**SUBMITTAL RESPONSE CHECKLIST**

Project Name:

Use the checklist to ensure that the proposal is complete by checking off each item included with your response. Sign and date this form and include this page with each proposal.

[ ]  Respondent Questionnaire

[ ]  Completed and signed W-9 Form, and include email address or fax number

[ ]  Project Team and Resumes including Organizational Chart

[ ]  Team Qualifications and Experience

[ ]  Respondent’s Approach

[ ]  Proven Ability Delivering Services Requested

[ ]  Compensation Proposal

[ ]  Copy of Current Certificate of Liability Insurance and Respondent’s commitment letter to provide the lines of insurance coverage required.

[ ]  Exhibit “B” – Good Faith Effort Plan

[ ]  Exhibit “C” – Conflict of Interest Questionnaire

[ ]  Exhibit “D” – Texas Public Information Act Requirements and Release

Form

[ ]  Exhibit “F” – Additional Consultant Information Form

[ ]  CD

I certify that the proposal submitted includes the items as indicated above.

 Signature Date

 Printed Name

 Title

**RESPONDENT QUESTIONNAIRE**

**PROJECT NAME:**

**Instructions:**  The Respondent Questionnaire is a required questionnaire. Complete the questionnaire by inserting the requested information. Do not modify or delete the questions.

**GENERAL INFORMATION**

1. **Respondent Information:** Provide the following information regarding the Respondent.

(NOTE: Co-Respondents are two or more entities proposing as a team or joint venture with each signing the contract, if awarded. Sub-contractors are not Co-Respondents and should not be identified here. If this proposal includes Co-Respondents, provide the required information in this Item #1 for each Co-Respondent by copying and inserting an additional block(s) before Item #2.)

 Respondent Name:

 (NOTE: Give exact legal name as it will appear on the contract, if awarded.)

Principal Address:

 City: State: Zip Code:

Telephone No. Fax No:

Social Security Number or Federal Employer Identification Number:

2. **Contact Information:** List the one person who SAWS may contact concerning your proposal or setting dates for meetings.

Name:

Address:

City: State: Zip Code:

Telephone No. Fax No:

Email:

3. Identify the principal contact person authorized to commit the Respondent to a contractual agreement.

4. Does Respondent anticipate any mergers, transfer of organization ownership, management reorganization, or departure of key personnel within the next twelve (12) months?

Yes [ ]  No [ ]

If yes, please describe:

5. Is Respondent authorized and/or licensed to do business in Texas?

Yes [ ]  No [ ]  If “Yes”, list authorizations/licenses.

6. **Affirmative Action -** Respondent agrees to adhere to the EEO requirements contained in the RFP section V, sub-section B.1

Yes [ ]  No [ ]  If “No”, state reason.

7. **Debarment/Suspension Information:** Has the Respondent or any of its principals been debarred or suspended from contracting with any public entity?

Yes [ ]  No [ ]  If “Yes”, identify the public entity and the name and current phone number of a representative of the public entity familiar with the debarment or suspension, and state the reason for or circumstances surrounding the debarment or suspension, including but not limited to the period of time for such debarment or suspension.

8. **Bankruptcy Information:**  Has the Respondent ever been declared bankrupt or filed for protection from creditors under state or federal proceedings?

Yes [ ]  No [ ]  If “Yes”, state the date, court, jurisdiction, cause number, amount of liabilities and amount of assets.

9. Provide any other names under which Respondent has operated within the last 10 years.

10. **Litigation Disclosure**: Respond to each of the questions below by checking the appropriate box. Failure to fully and truthfully disclose the information required in the Litigation Disclosure questions may result in the disqualification of your proposal from consideration or termination of the contract, once awarded.

a. Have you or any member of your Firm or Team to be assigned to this project ever been indicted or convicted of a felony or misdemeanor greater than a Class C in the last five (5) years?

 Yes [ ]  No [ ]

b. Have you or any member of your Firm or Team to be assigned to this project been terminated (for cause or otherwise) from any work being performed for the San Antonio Water System or any other Federal, State or Local Government, or Private Entity?

 Yes [ ]  No [ ]

c. Have you or any member of your Firm or Team to be assigned to this project been involved in any claim or litigation with the San Antonio Water System or any other Federal, State or Local Government, or Private Entity during the last ten (10) years?

 Yes [ ]  No [ ]

If you have answered “Yes” to any of the above questions, please indicate the name(s) of the person(s), the nature, and the status and/or outcome of the information, indictment, conviction, termination, claim or litigation, as applicable. Any such information should be provided on a separate page, attached to this form and submitted with your proposal.

11. **Compliance Agreement:**

Nondisclosure. No information obtained by Respondent from SAWS shall be disclosed by Respondent to any third party. In the event Respondent is subject to the Texas Public Information Act, upon receipt of a request for any information obtained by Respondent, Respondent shall provide notice to SAWS of the request along with a copy of the request, and give SAWS the opportunity to respond to the request prior to its release by Respondent.

No Lobbying and Compliance with Law. During the selection process for the project named in this RFP, Respondent agrees to comply with all applicable laws and regulations, including but not limited to restrictions against direct or indirect lobbying of public officials. Respondent agrees not to make or permit to be made any improper payments, or to perform any unlawful acts.

This agreement shall be construed to be enforceable to the maximum extent permitted by law.

Failure to complete this question or comply with its terms may subject this firm to elimination from the selection process at any time.

Does the Respondent agree to the above?

Yes [ ]  No [ ]

12. **Security Procedures:** Respondent acknowledges having read the security procedures in Exhibit “D” and understands the requirements. Respondent is prepared to perform at their own expense background security checks on their employees, or the employees of their consultants or sub-consultants if requested by SAWS.

Yes [ ]  No [ ]

13. **Contract Terms and Conditions:** Respondent acknowledges having read the contract attached to this RFP. By responding to this RFP, Respondent agrees to these terms and conditions.

No Exceptions [ ]  Exceptions [ ]  If “Exceptions”, they must be submitted with the proposal. Respondents shall submit exceptions with proposed alternative language to SAWS as an attachment accompanying this questionnaire.

Exceptions will not be accepted after the proposal due date and time. At the sole discretion of SAWS, the type and nature of exceptions may be grounds for disqualification.

14. **Addendums:** Each Respondent is required to acknowledge receipt of all addendums.

None [ ]  Yes [ ]  If “Yes”, Identify.

The information provided above is true and accurate to the best of my knowledge. Furthermore, we understand that failure to complete the Respondent Questionnaire may subject this firm to elimination from the selection process.

 Signature Date

 Printed Name

 Title

 **EXHIBIT B**

**EXHIBIT “B”**

**GOOD FAITH EFFORT PLAN FOR**

**PROFESSIONAL AND OTHER CONSULTING SERVICES**

**SUB-CONTRACTS**

 **FOR**

|  |  |
| --- | --- |
| **NAME OF PROJECT:** |  |

**SECTION A - PROPOSER INFORMATION:**

|  |  |
| --- | --- |
| **Name of Firm:** |  |
|  |  |
| **Address:** |  |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **City:** |  | **State:** |  | **Zip:** |  |
|  |  |  |  |  |  |
| **Contact Person:** |  | **Telephone:** |  |
|  |  |  |  |
| **Email Address:** |  | **Fax:** |  |
|  |  |
| **Is your firm Certified:** | **Yes** |  | **No:** |  | **If certified, Certification Number:** |  |
|  |  |  |  |  |  |  |
| **Type of Certification:** |  | **SBE** |  |  | **WBE** |  |  | **MBE** |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| **Prime’s Percent Participation on this Project** |  | **%** |  |

1. List ALL SUBCONTRACTORS/SUPPLIERS that will be utilized on this project/contract.

|  |  |  |  |
| --- | --- | --- | --- |
| Name & Address of Company | Scope of Work/Supplies to be Performed/Provided by Firm | % Level of Participation on this Project | If Firm is Certified, Provide Certification Number and attach copy of Certification Affidavit |
| 1. |  |  |  |
| 2. |  |  |  |
| 3. |  |  |  |
| 4. |  |  |  |

**SECTION B. – SMWB COMMITMENTS**

The SMWB goal on this project is \_25\_\_%

1. The undersigned proposer has satisfied the requirements of the RFP specification in the following manner (please check the appropriate space):

\_\_\_\_\_ The proposer is committed to a minimum of 25% SMWB utilization on this contract.

\_\_\_\_\_\_\_ The proposer, (if unable to meet the SMWB goal of 25%), is committed to a minimum of \_\_\_\_\_\_\_% SMWB utilization on this contract. *(If contractor/consultant is unable to meet the goal, please fill out Section C and submit documentation demonstrating good faith efforts).*

2. Name and phone number of person appointed to coordinate and administer the SMWB requirements on this project.

|  |  |
| --- | --- |
| Name: |  |
|  |  |
| Title: |  |
|  |  |
| Phone Number: |  |

**IF THE SMWB GOAL WAS MET, PROCEED TO AFFIRMATION AND SIGN THE GFEP. IF GOAL WAS NOT MET, PROCEED TO SECTION C. SECTION C – GOOD FAITH EFFORTS (Fill out only if the SMWB goal was not achieved).**

1. List all firms you contacted with subcontracting/supply opportunities for this project that will not be utilized for the contract by choice of the proposer, subcontractor, or supplier. Written notices to firms contacted by the proposer for specific scopes of work identified for subcontracting/supply opportunities must be provided to subcontractor/supplier not less than five (5) business days prior to bid/proposal due date. The following information is required for all firms that were contacted for subcontracting/supply opportunities.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Name & Address of Company | Scope of Work/Supplies to be Performed/Provided by Firm | Is Firm SMWB Certified? | Date Written Notice was Sent & Method (Fax, Letter, E-Mail, etc.) | Reason Agreement was not reached? |
| 1. |  |  |  |  |
| 2. |  |  |  |  |
| 3. |  |  |  |  |
| 4. |  |  |  |  |
| 5. |  |  |  |  |
| 6. |  |  |  |  |
| 7. |  |  |  |  |
| 8. |  |  |  |  |

(Use additional sheets as needed)

In order to verify a proposer’s good faith efforts, please provide to SAWS copies of the written notices to all firms contacted by the proposer for specific scopes of work identified in relation to the subcontracting/supply opportunities in the above named project. Copies of said notices must be provided to the SMWB Program Manager within five (5) business days after the response is due. Such notices shall include information on the plans, specifications, and scope of work.

2. Did you attend the pre-proposal conference scheduled for this project? \_\_\_\_ Yes \_\_\_\_ No

3. List all SMWB listings or directories, contractor associations, and/or any other associations utilized to solicit SMWB Subcontractors/suppliers.

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

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

4. Discuss efforts made to define additional elements of the work proposed to be performed by SMWBs

 in order to increase the likelihood of achieving the goal:

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

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

5. Indicate advertisement mediums used for soliciting bids from SMWBs. (Please attach a copy of the advertisement(s):

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

 **\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**AFFIRMATION**

I hereby affirm that the above information is true and complete to the best of my knowledge. I further understand and agree that, this document shall be attached thereto and become a binding part of the contract.

Name and Title of Authorized Official:

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

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

Signature:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_Date:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

***NOTE:***

This Good Faith Effort Plan is reviewed by SAWS Contracting Department. For questions and/or clarifications, please contact Marisol V. Robles, SMWB Manager at 210-233-3420*.* If the SMWB goal was not met, the SMWB Program Manager will evaluate the “good faith efforts” of the respondent.

|  |
| --- |
| **CONFLICT OF INTEREST QUESTIONNAIRE FORM CIQ****For vendor or other person doing business with local governmental entity** |
| **This questionnaire reflects changes made to the law by H.B. 1491, 80th Leg., Regular Session**.This questionnaire is being filed in accordance with Chapter 176, Local Government Code by a person who has a business relationship as defined by Section 176.001(1-a) with a local governmental entity and the person meets requirements under Section 176.006(a).By law this questionnaire must be filed with the records administrator of the local governmental entity not later than the 7th business day after the date the person becomes aware of facts that require the statement to be filed. See Section 176.006, Local Governmental Code.A person commits an offense if the person knowingly violates Section 176.006, Local Government code. An offense under this section is a Class C misdemeanor. | **OFFICE USE ONLY** |
| Date Received |
| 1. **Name of person doing business with local governmental entity.** |
| 2 [ ]  **Check this box if you are filing an update to a previously filed questionnaire.**(The law requires that you file an updated completed questionnaire with the appropriate filing authority not later than the 7th business day after the date the originally filed questionnaire becomes incomplete or inaccurate.) |
| 1. **Name of local government officer with whom filer has employment or business relationship.**

**\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**Name of OfficerThis section (item 3 including subparts A, B, C & D) must be completed for each officer with whom the filer has an employment or business relationship as defined by Section 176.001 (1-a), Local Government Code.. Attach additional pages to this Form CIQ as necessary.* 1. Is the local government officer named in this section receiving or likely to receive taxable income, other than investment income, from the filer of the questionnaire?

 [ ]  Yes [ ]  No* 1. Is the filer of the questionnaire receiving or likely to receive taxable income, other than investment income, from or at the direction of the local government officer named in this section AND the taxable income is not received from the local governmental entity?

 [ ]  Yes [ ]  No* 1. Is the filer of this questionnaire employed by a corporation or other business entity with respect to which the local government officer serves as an officer or director, or holds an ownership of 10 percent or more?

 [ ]  Yes [ ]  No* 1. Describe each employment or business relationship with the local government officer named in this section.
 |
| 4. \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Signature of person doing business with the governmental entity Date |

**Exhibit “D”**

**ACKNOWLEDGEMENT OF TEXAS PUBLIC INFORMATION ACT REQUIREMENTS AND RELEASE FORM**

All responses to this RFP will be considered public information pursuant to the terms of the Texas Public Information Act in Chapter 554 of the Texas Government Code (the “Act”).  By submitting a response to this RFP, Respondents expressly waive any exceptions to disclosure to which it may be entitled under the Act, including, without limitation, a claim that any material submitted in response to this solicitation is proprietary or is a trade secret or otherwise confidential under the Act or otherwise.

I acknowledge the aforementioned statement and understand that my proposal is subject to being made available to requestors of public information.

Signature

Printed Name and Title

Date

**Exhibit “F”**

Additional Consultant Information Form

 Please provide the additional information for your firm and for each of the sub-consultants proposed.

1. GENERAL:

 **Corporations/Individuals must include the following information:**

 Firm or Individual’s Name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

 Principal Address:

 City: State: Zip Code:

Telephone No.\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Fax No:

Website/Email Address\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

 Point of contact:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

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

 Email address:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

1. Does the firm have an office located in San Antonio, Texas?

Yes [ ]  No [ ]  If “Yes”, respond to a and b below:

a. How long has the Respondent conducted business from its San Antonio office?

 Years \_\_\_\_\_\_\_ Months\_\_\_\_\_\_\_

1. State the number of full-time employees at the San Antonio office. \_\_\_\_\_\_\_\_
2. If your firm’s local office is not the corporate headquarters, where is it located?

**\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

1. Provide information regarding the consulting company’s financial stability. Include your current agency rating (Best, Standard and Poor’s, Moody’s or other.) Attach additional sheets as necessary.
2. Provide details of any outstanding legal action against your company or any directors or partners relative to the types of consulting services outlined in this proposal. Attach additional sheets as necessary.
3. Describe your company’s history, growth, ownership structure and the office that will serve our account. Attach additional sheets as necessary.