



UNDERWRITING SERVICES
Solicitation Number: Q-21-002-JP

ADDENDUM 1
March 9, 2021

RESPONSES TO QUESTIONS

1. **Question:** Is a firm allowed to submit for consideration as both a Senior-Manager or a Co-Manager? Or does SAWS want a response for one or the other roles? And if you apply for both roles does that put you at a disadvantage in the selection process?

Response: Yes, firms should submit a proposal for their preferred role using the Underwriting Services Identification Form found in the RFQ. Should a firm submit a proposal for a Senior Manager role and not be selected, SAWS will evaluate the firm for the Co-Manager role automatically. There is no need to submit two proposals. There is no disadvantage if a firm desires to be placed in either role.

2. **Question:** Can a firm use a local minority owned law firm as a sub-contractor to be utilized as our Underwriter's Counsel and qualify for the 5 points for SBE Participation?

Response: Subconsultants are not allowed for this solicitation, and firms will be evaluated based on their own designation.

3. **Question:** Do firms (if applicable) need to submit a Form 1295 at the time of submitting the RFQ or only upon appointment to a future contract? If we need to attach a Form 1295 to this RFQ submission, is there a Contract ID that SAWS would like us to use for the submission?

Response: No, Respondents should not need to submit a Form 1295 with their proposals. Selected firms will be required to submit a Form 1295 with a signed contract if they are selected to be part of an Underwriting Syndicate.

4. **Question:** In Section IV. Submitting a Response, Subsection B, Question 3 states "The cover page and tabs do not count towards the page limit. Number each page starting with the cover letter, including text charts and graphic images." Since a cover letter is not mentioned in the instructions included in Subsection C. Response Format, is a cover letter required? And if so, will the cover letter count against the 15 page limitation of our response?

Response: Should a Firm desire to include a cover a letter, they may do so and it will not count towards the 15 page limitation. See item number 2 in the Changes to RFQ section of this Addendum.

5. **Question:** Due to page limitations, is it possible to provide the resumes for the Firm's professionals assigned to the SAWS engagement requested in Subsection C, Question 4.d. as an Appendix?

Response: Yes, resumes may be included as an Appendix and will not count towards the 15 page limit. However, each resume is limited to no more than one (1) page.

6. **Question:** If a Table of Contents is included, will that be counted in the page count / page limit. If so, may we include the Table of Contents before the Cover Letter?

Response: The Table of Contents will not count towards the page count / page limit. See Item number 2 in the Changes to RFQ section of this Addendum. Yes, you may include the Table of Contents before the Cover Letter.

7. Question: Do appendices count against the page limit (for example a Deal / Transaction list)?

Response: Appendices do not count towards the page limit, and Deal / Transaction lists may be included in appendices, however, please note that appendices of Deal / Transactions should be a list only, and any additional information will not be considered in the evaluation.

8. Question: Is an insurance certificate required in the submittal of the proposal, or upon award?

Response: SAWS is requesting either a copy of a current Certificate of Insurance OR a letter from an insurer with the Respondent's proposal showing that the firm is able to meet the insurance requirements ahead of contract award. However, a project specific certificate of insurance will be required from the recommended firm(s). The Certificate of Insurance for this project will need to be compliant prior to Board Award.

9. Question: How should a firm propose exceptions to the insurance requirements outlined in Exhibit A?

Response: Though it is unlikely that SAWS will agree to changes in the insurance requirements, Respondents should note they have exceptions to the requirements by responding Yes in the Respondent Questionnaire and providing the exceptions with their proposal.

10. Question: Can you please provide the contract referenced in the Respondent Questionnaire portion, #15, of the Request for Proposals?

Response: See Section I. D. b. of the RFQ, which states that a contract will not be provided at this time. Please also see #5 of Changes to the RFQ of this Addendum.

11. Question: The RFQ states that the responses are limited to a maximum of 15 pages. Is the page limit the same for Senior and Co-Manager responses?

Response: Yes.

12. Question: The RFQ states that the responses are limited to a maximum of 15 pages. Are appendices allowed in responses?

Response: Appendices are allowed and will not count towards the page limit, however, appendices should be limited to resumes and Deal / Transaction lists. Any additional information included in the appendices will not be evaluated. See #2 & #3 of Changes to the RFQ within this Addendum.

13. Question: If appendices are allowed; will they be counted towards the page count?

Response: No.

14. Question: Can team biographies be included as an appendix?

Response: Yes. See response to Question 5 above.

15. Question: Does Exhibit B apply to firms responding as co-manager?

Response: Exhibit B applies to all responding firms.

16. Question: Will firms be scored based on the inclusion of a sub-consultant? If so, what qualifies as a subconsultant (i.e. Underwriter's Counsel)?

Response: Subconsultants are not allowed for this solicitation.

17. Question: If a firm would like to include a sub-consultant that meets the requested requirements, where should this information be listed as Exhibit B requests Prime Consultant information?

Response: Subconsultants are not allowed for this solicitation.

18. Question: Is it possible to receive a copy of the RFQ in word format so that I can complete the required forms without having to convert them from a PDF format?

Response: Yes, the Word versions of the forms have been posted on the SAWS website for this RFQ and can be found at the following link:

https://apps.saws.org/business_center/ContractSol/Drill.cfm?id=3929&View=Yes

CHANGES TO THE RFQ

1. TABLE OF CONTENTS Attachments. The following form is revised to read:

Underwriting Services Identification Form13

2. SECTION IV.B.3. The last two sentences of Section IV.B.3 are modified as follows:

“The cover page, **table of contents, cover letter, tabs and appendices** do not count towards the page limit. Number each page starting with the cover **page**, including text charts and graphic images.”

3. SECTION IV B. Insert #8 as follows:

Respondents may include appendices as part of their proposals that will not count towards the page limit. However, information in the appendices is limited to resumes and Deal/Transaction lists. Any additional information included in the appendices will not be evaluated.

4. SECTION IV C. 4.d. Insert the following sentence at the end.

Resumes are limited to one (1) page per team member.

5. RESPONDENT QUESTIONNAIRE. Remove and replace in its entirety.

“15. **Terms and Conditions:** Respondent acknowledges having read the requirements identified within this RFQ. By responding to this RFQ, Respondent agrees to these terms and conditions.

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

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

END OF ADDENDUM

This Addendum, including these **three (3)** pages, is **seven (7)** pages with attachments in its entirety.

Attachment:
Respondent Questionnaire



RESPONDENT QUESTIONNAIRE

PROJECT NAME: Underwriting Services RFQ

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-Consultants are not Co-Respondents and should not be identified here. If this SOQ 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. **Operational Contact Information:** List the one person who SAWS may contact concerning your SOQ or setting dates for meetings.

Name: _____

Address: _____

City: _____ State: _____ Zip Code: _____

Telephone No. _____ Fax No: _____

Email: _____

3. **Legal Contact Information:** If a contract were to be awarded, list where all notices under the Contract shall be sent to. This is in addition to the Operational Contact.

Name: _____

Address: _____

City: _____ State: _____ Zip Code: _____

Telephone No. _____ Fax No: _____

Email: _____

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

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

Yes No

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

Yes No If "Yes", list authorizations/licenses.

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

Yes No If "No", state reason.

8. **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.

9. **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.

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

11. **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 SOQ 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 SOQ.

12. 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 RFQ, 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

13. 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

14. No Boycotting Israel Verification: Respondent acknowledges having read the No Boycotting Israel Verification Exhibit "E" and understands the requirements. Respondent can and will make this verification if awarded a contract.

Yes No

15. Terms and Conditions: Respondent acknowledges having read the requirements identified within this RFQ. By responding to this RFQ, Respondent agrees to these terms and conditions.

No Exceptions Exceptions If "Exceptions", they must be submitted with the SOQ. Respondents shall submit exceptions with proposed alternative language to SAWS as an attachment accompanying this questionnaire.

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

16. 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