne by the Proposer, which arises from Proposer’s performance under any resulting agreement, shall be at the sole risk and responsibility of Proposer.

1. **Acquisition from Other Sources**

HCC reserves the right and may, from time to time as required by HCCs operational needs, acquire services of equal type and kind from other sources during the term of the agreement without invalidating in whole or in part, the agreement or any rights or remedies HCC may have hereunder.

1. **Vendor Registration**

The Houston Community College Procurement Operations Department has developed an online vendor application. This is designed to allow firms or individuals that are interested in doing business with HCC to register online and become part of our vendor database. Once registered, you will receive a password and personal login information that will allow you to modify your vendor information anytime a change occurs with your company. You will have the flexibility to add or delete commodity lines, update phone numbers, and contact information, etc. This database will allow HCC to notify, via email, all companies that match the desired commodity criteria for procurement opportunities within Houston Community College. What a great way to never miss out on an HCC bid or proposal opportunity again.

Please take a moment to go to the Houston Community College Procurement Operations Department website and register as a vendor. The website address to access the vendor registration form is <https://hccs.sbecompliance.com/FrontEnd/VendorsIntroduction.asp>

If you do not have internet access, you are welcome to use a computer at any HCC library to access the website and register.

1. **Obligation and Waivers**

**THIS RFP IS A SOLICITATION FOR PROPOSAL AND IS NOT A CONTRACT OR AN OFFER TO CONTRACT.**

**A PROPERLY COMPLETED VENDOR APPLICATION IS REQUIRED AND IS A CONDITON OF CONTRACT AWARD.**

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

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

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

**BY SUBMITTING A PROPOSAL, PROPOSER 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 PROPOSAL; (2) ANY REQUIREMENTS UNDER THE SOLICITATION, PROPOSAL PACKAGE, OR RELATED DOCUMENTS; (3) THE REJECTION OF ANY PROPOSAL OR ANY PART OF ANY PROPOSAL; 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 RESERVES THE RIGHT TO NEGOTIATE TERMS AND CONDITIONS INCLUDING SCOPE, STAFFING LEVELS, AND FEES WITH THE HIGHEST RANKED RESPONDER. IF AGREEMENT CANNOT BE REACHED WITH THE HIGHEST RANKED RESPONDER, HCC RESERVES THE RIGHT TO NEGOTIATE WITH THE NEXT HIGHEST RANKED RESPONDER AND SO ON UNTIL AGREEMEMENT IS REACHED. WHEN AN AGREEMENT IS REACHED, HCC WILL SUBMIT ITS RECOMMENDATIONS TO THE BOARD OF TRUSTEES FOR APPROVAL AND AWARD OF THE CONTRACT.**

**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.**

1. **Contract Award**

Award of a contract, if awarded, will be made to the proposer who (a) submits a responsive proposal; (b) is a responsible proposer; and (c) offers the best value to HCC, price and other factors considered.

A responsive proposal and a responsible proposer are those that meet the requirements of and are as described in this solicitation. HCC may award a contract, based on initial proposals received, without discussion of such proposals. Accordingly, each initial proposal should be submitted on the most favorable terms from a price and technical standpoint, which the proposer can submit to HCC. Except as otherwise may be set forth in this solicitation, HCC reserves the right to waive any informalities, non-material errors, technicalities, or irregularities in the proposal documents submitted and consider the proposal for award.

1. **Postponement of Proposals Due Date/Time:**

Notwithstanding the date/time for receipt of proposals established in this solicitation, the date and time established herein for receiving proposals may be postponed solely at HCCs discretion.

1. **Oral Presentations:**

During the process of selecting a company to provide the required services, oral presentations may or may not be held. Each proposer should be prepared to make a presentation to HCC. The presentations must show that the proposer clearly understands the requirements of the solicitation, and has a strategic plan and approach to complete the work.

1. **Small Business Development Program (SBDP):**

The Houston Community College System’s Small Business Development Program (“SBDP” or the “Program”) was created to provide business opportunities for local small businesses to participate in contracting and procurement at Houston Community College (HCC).

The SBDP is a goal-oriented program, requiring Contractors who receive Contracts from HCC to use Good Faith Efforts to utilize certified small businesses. The Program applies to all Contracts over $50,000, except Contracts for sole-source items, federally funded Contracts, Contracts with other governmental entities, and those Contracts that are otherwise prohibited by applicable law or expressly exempted by HCC. The SBDP is a race and gender-neutral program, however HCC actively encourages the participation of minority and women-owned small businesses in the SBDP.

To participate, small businesses must be certified by an agency or organization whose certification is recognized by HCC. Certification is based on the firm’s gross revenues or number of employees averaged over the past three years, inclusive of any affiliates as defined by 13 C.F.R. § 121.103, does not exceed the size standards as defined pursuant to Section 3 of the Small Business Act and 13 C.F.R. § 121.201.

HCC recognizes certification by the following governmental and private agencies: Metropolitan Transit Authority of Harris County (METRO) SBE Certification, City of Houston SBE Certification, Texas Department of Transportation SBE Certification, City of Austin SBE Certification, South Central Texas Regional Certification Agency SBE Certification, and Small Business Administration 8(a). HCC has the right to revoke acceptance of a business as a certified or qualifying small business and to conduct certification reviews.

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:

1. To the extent consistent with industry practices, divide the contract work into reasonable lots.
2. Give notice to SBDP eligible firms of subcontract opportunities or post notices of such opportunities in newspapers and other circulars.
3. Document reasons for rejecting a firm that bids on subcontracting opportunities.
4. **Prime Contractor/Contracts for Services:**

The prime contractor must perform a minimum of 30% of any contract for services with its labor force and or demonstrate management of the contract for services to the satisfaction of HCC.

1. **Internship Program:**

HCC is expanding its student internship program. All vendors are encouraged to make a commitment to utilize certain HCC student(s) in an internship capacity with the company under any resulting contract for services required under this solicitation. The selected contractor will be expected to pay the student(s) at least the minimum wage required by law. HCC will provide the selected contractor with the name of student(s) eligible to participate in the internship program.

For additional information regarding the internship program, please contact the Procurement Operations Department at 713-718-5001.

1. **Prohibited Communications and Political Contributions:**

Except as provided in exceptions below, political contributions and 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 thirty (30) days after the contract is executed by the Chancellor or his/her designee, or when a determination is made that the contract will not be awarded. 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, proposer, 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 proposers, or to disregard ethical and legal trade practices will disqualify proposers, vendors, service providers, lobbyist, consultants, and contractors from both this current and any future consideration for participation in HCC orders and contracts.

1. **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.

1. **Taxes:**

HCC is tax exempt as a governmental subdivision of the State of Texas under Section 501C (3) of the Internal Revenue Code. Limited Sales Tax Number: 1-74-1709152-1. No proposal shall include any costs for taxes to be assessed against HCC. The Contractor shall be responsible for paying all applicable taxes and fees, including but not limited to, excise tax, state and local income tax, payroll and withholding taxes for Contractor Employees. The contract shall hold HCC harmless for all claims arising from payment of such taxes and fees.

1. **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 proposer considers any information submitted in response to this request for proposal to be confidential under law or constitute trade secrets or other protected information, the proposer 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 proposer releases HCC from any liability or responsibility for maintaining the confidentiality of such documents.

1. **Appropriated Funds:**

The purchase of service or product, which arises from this solicitation, is contingent upon the availability of appropriated funds. HCC shall have the right to terminate the resulting contract at the end of the current or each succeeding fiscal year if funds are not appropriated by the HCC Board of Trustees for the next fiscal year that would permit continuation of the resulting contract. If funds are withdrawn or do not become available, HCC reserves the right to terminate the resulting contract by giving the selected contractor a thirty (30) day written notice of its intention terminate without penalty or any further obligations on the part of HCC or the contractor. Upon termination of the contract HCC shall not be responsible for any payment of any service or product received that occurs after the end of the current contract period or the effective date of termination, whichever is the earlier to occur. HCCs fiscal year begins on September 1 and ends on August 31st.

1. **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 /proposer submitting a response to this solicitation must complete (as applicable), sign and submit **Attachment No. 6, Conflict of Interest Questionnaire Form, and Attachment No. 7, 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. 6 and Attachment No. 7** shall be completed signed and returned to HCC. Enter N/A in those areas on the Attachments that are not applicable to your company. Failure to complete, sign and notarize (if applicable) these Attachments may render your proposal non-responsive.

1. **Ethics Conduct:**

Any direct or indirect actions taken to unduly influence competitive purposes, to circumvent equal consideration for competitive proposers, 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.

1. **No Third Party Rights:**

This Contract is made for the sole benefit of HCC and the Contractor and their respective successors and permitted assigns. Nothing in this Contract shall create or be deemed to create a relationship between the Parties to this Contract and any third person, including a relationship in the nature of a third party beneficiary or fiduciary.

1. **Withdrawal or Modification:**

No proposal may be changed, amended, modified by telegram or otherwise, after the same has been submitted or filed in response to this solicitation, except for obvious errors in extension. However, a proposal may be withdrawn and resubmitted any time prior to the time set for receipt of proposals. No proposal may be withdrawn after the submittal deadline without approval by HCC, which shall be based on Respondent’s submittal, in writing, of a reason acceptable to HCC.

1. **Validity Period:**

Proposals are to be valid for HCCs acceptance for a minimum of 180 days from the submittal deadline date to allow time for evaluation, selection, and any unforeseen delays. Proposals, if accepted, shall remain valid for the life of the Agreement.

1. **Terms and Conditions:**

The [HCC Terms and Conditions of Purchase Order](http://www.hccs.edu/media/houston-community-college/General-Terms-and-Conditions-of-Purchase-Orders.pdf) shall govern any Purchase Order issued as a result of this solicitation.

Bidders may offer for HCC's consideration alternate provisions to the Terms and Conditions. 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.

1. **Submission Waiver:**

By submitting a response to this Solicitation, the Offeror 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.

1. **Indemnification:**

Contractor shall indemnify, pay for the defense of, and hold harmless the College and its officers, agents and employees of and from any and all liabilities, claims, debts, damages, demands, suits, actions and causes of actions of whatsoever kind, nature or sort which may be incurred by reason of Contractor’s negligence, recklessness, or willful acts and/or omission in rendering any services hereunder. Contractor shall assume full responsibility for payments of federal, state and local taxes or contributions imposed or required under the social security, Workers' Compensation or income tax law, or any disability or unemployment law, or retirement contribution of any sort whatever, concerning Contractor or any employee and shall further indemnify, pay for the defense of, and hold harmless the College of and from any such payment or liability arising out of or in any manner connected with Contractor’s performance under this Agreement.

1. **Delegation:**

Unless delegated, HCC Board of Trustees must approve all contracts valued at over $100,000. The Board has granted the Chancellor authority to initiate and execute contracts valued up to $100,000. The procurement of goods and services, including professional services and construction services shall be completed as per any applicable HCC policy and procedure and shall be in accordance with Section 44.031 of the Texas Education Code for the purchase of goods and services, Section 2254 of the Texas Government Code for the purchase of Professional and Consulting Services, and Section 2269 of the Texas Government Code for the purchase of construction services. The Board delegates its authority to the administration and the designated evaluation committee to evaluate score and rank the proposals. This includes the evaluation of all bids, proposals, or statements of qualification under procurement, regardless of contract amount, including the final ranking and selection which shall be made on the evaluation and scoring as per the published selection criteria and the final evaluation ranking. The Board of Trustees shall approve the final award of contracts to the firm based on the published selection criteria and as evidenced in the final evaluation, scoring and ranking.

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**Section 6 – Required Attachments**

**Proposers shall complete all noted Attachments and submit with Proposal, Attachments 1, 5 and 7 must be signed and notarized.**

|  |  |
| --- | --- |
| **Attachment Number** | **Attachment Title** |
| Attachment No. 1 | Contract Award Form |
| Attachment No. 2 | Determination of Good Faith Effort Form |
| Attachment No. 3 | Small Business Unavailability Certificate |
| Attachment No. 4 | Contractor & Subcontractor Participation Form |
| Attachment No. 5 | Proposer’s Certifications |
| Attachment No. 6 | Conflict of Interest Questionnaire |
| Attachment No. 7 | Financial Interests and Potential Conflicts of Interests |
| Attachment No. 8 | PFIA Certification Form |
| Attachment No. 9 | Response Attachments |

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**ATTACHMENT NO. 1**

**CONTRACT AWARD FORM**

**HCC PROJECT NO. RFP 16-38**

**PROJECT TITLE: RFP 16-38 – Bank Depository Services**

**PROJECT NO.: RFP 16-38**

**Name of Bidder/Contractor: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Federal Employer Identification Number: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ (Note: please refer to Section 5.9 Vendor Registration)**

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

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

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

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

In compliance with the requirements of this Request for Proposal for providing \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_, the undersigned hereby proposes to furnish all necessary resources required to perform the services in accordance with the Technical Proposal and Price Form 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 and any and all amendments issued by HCC and made a part of this solicitation as set forth or referenced in this solicitation. The undersigned understands and agrees that any award resulting from this offer will be made in the form of an HCC Purchase Order and will have the following order of precedence: 1) HCC Terms and Conditions of Purchase Order, 2) HCC referenced solicitation including all amendments issued by HCC, 3) the RFP response as accepted and awarded by HCC. The undersigned further certifies that he/she is legally authorized to make the statements and representations in its response to this 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: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Title: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ State of: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Sworn to and subscribed before me at \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

(City) (State)

this \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ day of \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_, 2016.

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

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

**ATTACHMENT NO. 2**

**DETERMINATION OF GOOD FAITH EFFORT**

**HCC PROJECT NO. RFP 16-38**

Bidder

Address

Phone

Fax Number

In making a determination that a good faith effort has been made, HCC requires the Bidder 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 Bidder 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. 3 and No. 4)

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 Bidder to complete this form Section and submit supporting documentation explaining in what ways the Bidder has made a good faith effort to attain the goal. The Bidder will respond by answering “yes” or “no” to the following and provide supporting documentation.

(1) Whether the Bidder 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 Bidder divided the work into the reasonable portions in accordance with standard industry practices.

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

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

NOTE: If the Bidder 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 Bidder 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 Bidder Title

Date

**ATTACHMENT NO. 3**

**SMALL BUSINESS UNAVAILABILITY CERTIFICATE**

**HCC PROJECT NO. RFP 16-38**

I, \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_, \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_, of \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

(Name) (Title) (Name of Bidder’s Company)

Certify that on the date(s) shown, the small businesses listed herein were contacted to solicit Proposals for Materials or Services to be used on this project.

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **DATE CONTACTED** | **SMALL BUSINESS NAME** | **TELEPHONE NO.** | **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 or prepared 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 Instructions to Bidders)

Signature:

**ATTACHMENT NO. 4**

**CONTRACTOR AND SUBCONTRACTOR PARTICIPATION FORM**

**HCC PROJECT NO. RFP 16-38**

Bidder/offeror presents the following participants in this solicitation and any resulting Contract. All Bidder/offeror, including small businesses submitting proposals as prime contractors, are required to demonstrate good faith efforts to include eligible small businesses in their proposal submissions.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  | **Specify in Detail Type of Work to be Performed** | **List ALL Small Business**  **Certification Status including**  **Agency and Number (i.e. SB –**  **COH, METRO, etc.)** | **Percentage of**  **Contract Effort** | **Price** |
| **CONTRACTOR** |
| Business Name: |  |  |  |  |
| Business Address: |
| Telephone No. : |
| Contact Person Name/E-mail: |
| **SMALL BUSINESS SUBCONTRACTOR**(S)  (Attach separate sheet if more space is needed.) |
| Business Name: |  |  |  |  |
| Business Address: |
| Telephone No. : |
| Contact Person: |
| Business Name: |  |  |  |  |
| Business Address: |
| Telephone No. : |
| Contact Person: |
| **NON-SMALL BUSINESS SUBCONTRACTOR(S)**  (Attach separate sheet if more space is needed.) |
| Business Name: |  |  |  |  |
| Business Address: |
| Telephone No. : |
| Contact Person: |
| Business Name: |  |  |  |  |
| Business Address: |
| Telephone No. : |
| Contact Person: |

Business Name: \_ Submitted (Name):

Address:

Contractor‘s Price/Total: $ \_ Small Business

Subcontractor (s) Price/Total: $ \_

Non-Small Business

Telephone/Fax:

Date:

Subcontractors Price/Total: $ \_

Grand Total: $ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**ATTACHMENT NO. 5**

**PROPOSER’S CERTIFICATIONS**

**HCC PROJECT NO. RFP 16-38**

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.

1. **BLACKOUT PERIOD COMPLIANCE:**

The undersigned certifies that he/she has read, understands and agrees to be bound by the Prohibited Communications and Political Contributions provision set forth in the solicitation. The undersigned further understands that the Bidder 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 thirty (30) days after the contract is executed by the Chancellor or his/her designee, or when a determination is made that the contract will not be awarded.

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 Bidder, violation of the Blackout Period may result in the cancellation of the referenced transaction, debarment, and disqualification from future procurement solicitations and prosecution in accordance with the Laws of the State of Texas.

1. **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 = \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

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 Bidder may be subject to the loss of the contract or the termination thereof.

1. **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.

1. **DISCLOSURE OF OWNERSHIP INTERESTS:**

The undersigned certifies that he/she has accurately completed the attached Exhibit 1 “Ownership Interest Disclosure List.” For the purposes of this section, in accordance with Board Bylaws, the term "Contractors" shall include any member of the potential vendor's board of directors, its chairperson, chief executive officer, chief financial officer, chief operating officer, any person with an ownership interest of 10% or more. This requirement shall also apply to any Subcontractor listed on the “Contractor and Subcontractor Participation Form.”

1. **PROHIBITED CONTRACTS/PURCHASES:**

The undersigned certifies that he/she has read, understands and is eligible to receive a contract in accordance with HCC Board of Trustees Bylaw regarding Prohibited Contracts/Purchases as further defined in the attached Exhibit 2.

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

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

Title: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ State of: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Sworn to and subscribed before me at \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

(City) (State)

this \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ day of \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_, 2016.

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

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

**EXHIBIT 1 - TO ATTACHMENT NO. 5**

**OWNERSHIP INTEREST DISCLOSURE LIST**

**HCC PROJECT NO. RFP 16-38**

Instruction: Using the following table, please fill in the names of any member of the Respondent’s company who is a “Contractor” (as defined in Section 5 above); any person with an ownership interest of 10% or more; and any Subcontractor listed on the “Contractor and Subcontractor Participation Form.”

|  |  |  |
| --- | --- | --- |
| **Name** | **Title** | **Company Name** |
|  |  |  |
|  |  |  |
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|  |  |
| --- | --- |
| Company Name: |  |
| Representatives Name: |  |
| Title: |  |
| Date: |  |
| Signature: |  |

*Balance of page intentionally left blank.*

**EXHIBIT 2 - TO ATTACHMENT NO. 5**

**PROHIBITED CONTRACTS/PURCHASES**

**HCC PROJECT NO. RFP 16-38**

The College shall not contract with a business entity in which a Board Member, Senior Staff Member, or a relative of a Board member or Senior Staff Member within the first degree of consanguinity or affinity, has any pecuniary interest. All such contracts executed prior to June 21, 2012 shall continue to be in full force and effect.

Further, the College shall not contract with a business entity that employs, hires, or contracts with, in any capacity, including but not limited to, a subcontractor, employee, contractor, advisor or independent contractor, a Board Member or a Senior Staff Member.

Further, the College shall not contract with a business entity that employs an officer or director who is a relative of a Board member or a Senior Staff Member within the first degree of consanguinity or affinity.

Definitions:

“Business entity” shall not include a corporation or a subsidiary or division of a corporation whose shares are listed on a national or regional stock exchange or traded in the over-the-counter market. “Business entity” shall not include non-profit corporations or religious, educational, and governmental institutions, except that private, for-profit educational institutions are included in the definition of Business entity.

“Director” is defined as an appointed or elected member of the board of directors of a company who, with other directors, has the responsibility for determining and implementing the company’s policy, and as the company’s agent, can bind the company with valid contracts.

“Officer” is defined as a person appointed by the board of directors of a company to manage the day-to-day business of the company and carry out the policies set by the board. An officer includes, but is not limited to, a chief executive officer (CEO), president, chief operating officer (COO), chief financial officer (CFO), vice-president, or other senior company official, as determined by the Board.

“Senior Staff Member” shall have the meaning as defined in Article A, Section 3 of the Board Bylaws which includes:

1. Any member of the Chancellor's Advisory Council;
2. HCC employees classified as E-10 and above;
3. All procurement and purchasing personnel;
4. Any employee who participates on an evaluation or selection committee for any HCC solicitation for goods or services; and
5. Any employee who participates in the evaluation of goods or services provided by a vendor or contractor.

Absent other legal requirements, all contracts entered into by the College in violation of this policy shall be voided within 30 days of notice of the violation.

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

**ATTACHMENT NO. 6**

**CONFLICT OF INTEREST QUESTIONNAIRE**

**HCC PROJECT NO. RFP 16-38**



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. 7**

**FINANCIAL INTERESTS AND POTENTIAL CONFLICTS OF INTERESTS**

**HCC PROJECT NO. RFP 16-38**

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 one (1) through three (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 received by HCC Office of Systemwide Compliance before the vendor’s bid, proposal, or offer will be considered received or evaluated.** Completed forms must be **NOTARIZED** and delivered to:

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

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

1. 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 of at least 10% | |  | ( |  | ) |
| Ownership interest of at least $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 within first degree of affinity to individual has the following ownership or real property interest in Vendor:  1. Ownership interest of at least 10%  2. Ownership interest of at least $15,000 or more of the fair market value of vendor  3. Distributive Income Share from Vendor exceeding 10% of the individual’s gross income  4. Real property interest with fair market value of at least $2,500 | | | ( |  | ) |
| No individuals have any of the above financial interests | (If none go to Section 4) | | ( |  | ) |

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

|  |
| --- |
|  |

1. 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 ( \_).

HCC Office of Systemwide Compliance Conflict of Interest Disclosure Page 2

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 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 3 years, 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 2 years.

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 of more within the preceding 12 months.

Yes No

HCC Office of Systemwide Compliance Conflict of Interest Disclosure Page 3

**Section 4- Other Contract and Procurement Related Information**

Vendor shall disclose the information identified below as a condition of receiving an award or contract.

This requirement is applicable to only those contracts with a value exceeding $50,000. You must submit this information along with your bid, proposal, or offer.

a. Vendor shall identify whether vendor (or its principal), or its subcontractor(s), has current contracts (including leases) with other government agencies of the State of Texas by checking:

Yes No

b. If "yes" is checked, identify each contract by showing agency name and other descriptive information such as purchase order or contract reference number (attach additional pages as necessary).

c. Vendor shall identify whether vendor (or its principal) or its subcontractor(s) has pending contracts (including leases), bids, proposal, or other ongoing procurement relationships with other government agencies of the State of Texas by checking:

Yes No

d. If "yes" is checked, identify each such relationship by showing agency name and other descriptive information such as bid or project number (attach additional pages as necessary).

HCC Office of Systemwide Compliance Conflict of Interest Disclosure Page 4

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 is a subcontractor of my company.

Official authorized to sign on behalf of vendor:

Name (Printed or Typed) Title

Signature Date

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

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

Title: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ State of: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Sworn to and subscribed before me at \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

(City) (State)

this \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ day of \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_, 2016.

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

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

**ATTACHMENT NO. 8**

**PFIA CERTIFICATION FORM**

**HCC PROJECT NO. RFP 16-38**

**TEXAS PUBLIC FUNDS INVESTMENT ACT**

**CERTIFICATION BY BUSINESS ORGANIZATION**

This certification is executed on behalf of **Houston Community College** (the “Investor”) and       (the “Business Organization”) pursuant to the Public Funds Investment Act, Chapter 2256, Texas Government Code (the “Act”) in connection with investing transactions conducted between the Investor and the Business Organization.

The undersigned Qualified Representative of the Business Organization hereby certifies on behalf of the Business Organization that:

1. The undersigned is a Qualified Representative of the Business Organization offering to enter into an investment transaction with the Investor as such terms are used in the Act and
2. The Qualified Representative of the Business Organization has received and reviewed the Investment Policy furnished by the Investor and
3. The Qualified Representative of the Business Organization has implemented reasonable procedures and controls in an effort to preclude imprudent transactions conducted between the Business Organization and the Investor that are not authorized by the Investor’s Investment Policy, except to the extent that this authorization is dependent on an analysis of the makeup of the Investor’s entire investment portfolio or requires an interpretation of subjective investment standards.
4. The Business Organization will rely upon instructions from only the persons designated as Investment Officers as stated in the Investor’s Investment Policy approved by ordinance or resolution of the Governing Body.

Signed this       day of      , 2016.

          

Name of Organization

Address

College, State, Zip

Telephone number

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

Signature of Qualified Representative

Name (printed)

Title

**ATTACHMENT NO. 9**

**RESPPONSE ATTACHMENTS**

**HCC PROJECT NO. RFP 16-38**

(ALL ATTACHMENTS MUST BE RETURNED WITH RESPONSE - **PLEASE ATTACH IN THE ORDER LISTED**)

1. Account Analysis – Sample monthly account analysis statement in the format that will be provided to College. Proposer must indicate any capability to provide the information electronically.
2. Rate Basis – Proposer must include an explanation of the proposer’s policy and methodology used in setting rates paid on interest bearing accounts and account analysis earnings credit, and must indicate if rates are based on a market rate such as T-Bill discount or yield rate, or the Federal Funds rate, etc., and when the rates are changed. Proposer must provide a historical schedule of rates paid.
3. PROPOSED BANK DEPOSITORY SERVICES AGREEMENT.
4. Sample Collateral Agreement.
5. Security Measures – Proposer must provide a detailed description of security measures to prevent fraud and unauthorized electronic and non-electronic transfers, and protect the integrity of computer banking services and internal computer systems.
6. Technology Specs – Proposer must provide detailed descriptions and specifications for use of all proposed electronic systems and services.
7. Sample Safekeeping Report – Sample safekeeping report of the College owned securities that the successful proposer shall provide monthly.
8. Investment Account Information – Proposer must provide information on the sweep account or investment account recommended for use by the College as well as detailed information on the proposer’s most attractive interest yielding option.
9. Summary Business continuity plan – Summary of the proposer’s business continuation plans as they pertain to the College’s ability to perform normal banking functions during natural and un-natural bank operation disruptions, including a statement of commitment to provide the College continuous and ongoing bank depository services to the best of the successful proposer’s ability.
10. References – List of at least three (3) comparable references and current Texas Public Funds clients, including total number of collateralized Texas Public Fund clients.
11. SIGNED PFIA CERTIFICATION FORM.
12. Sample FIRREA COMPLIANT DOCUMENT. A sample copy of proposer’s FIRREA compliant document that clearly shows that the proposer’s Board or designated committee has accepted the depository agreement and authorized the pledge of collateral, with a permanent record of this action to be maintained in the minutes of the proposer.

**EXHIBIT NO. 1**

**BANK TRANSACTIONS BY ACCOUNT**

**HCC PROJECT NO. RFP 16-38**

**May 2016**

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
|  | **BEGINNING** | **CREDITS** | | **DEBITS** | | **ENDING** |
| **DESCRIPTION** | **BALANCE** | **NUMBER** | **AMOUNT** | **NUMBER** | **AMOUNT** | **BALANCE** |
| **BofA** |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
| **General Accounts Payable Clearing** | - | - | - | - | - | - |
| **Accounts Payable Clearing** | - | 24 | 9,161,829 | 45 | 9,161,579 | 250 |
| **AP** | - | 5 | 7,265,928 | 6 | 7,265,928 | - |
| **Tuition/Fees/Other Campus Deposits** | - | 783 | 7,509,265 | 87 | 7,509,265 | - |
| **State/Local Current Restricted** | - | 2 | 346,855 | 2 | 346,855 | - |
| **Plant Fund** | 66,609 | 1 | 19 | - | - | 66,629 |
| **Federal Restricted Funds** | - | 243 | 1,980,737 | 17 | 1,980,737 | - |
| **Auxillary Enterprise Fund** | - | 54 | 1,272,212 | 23 | 1,272,212 | - |
| **TG Student Loan** | 164,194 | - | - | - | - | 164,194 |
| **System Payroll Account** | - | 27 | 11,892,661 | 172 | 11,892,661 | - |
| **Merchant Service Offset** | 785,170 | - | - | 2 | 697,140 | 88,030 |
| **Current Operating** | 4,035,516 | 164 | 55,990,823 | 84 | 52,792,253 | 7,234,086 |
| **2013 Limited Tax Bonds** | 1,975,027 | 12 | 9,044,326 | 7 | 7,266,149 | 3,753,204 |
| **Managed PFI Account** | 1,418 | 1 | 0 | - | - | 1,418 |
| **Retirement of Indebtedness** | 416,601 | 1 | 122 | - | - | 416,723 |
| **2001A Bond Debt Service Reserve** | 17,677 | 1 | 5 | 1 | 28 | 17,653 |
| **2003 Limited Tax Bonds** | 1,934,387 | 1 | 566 | - | - | 1,934,953 |
| **TOTAL** | **$9,396,599** | **1,319** | **$104,465,350** | **446** | **$100,184,809** | **$13,677,140** |

**EXHIBIT NO. 2**

**ACCOUNT ANALYSIS SUMMARY**

**HCC PROJECT NO. RFP 16-38**

**June 2015 – May 2016**

|  |  |  |  |
| --- | --- | --- | --- |
| **Period** | **Avg Ledger** | **Less Avg Float** | **Avg Collected** |
| Jun-15 | 5,019,779 | 62,870 | 4,956,909 |
| Jul-15 | 3,581,461 | 79,092 | 3,502,369 |
| Aug-15 | 4,659,671 | 162,057 | 4,497,615 |
| Sep-15 | 4,979,590 | 93,684 | 4,885,906 |
| Oct-15 | 13,865,779 | 62,905 | 13,802,874 |
| Nov-15 | 6,654,898 | 76,959 | 6,577,939 |
| Dec-15 | 10,049,089 | 31,172 | 10,017,917 |
| Jan-16 | 11,382,576 | 79,765 | 11,302,811 |
| Feb-16 | 11,013,634 | 119,589 | 10,894,046 |
| Mar-16 | 8,283,418 | 109,980 | 8,173,438 |
| Apr-16 | 4,627,698 | 52,704 | 4,574,994 |
| May-16 | 4,341,455 | 92,121 | 4,249,334 |
| **Total** | **$88,459,047** | **$1,022,897** | **$87,436,150** |
|  |  |  |  |
| **Average** | **$7,371,587** | **$85,241** | **$7,286,346** |