



**Procurement  
Operations**

**Request for Qualifications**

**For**

**Program and Project Management Services**

**For**

**Deferred Maintenance Projects**

**Project No. 11-06**

# HOUSTON COMMUNITY COLLEGE

September 20, 2010

Subject: Request for Qualifications (RFQ) for Program and Project Management Services  
for Deferred Maintenance  
HCC Project No. 11-06

## **I. General Introduction / Background**

Houston Community College (HCC) is seeking the qualifications statements from firms interested in providing professional Program and Project Management Services for the San Jacinto Building in the Central Campus. Program Management Services to include, but is not limited to, Projects Programming, Budget and Schedule Development, Assistance in Service providers and Contractors Selection & Contracts and Project Closure. The selected firm will be required to have a performance bond and a payment bond in accordance with Texas Government Code, Section 2253. If the Texas Government Code does not require bonding, professional liability coverage will be required at a value not less than the value of the resulting contract.

### **Document Submission:**

Interested firms shall submit original and **four (4)** copies of their statement of qualifications documents to the below address no later than **October 4, 2010 @ 2:00 p.m.** (local time).

**Houston Community College  
Procurement Operations  
Attn: Georgia Coats, Purchasing Agent  
3100 Main Street (11th Floor, Room No. 11A06)  
Houston, Texas 77002  
MK: Program and Project Management Services  
for Deferred Maintenance Projects  
Ref: Project No. 11-06**

## **II. Inquiries**

Interested firms may make written inquiries concerning this Request for Qualifications to obtain clarification of the requirements. Inquiries must be submitted no later than close of business (4:00 P.M.) on Tuesday, September 27, 2010 and should be addressed to:

**Houston Community College System  
Procurement Operations  
Attn: Georgia Coats, Purchasing Agent  
3100 Main Street (11th Floor)  
Houston, Texas 77002  
Reference: Project No. 11-06  
MK: Program and Project Management Services  
for Deferred Maintenance Projects  
Fax: (713) 718-2113 or e-mail: georgia.coats@hccs.edu**

### **III. Document Format and Submission**

Statement of Qualifications must indicate how the firm's qualifications and the qualification of the project team meet the requirements of this project. It is requested that the firm limit its expression of qualifications to ten (10) typewritten pages, excluding the required attachments. The statement of qualifications should take the form of a bound 8 ½ inch report with a table of contents and all pages numbered in sequence. Binding must allow reports to lay flat when open. Arrange the document with a cover sheet and letter of interest in the following format:

1. Project Title, Description and HCC Project Number.
2. Name of lead firms submitting qualification statement.
3. Table of Contents.
4. Executive Summary, including brief history of the firm.
5. Detailed organization chart, which identifies principal owner and key staff members that will be associated with the project, including address, telephone number, fax number and e-mail addresses.
6. Information on potential staff that will be assigned to the project including resumes identifying education, training and technical backgrounds in similar projects.
7. Address the areas/factors specified in Paragraph IV.

#### **NOTE:**

1. HCC reserves the right to reject any and all submissions as non-responsive that do not meet the criteria as outlined in this solicitation.
2. Late submissions will not be accepted.
3. HCC is not liable for any costs incurred by person or firm responding to this RFQ.

### **IV. Selection Requirements and Criteria**

Selection of the most qualified firm will be made on the basis of demonstrated competence and qualifications to perform the services. An Evaluation Committee will review statement of qualifications submitted in response to the solicitation. Evaluation factors for the selection of the firm are as follows:

<b><u>Factor</u></b>	<b><u>Weight</u></b>
• Historic Preservation knowledge and experience	15 Points
• Knowledge of building type similar to the San Jacinto Building (built 1912-1923)	5 Points
• Knowledge of indoor swimming pools and sub-surface conditions	5 Point
• Knowledge and experience with Federal, State and City regulations and building codes and ADA requirements	10 Points
• Knowledge and experience in Program Management and phase scheduling of large complex construction projects.	20 Points
• Infrastructure connections to a Central Plant tie-in knowledge and experience	5 Points
• Community college faculty and staff user programming and user input experience	5 Points
• Higher Education (preferably Community College) experience and knowledge.	15 Points
• Inclusion of 35% small local business	10 Points
• Team Composition	10 Points

Firms, when responding to this request for qualifications, should state their capabilities with regard to each of the individual factor listed above. A short-list of the top rated firms may be invited for interviews solely on their written responses to this request for qualifications. Final selection will occur upon completion of the interview process, if any.

## **V. Scope**

The scope of work will include, but will not be limited to, the following:

- Development Plan for the renovation of the San Jacinto Building to meet all current building codes and HCC's future academic and staff needs.
- Perform necessary inspection, evaluation, analysis and calculations of structural viability to include all soil and subsurface conditions, infrastructural, electrical, mechanical, plumbing and other MEP building elements, and the roof, preservation of the historic exterior skin, and IT to determine costs of renovation and ability to phase construction in three parts.
- Determine all building code, ADA access and fire life safety requirements and present an action plan acceptable to the City of Houston for the three phase redevelopment of the building that allows continued use and occupancy of portions not under construction.
- Assess and evaluate other proposed projects at Central College
- Provide Project Management Services for Central College project(s), including the San Jacinto Building throughout construction to complete renovation in support of HCC staff.

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

a. HCC has adopted a Small Business Development Program for small businesses attempting to provide goods and/or services as prime contractors or as subcontractors to other prime contractors to HCC. The program is designed to prevent discrimination by ensuring that small, underutilized and disadvantaged businesses are informed and prepared to compete for HCC procurements. HCC will neither discriminate nor select vendors on the basis of race, color, national origin, religion, gender, age or disability in its procurement selection process.

b. Small businesses whose gross annual income averaged over the past three (3) years does not exceed the Small Business Administration's size standard as specified in 13 CFR Part 121 are eligible to apply for participation in the program.

Firms, when responding to this request for qualifications, should state their capabilities with regard to each of the individual factor listed above. A short-list of the top rated firms may be invited for interviews solely on their written responses to this request for qualifications. Final selection will occur upon completion of the interview process, if any.

Considerations for this project will be limited to firms or joint ventures having an active master planning services office in operation within a forty-five (45) miles radius of downtown Houston, Texas.

c. For this solicitation, HCC has established 35% as its goal for Small Business participation.

d. Good Faith Efforts- HCC will make a good faith effort to utilize small businesses in all contracts. The annual program goals may be met by contracting directly with small businesses or indirectly through subcontracting opportunities. Therefore, any business that contracts with HCC will be required to make a good faith effort to award subcontracts to small businesses. The subcontracting goal applies to all vendors regardless of their status. By implementing the following procedures, a contractor shall be presumed to have made a good faith effort:

e. To the extent consistent with industry practices, divide the contract work into reasonable lots.

f. Give notice to SBDP eligible firms of subcontract opportunities or post notices of such opportunities in newspapers and other circulars.

g. Document reasons for rejecting a firm that bids on subcontracting opportunities.

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

## **VI. Prohibited Communications**

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

- [1] Between a potential vendor, subcontractor to vendor, service provider, proposer, offeror, lobbyist or consultant and any Trustee;
- [2] Between any Trustee and any member of a selection or evaluation committee; and
- [3] Between any Trustee and administrator or employee.

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

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

The communications prohibition shall not apply to the following:

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

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

**ATTACHMENT NO. 1**  
**DETERMINATION OF GOOD FAITH EFFORT**

\_\_\_\_\_  
**PROPOSER NAME**

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

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

\_\_\_\_\_  
**FULL ADDRESS**

\_\_\_\_\_  
**PHONE NUMBER**

\_\_\_\_\_  
**CITY STATE ZIP**

\_\_\_\_\_  
**FAX NUMBER**

\_\_\_\_\_  
**E-MAIL ADDRESS**

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

**NOTE:** If the Proposer is unable to meet the solicitation goal or if any of the above items (1-4) are answered "no," the Proposer must submit a letter of justification.

\_\_\_\_\_  
**PRINT NAME OF PROPOSER**

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

\_\_\_\_\_  
**SIGNATURE OF PROPOSER**

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



**ATTACHMENT NO. 2  
SMALL BUSINESS UNAVAILABILITY CERTIFICATE  
HCC PROJECT NO. 11-06**

I,

\_\_\_\_\_  
NAME

\_\_\_\_\_  
TITLE

OF \_\_\_\_\_  
FIRM NAME

\_\_\_\_\_  
CERTIFY THAT ON DATE

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

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

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

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

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

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

\_\_\_\_\_  
SIGNATURE

\_\_\_\_\_  
TITLE

\_\_\_\_\_  
DATE



**ATTACHMENT NO. 3**

**SMALL BUSINESS DEVELOPMENT QUESTIONNAIRE**

**Note:** Vendors are to complete this form along with a **copy** of the Contractor and First Tier Subcontractor/Supplier Participation Form and return it in a separate envelope to:

**Houston Community College  
Procurement Operations/Small Business Representative  
Post Office Box 667517  
Houston, Texas 77266-7517  
Ref: HCC Project No. 11-06**

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

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

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

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

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

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

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

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

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

<u>ETHNICITY</u>	<u>GENDER</u>	<u>LOCATION</u>
___ African American (AA)	___ Male	___ Houston (H)
___ Asian Pacific American (APA)	___ Female	___ Texas (T)
___ Caucasian ( C)		___ Out of State (O)
___ Hispanic American (HA)		Specify State _____
___ Native American (NA)	___ Public Owned (PO)	
___ Other (O) Specify _____		

**BUSINESS CLASSIFICATION**

\_\_\_ **DBE** Disadvantaged Business Enterprise    \_\_\_ **SB** Small Business  
\_\_\_ **WBE** Women Owned Business Enterprise    \_\_\_ **MBE** Minority Business Enterprise  
\_\_\_ **HUB** Historically Underutilized Business    \_\_\_ Other: \_\_\_\_\_

Please provide information regarding certifying agency (if any)

<b>Name of Agency</b>	<b>Certificate Number</b>	<b>Expiration Date</b>
_____	_____	_____
_____	_____	_____
_____	_____	_____

**ATTACHMENT NO. 4  
CONTRACTOR AND SUBCONTRACTOR PARTICIPATION FORM**

**HCC PROJECT NO. 11-06**

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

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

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

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

**ATTACHMENT NO. 5**

**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: employment, upgrading or transfer, recruitment or recruitment advertising, layoff or termination, rates of pay or other compensation and selection for training, including apprenticeship.

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

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

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

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

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

**ATTACHMENT NO. 6**

**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  NO

If a business entity:

YES  NO

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

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

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

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

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

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

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

Business Entity: \_\_\_\_\_

Signature of Firm's Authorized Official: \_\_\_\_\_

**State of Texas**

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

Texas, this the \_\_\_\_\_ day of \_\_\_\_\_, 2010

\_\_\_\_\_

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

**ATTACHMENT NO. 7**

**AFFIDAVIT FORM**

This company, contractor, or subcontractor agrees to refrain from discrimination in terms and conditions of employment on the basis of race, color, religion, sex, physical handicap, or national origin, and agrees to take affirmative action as required by Federal Statutes and Rules and Regulations issued pursuant thereto in order to maintain and ensure nondiscriminatory employment practices.

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

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

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

State of Texas

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

this the \_\_\_\_\_ day of \_\_\_\_\_, 2010.

\_\_\_\_\_

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

**ATTACHMENT NO. 8**

**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 FIRST TIER 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 = **35%**

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/Proposer may be subject to the loss of the contract or the termination thereof resulting from this bid and could be ineligible for future HCC contract awards.

Signature \_\_\_\_\_

Title \_\_\_\_\_ Date of Signing \_\_\_\_\_

Firm Name \_\_\_\_\_

Address \_\_\_\_\_  
\_\_\_\_\_

Telephone Number \_\_\_\_\_

## **ATTACHMENT NO. 9**

### **VENDOR APPLICATION INSTRUCTIONS**

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 [http://hccs.aecglobal.com/Supplier\\_Registration\\_Form.asp](http://hccs.aecglobal.com/Supplier_Registration_Form.asp)

Once you have completed your application, please print out a copy of the completed application and submit it with your completed proposal package. If you do not have internet access you are welcome to use a computer at any HCC library to access the website and register.

**ATTACHMENT NO. 10**

<b>CONFLICT OF INTEREST QUESTIONNAIRE</b> For vendor or other person doing business with local governmental entity		<b>FORM CIQ</b>
<p><small>This questionnaire reflects changes made to the law by H.B. 1491, 80th Leg., Regular Session.</small></p> <p><small>This questionnaire is being filed in accordance with Chapter 178, Local Government Code by a person who has a business relationship as defined by Section 178.001(1-a) with a local governmental entity and the person meets requirements under Section 178.006(a).</small></p> <p><small>By law this questionnaire must be filed with the records administrator of the local governmental entity not later than the 7th business day after the date the person becomes aware of facts that require the statement to be filed. See Section 178.006, Local Government Code.</small></p> <p><small>A person commits an offense if the person knowingly violates Section 178.006, Local Government Code. An offense under this section is a Class C misdemeanor.</small></p>	<b>OFFICE USE ONLY</b>  Date Received	
<b>1</b> Name of person who has a business relationship with local governmental entity.		
<b>2</b> <input type="checkbox"/> Check this box if you are filing an update to a previously filed questionnaire. (The law requires that you file an updated completed questionnaire with the appropriate filing authority not later than the 7th business day after the date the originally filed questionnaire becomes incomplete or inaccurate.)		
<b>3</b> Name of local government officer with whom filer has employment or business relationship.		
_____ Name of Officer		
<p><small>This section (item 3 including subparts A, B, C &amp; D) must be completed for each officer with whom the filer has an employment or other business relationship as defined by Section 178.001(1-a), Local Government Code. Attach additional pages to this Form CIQ as necessary.</small></p> <p>A. Is the local government officer named in this section receiving or likely to receive taxable income, other than investment income, from the filer of the questionnaire?</p> <p style="text-align: center;"> <input type="checkbox"/> Yes      <input type="checkbox"/> No                     </p> <p>B. Is the filer of the questionnaire receiving or likely to receive taxable income, other than investment income, from or at the direction of the local government officer named in this section AND the taxable income is not received from the local governmental entity?</p> <p style="text-align: center;"> <input type="checkbox"/> Yes      <input type="checkbox"/> No                     </p> <p>C. Is the filer of this questionnaire employed by a corporation or other business entity with respect to which the local government officer serves as an officer or director, or holds an ownership of 10 percent or more?</p> <p style="text-align: center;"> <input type="checkbox"/> Yes      <input type="checkbox"/> No                     </p> <p>D. Describe each employment or business relationship with the local government officer named in this section.</p>		
<b>4</b>		
_____ Signature of person doing business with the governmental entity		_____ Date

Adopted 06/29/2007



**ATTACHMENT NO. 11**

**DISCLOSURES**

**FINANCIAL INTERESTS AND POTENTIAL CONFLICTS OF INTERESTS**

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

Vendor shall disclose the financial interest and potential conflict of interest information identified in Sections 1 through 3 below as a condition of receiving an award or contract. Submit this information along with your bid, proposal, or offer. **This form must be 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:

**Houston Community College  
Attn: Procurement  
3100 Main Street  
Houston, TX 77002**

With a copy to:

**Houston Community College  
Attn: Office of System-wide Compliance, Compliance Officers  
3100 Main. Street  
Houston, TX 77002**

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

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

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

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

- Ownership interest exceeding 10%
- Ownership interest exceeding \$15,000 or more of the fair market value of vendor
- Distributive Income Share from Vendor exceeding 10% of individual's gross income
- Real property interest with fair market value of at least \$2,500
- Person related to or married to individual has ownership or real property interest in Vendor
- No individuals have any of the above financial interests   
(If none, go to Section 2)

b. For each individual named above, show the type of ownership/distributable income share:  
sole proprietorship \_\_\_ stock \_\_\_ partnership \_\_\_  
other (explain) \_\_\_\_\_

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

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

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

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

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

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

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

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b. Employment of individual's spouse, father, mother, son, or daughter, including but not limited to contractual employment for services for vendor in the previous eighteen (18) months.

Yes \_\_\_ No \_\_\_

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**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 \_\_\_

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b. Individual's spouse, father, mother, son, or daughter has received a gift from vendor (or principal), or subcontractor of vendor, of \$250 or more within the preceding 12 months.

Yes \_\_\_ No

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This disclosure is submitted on behalf of

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

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

Official authorized to sign on behalf of vendor:

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

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

**AFFIX NOTARY SEAL ABOVE**

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

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

For assistance with completing this form, please contact the **Office of System-wide Compliance** at (713)718-8233 or 8295.