

CITY OF SAN ANTONIO

CAPITAL IMPROVEMENTS MANAGEMENT SERVICES DEPARTMENT



REQUEST FOR QUALIFICATIONS ("RFQ") DESIGN-BUILD SERVICES FOR THE HENRY B. GONZALEZ CONVENTION CENTER EXPANSION PROJECT NUMBER: 42-00038

(RFQ# CIMS06132012CG)

Notice Regarding Prohibition on Campaign or Officeholder Contributions for Individuals and Entities Seeking High-Profile Contracts. Under Section 2-309 of the Municipal Campaign Finance Code, the following are prohibited from making a campaign or officeholder contribution to any member of City Council, candidate for City Council or political action committee that contributes to City Council elections from the 10th business day after a contract solicitation has been released until 30 calendar days after the contract has been awarded:

1. legal signatory of a high-profile contract;
2. any individual seeking a high-profile contract;
3. any owner or officer of an entity seeking a high-profile contract;
4. the spouse of any of these individuals;
5. any attorney, lobbyist or consultant retained to assist in seeking contract.

A high-profile contract cannot be awarded to the individual or entity if a prohibited contribution has been made by any of these individuals during the "black out" period.

ISSUE DATE: Wednesday, June 13, 2012
SUBMITTAL DEADLINE: Monday, July 9, 2012, 10:00 AM., Local Time

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I. BACKGROUND/OVERVIEW

The City of San Antonio (hereafter referred to as “City” or “Owner”), Capital Improvements Management Services Department (hereafter referred to as “CIMS”) is soliciting for the selection of a Design-Build (hereafter referred to as “DB”) Firm for the design and construction services at the Henry B. Gonzalez Convention Center (hereafter referred to as “HBGCC”). This Request for Qualifications (hereafter referred to as “RFQ”) is the first of a two-phase solicitation process. City will qualify a maximum of five (5) DB firms which will be invited to participate in Phase II of the solicitation process, consisting of additional information and interviews.

History

The Henry B. Gonzalez Convention Center is located in downtown San Antonio along the banks of the San Antonio River and adjacent to the picturesque San Antonio River Walk.

The facility is the central component of the City’s successful convention industry. The Convention Center, named for the late U.S. Congressman Henry B. Gonzalez, hosts more than 300 events each year attended by more than 750,000 convention delegates from around the world.

The original Convention Center was built as part of Hemisfair ’68 by a joint venture of two general contractors: Darragh & Lyda Inc. of San Antonio and H. A. Lott Inc. of Houston. The Convention Center has been expanded three times since 1968 and now comprises more than 1.3 million square feet of state-of-the-art facility space.

Existing Facility

Features of the current facility include:

- 61 meeting rooms
- 4 exhibit halls with over 440,000 square feet of exhibit space
- 3 elegant ballrooms, including Ballroom C with approximately 40,000 sq. ft.
- Full service UPS Business Center
- 36 loading docks, including 24 covered docks
- WiFi connectivity
- Compressed air, electricity, water and drainage availability in the exhibit halls

The HBGCC complex also features the Lila Cockrell Theatre, a 2,307-seat Performing Arts Theatre. The Alamodome and more than 13,000 of the City’s downtown hotel rooms are within minutes and walking distance, as well as numerous restaurant and entertainment venues.

Mission Statement of San Antonio Convention, Sports and Entertainment Facilities

“To provide our users customer-focused services driven by quality and value, in well-maintained state-of-the-art facilities, supported by an environment dedicated to the personal and professional growth of employees.”

II. DEFINITIONS

As used in the RFQ, the terms have the meanings set forth below:

“Design-Build Contract” means a single contract with a firm or business entity for the design and construction of the facility.

“Design-Build Firm”/“DB Firm” or “Respondent” means a partnership, corporation, joint venture or other legal entity or team that includes an Engineer or Architect and Contractor qualified to engage in building construction in Texas.

“Construction Documents” means all the design documents to be provided by the selected DB team and approved by City including, without limitation, those for use in constructing the project, performing the work and the rendering of the project fully operational and shall include, without limitation, detailed plans, drawings, specifications, manuals and related materials.

”Respondent” shall mean those DB Teams/Firms that respond to this RFQ.

“Design Criteria Consultant” means the Owner’s Architect/Engineering consultant supplying the design development drawings and specifications.

III. PROJECT DESCRIPTION/SCOPE OF WORK

The scope of work generally includes, but is not limited to, demolition, addition to and renovation of existing exhibits halls, construction of a new well-defined entrance, renovation of food service facilities, renovation to improve clearer circulation and way-finding and construction expansion that will offer better connection to Downtown amenities. The qualified DB firm will need to design and construct this Project while HBGCC remains fully operational, with no disruptions to events, customers, staff and surrounding stakeholders. The DB team is asked to provide qualifications for the delivery of the Project utilizing the information listed below:

Site and Context

HBGCC is located at 200 East Market Street in downtown San Antonio. The building is bounded by Market Street on the North, S. Alamo Street on the West, Market/IH-37 on the East and Hemisfair Park on the South. The San Antonio River Walk is an integrated component of the most recent HBGCC expansion and provides a unique Convention Center experience. The HBGCC master plan and program will identify a new entrance configuration and opportunities to further integrate with Downtown. There are several influencing factors on the expansion program, including current and on-going developments/projects by VIA Metropolitan Transit, San Antonio Water System, City, CPS Energy and more. Among these significant project influencers are the following:

Hemisfair Park Master Plan

In 2009, the City Council of San Antonio formed the Hemisfair Park Area Redevelopment Corporation (hereafter referred to as “HPARC”) to accomplish certain governmental purposes of City, such as assisting with acquiring property, planning, developing, constructing, managing, maintaining and financing projects within Hemisfair Park and areas adjacent to or near the park. Over the last several years, a comprehensive master plan has been developed with the intent of reshaping and breathing new life into this valuable City resource. Adopted by the City Council in early 2012, the master plan concept should provide opportunity for HBGCC to further integrate into the City’s urban fabric. For more information on the Hemisfair plan refer to the following web site: <http://www.hemisfair.org/>. This will not be included in the DB scope except for coordination.

Market Street Realignment

The realignment of Market Street, east of the Grand Hyatt Hotel, as well as the realignment of Bowie Street, provides the maximum allowable footprint for the expansion of the facility. This new alignment

currently is in the design phase and is planned for design completion by the end of 2012. Bidding, contracting and construction of the realignment is scheduled to start in early 2013 with completion planned for mid 2014. This will not be included in the DB scope except for coordination.

Grand Hyatt San Antonio

Also located on Market Street, the Grand Hyatt Hotel is a significant neighbor located in very close proximity to HBGCC. Plans call for strategies to create a more integrated urban plan allowing for better synergies between the Grand Hyatt Hotel and HBGCC while maintaining critical separations, access points, operations, etc.

Architectural Character and Facility Aesthetic

The master plan for the facility recommends that HBGCC expansion and renovation maintain a similar design character, use of materials and overall aesthetic that pays homage to its rich and colorful South Texas context. The vertical exterior enclosure system, consisting primarily of limestone and glass, will integrate seamlessly with the facility expansion. Throughout the existing facility, there are elaborate mosaic murals, colorful niches, special display areas and eight different custom designed and trademarked carpets. These and other features, prominent in the existing facility aesthetic, will be characteristic of the HBGCC's expansion and renovation.

Expansion and Renovation Requirements

The expansion program calls for approximately 684,000 gross square feet of new construction, approximately 86,000 square feet of renovation and the demolition of the original 1968-era West Wing. Among the improvements are:

- Approximately 280,000 square feet of new exhibit space
- A new Ballroom of approximately 55,000 square feet
- Meeting, pre-function and back-of-house space to support the exhibit halls
- An expansion of the existing kitchen located on the third level
- Associated administrative and exhibit support offices
- Supporting facilities, such as maintenance shops and operations activities

The new construction described above, along with the demolition of the West Wing, will result in a slight increase of overall HBGCC space but will have drastically improved functionality. In addition, primary consideration is being given to contiguous exhibit space, which will increase by approximately 16% with the completion of the Expansion project.

Expansion and Renovation Project Overview/Requirements

- Schedule – The dates and time frames represented here are based on the latest acceptable delivery milestones.
 - Design-Build Team selection in September 2012.
 - Design starting in October 2012.
 - Commencement of construction in third quarter of 2013.
 - Occupancy and use of all facilities east of the west bank of the San Antonio river by no later than April, 2016.
 - Demolition and completion of the new West Wing exterior façade by July, 2016.
 - It is anticipated that there will be an overlap in the construction process of the Convention Center and the realignment of Market Street.
 - The existing Convention Center operations must be maintained and continue throughout the construction phase, with no closures or interruptions to client events.

- Establishment of Temporary Access/Egress
 - Existing utilities, including CPS gas and vaults for Convention Center and Lila Cockrell Theatre.
 - Existing Convention Center emergency generator fuel tank.
 - Existing Convention Center kitchen loading dock.
 - Roadway connection to new street alignment on Southeast area of Project site.
 - Existing loading docks on Southside of Convention Center.
 - Pedestrian fire exit pathways from existing facilities affected by expansion.
- Utility Considerations
 - Electrical – Temporary primary electrical vault for service to expansion site for the full anticipated load requirements at completion of the expansion area.
 - Chilled Water – Revisions or relocation of major service lines to convention center and Grand Hyatt hotel, if required by expansion of facility.
 - Sewer – Identification and protection of major primary line which crosses the building site from south to north and will not be relocated.

The anticipated Construction Cost Limitation for the DB services listed in this RFQ is expected to be in the range of \$270,000,000 - \$300,000,000.

City is seeking to contract with a DB firm which will take City’s provided programming documents and, via a DB contract, complete construction documents as the Architect of Record and perform all required construction for the Project, if selected. Upon completion, the DB will deliver a completed, fully functioning facility to City by or before July 2016, including all documents outlined in the contract. The Notice to Proceed for Design Services is anticipated to be given in September 2012. Construction is anticipated to begin September 2013.

OWNER REQUIRED PROVISIONS:

ALL DB WORK SHALL BE IN ACCORDANCE WITH THE DB AGREEMENT AND THE GENERAL CONDITIONS FOR CITY OF SAN ANTONIO DB CONTRACTS (INCLUDED BY REFERENCE IN THIS RFQ).

IV. TENTATIVE SCHEDULE FOR SELECTION PROCESS AND AWARD

Pre-Submittal Conference	June 25, 2012
Deadline for Submission of Written Questions	June 27, 2012
Phase I Qualifications Responses due	July 9, 2012
Phase II Interview Letter to Short-listed Firms	July 27, 2012
Phase II Proposed Costing Methodology due	August 16, 2012
Interview Short-listed Firms	August 17, 2012 & August 20, 2012
Anticipated City Council Consideration	September 20, 2012

V. PRE-SUBMISSION CONFERENCE

A Pre-submission Conference will be held on **Monday, June 25, 2012 at 11:00 a.m. at the Henry B. Gonzalez Convention Center, Room 210, located at 200 East Market, San Antonio, Texas 78205.** Respondents are encouraged to prepare and submit their questions in writing to the staff contact person listed in **Article X** of this RFQ at minimum three (3) calendar days in advance of the Pre-Submission Conference in order to expedite the proceedings (such that staff may review the questions received and be able to respond verbally during the pre-submission conference). City's responses to questions received by the due date may be distributed at the Pre-Submission Conference and posted on City's website at <http://epay.sanantonio.gov/RFPListings/>. Attendance at the Pre-Submission Conference is optional, but strongly encouraged.

The meeting place is accessible to disabled persons. The Convention Center is wheelchair accessible. Accessible parking spaces are available. Auxiliary aids and services are available upon request. Interpreters for the Deaf must be requested at least 48 hours prior to the meeting. For assistance, call (210) 207-7245 Voice/TTY.

Any oral responses provided by City staff at the Pre-Submittal Conference shall be preliminary. A written summary of the Pre-Submission Conference shall contain official responses, if any. Any oral response given at the Pre-Submission Conference that is not confirmed in the written summary of the Pre-Submission Conference or by a subsequent addendum shall not be official or binding on City. Only written responses shall be official and all other forms of communication with any officer, employee or agent of City shall not be binding on City.

VI. SUBMITTAL DOCUMENT REQUIREMENTS FOR PHASE I OF SOLICITATION

This RFQ is part of a two-part solicitation process. City will appoint a selection committee to perform the evaluations and will conduct a comprehensive, fair and impartial evaluation of all Statements of Qualifications received in response to this RFQ and shall rank each submittal received in response to this RFQ using the criteria set forth herein. Based on the evaluation process, the selection committee shall qualify a maximum of five (5) Respondents to participate in Phase II of the solicitation process.

Respondent's Submittal should include the required items in the following sequence:

1. COVER LETTER - Respondents shall include a one-page Cover Letter for the SOQ. The letter shall include Respondent's numbers of years in business, its number of years in business in the local office, its local office address and the number of employees employed in the local office. In addition, Respondent should highlight its experience related to convention center DB, working with municipalities and working with government agencies, including work with the City of San Antonio.
2. SUBMITTAL COVER/SIGNATURE PAGE (FORM 1): Respondent must complete, sign and include the Submittal Cover/Signature Page, as found in the RFQ Attachment 1, with its Submittal. The Submittal Cover/Signature Page must be signed by a person/persons authorized to bind the entity/entities submitting the response. Submittals signed by a person other than an officer of the company or partner of the firm shall be accompanied by evidence of authority.

Joint ventures require signatures from all firms participating in the joint venture. Joint ventures are required to provide legal proof of the joint venture, such as a joint venture Agreement, as an attachment to their Submittal. The Cover Page/Signature Page shall be indexed and labeled as “**Tab 1**” in the submittal.

3. SUBMITTAL CHECKLIST AND TABLE OF CONTENTS (FORM 2): Respondent shall complete and utilize this form, as found in RFQ Attachment 2. Submittal Checklist and Table of Contents shall be indexed and labeled as “**Tab 2**” in the submittal.
4. DISCRETIONARY CONTRACTS DISCLOSURE FORM (FORM 3): All Respondents seeking to contract with City shall complete and return this form online at: <http://www.sanantonio.ove/eforms/atty/DiscretionaryContractsDisclosure.pdf> If a Respondent is proposing as a team or joint venture, then each team member or joint venturer shall complete this form. A copy of this form shall be indexed and labeled as “**Tab 3**” in the submittal.
5. LITIGATION DISCLOSURE FORM (FORM 4) – Respondent shall complete the Litigation Disclosure form, as found in RFQ Attachment 4 and additional pages for explanation, if necessary. If a Respondent is proposing as a team or joint venture, then each team member or joint venturer shall complete this form. This form shall be indexed and labeled as “**Tab 4**” in the submittal.
6. SMALL BUSINESS ECONOMIC DEVELOPMENT ADVOCACY (FORM 5): Submit a completed and signed Subcontractor/Supplier Utilization Commitment Form indicated that your firm commits to satisfy a thirty-five percent (35%) SBE subcontracting goal AND a thirty percent (30%) M/WBE subcontracting goal for this solicitation. During the first phase of this solicitation, absent a waiver granted by the SBO, failure of Respondent to submit a completed Subcontractor/Supplier Utilization Commitment Form in its response shall render its response **NON-RESPONSIVE**. This form shall be indexed and labeled as “**Tab 5**” in the submittal.
7. PROOF OF INSURABILITY AND BONDABILITY: Respondent shall submit a letter from insurance provider stating provider’s commitment to insure the Respondent for the types of coverage and at the levels specified in the attached General Conditions for City of San Antonio Building Design Build Contracts (attached hereto and labeled as RFQ **Exhibit “A”**) if awarded a contract in response to this solicitation process. Respondent shall also submit a copy of their current insurance certificate and a letter of intent from their Surety stating, in specific terms, that the Surety is prepared to issue both payment and performance bonds to the full value of the proposal tendered for project awarded in response to this solicitation. All bonds required by the Contract shall be obtained from solvent surety companies that are duly licensed by the State of Texas and authorized to issue bond policies for the limits and coverage required by the Contract. The bonds shall be issued by a Surety which complies with the requirement of Article 7.19-1, Texas Insurance Code (1997). Proof of Insurability and Bondability shall be indexed and labeled as “**Tab 6**”.
8. FINANCIAL STATEMENT: Respondent must provide evidence of financial capability and stability. The financial capability must be appropriate to the size and scope of the Project. The Respondent must provide audited Financial Statements for the most recent three (3) years, including all notes to the financial statements. Respondent’s Financial Statements shall be included **ONLY** with the original submittal and shall be indexed and labeled as “**Tab 7**”.

9. LETTERS OF REFERENCE (required): Respondent shall provide a maximum of five (5) letters of reference. Letters of Reference shall be indexed and labeled as “**Tab 8**”.
10. DESIGN-BUILD AGREEMENT TEMPLATE AND GENERAL CONDITIONS: Respondent shall review the City of San Antonio General Conditions (attached hereto and labeled as **Exhibit “A”**) and Design-Build Agreement template (attached hereto and labeled as **Exhibit “B”**) and provide written comments, objections and/or concerns regarding the Agreement and General Conditions with its submission. If Respondent does not have any comments, objections and/or concerns, Respondent must indicate that in this tab. If no comments, objections and/or concerns are submitted by the Respondent, City will presume that Respondent will sign the Design-Build Agreement as presented, if selected. Respondent shall index and label this information as “**Tab 9**”
11. STATEMENT OF QUALIFICATIONS: The Respondent’s SOQ should be submitted in a concise format with a description of the Respondent’s ability to meet the requirements of this RFQ. Emphasis should be on the completeness and clarity of the requested information below:
- A. Experience and Qualifications of the Prime DB Firm, Key Personnel and Key Sub-Consultants (60 Points)**
1. **Experience: (indexed and labeled as “Tab 10”)** - Provide a narrative in three (3) pages or less that describes the team’s qualifications as they relate to HBGCC Expansion Project. Include a history of how the proposed team has worked together on past similar projects, include the number of years working as a team.
 2. **Proposed Key Personnel/Organizational Chart (indexed and labeled as “Tab 11”)** - Key personnel included in this section are expected to be the same personnel that will be assigned to the Project, if awarded. Provide a detailed organizational chart of your firm, identifying key personnel who will be committed to work on the various tasks for this Project. In addition, provide a narrative description of the organization chart describing the proposed assignments, roles and responsibilities, lines of authority and communication for each team member to be directly involved with this Project. The Proposed Key Personnel must consist of, at minimum, a Licensed Professional Architect or Engineer with a minimum of five (5) years demonstrated experience with relevant convention center projects and/or major addition to or/renovations of an existing large-scale operating facility (preferably over \$100,000,000.00). Label key personnel assignments as:
 - Proposed Project Engineer;
 - Proposed Project Architect;
 - Proposed Project Manager;
 - Proposed Project Estimator;
 - Coordination of the project design and requirements with regulatory agencies and authorities;
 - Quality assurance/quality control (design);
 - Quality assurance/quality control (construction); and
 - Plan review coordination for securing all applicable permits.
 3. **Resumes (indexed and labeled as “Tab 12”)** – Respondent shall submit one-page resumes for all each key team members. Resumes should link to project sheets and may also include additional previously completed relevant projects not highlighted in the project

sheets. Resumes also shall include the license type (if applicable), number of years with DB firm, number of years experience in proposed role and experience with use of BIM technology in delivery of previous construction projects.

4. **Project Sheets (indexed and labeled as “Tab 13”** – Respondent shall provide 2-page project sheets (Project Sheet Example is attached hereto and labeled as RFQ **Exhibit “C”**) for three (3) successfully completed projects of both similar size and scope, with at least one utilizing the DB project method, in the past ten (10) years. For each highlighted project, the project sheet shall include the following:
 - a. Description of the project including level of LEED certification obtained, if any;
 - b. Photograph of the Project;
 - c. If not DB Contract, identify type of contract.
 - d. Project’s proposed substantial completion date and actual substantial completion date (explain inconsistencies);
 - e. Project’s original construction contract amount and final construction contract amount (explain inconsistencies);
 - f. Name of the Licensed Professional Architect and Engineer, noting whether this individual will work on this Project and his/her role planned for this project;
 - g. Project Manager and note whether this person will work on this Project and his/her role planned for this project.
 - h. Project Superintendent and note whether this person will work on this Project and his/her role planned for this project;
 - i. The owner’s name and the name of the representative (if different) who served as the day-to-day liaison for the construction phase of the project in the following format:
Name of Owner: _____
Name of Owner’s representative: _____
Representative’s Phone Number: _____
Representative’s E-mail: _____
 - j. In a tabular form, provide a list of the prime firm and all subcontractors, including their status as Small, Minority or Woman-Owned. This list shall also include the percent of total design fee paid to each subcontractor (first tier only) and percent earned by prime.

B. Team’s Experience with San Antonio Region Issues and Past Experience with the City of San Antonio (10 Points)

1. City is interested in evaluating Respondent’s experience with San Antonio issues, as may be evidenced by work in the San Antonio and surrounding area during the past five (5) years. In narrative form using two (2) pages, briefly describe experience in the following areas and reference projects relating to that experience. Note: you may reference projects included in project sheets under criteria A or include other projects but no additional project sheets should be provided for this criteria. This information shall be indexed and labeled as **“Tab 14”**.
 - Local area construction costs and practices;
 - Local environmental community, conditions and constraints;
 - Involvement in project development as it relates to public awareness in the local area;
 - Firm’s experience with public utilities within the San Antonio or surrounding area;
 - Local site development; and
 - Building code requirements.

2. A portion of the scoring for these criteria will be based on the City’s Consultants/Contractor Scorecard, other documentation or experience with City projects. The City will consider the history of the firm in complying with project programs, schedules, and budgets on previous **City of San Antonio** projects. **No items shall be submitted by the respondent for this criterion.** Specific items for consideration may include, but are not limited to:
 - Timely completion of projects;
 - Cooperative working relationship with City;
 - Prompt payment of subcontractors at all levels;
 - Compliance with other contract terms;
 - Compliance with City Ordinances on substitution/addition/deletion of subcontractors;
 - Provision of contracting opportunities for S/M/WBEs;
 - Compliance with City standards;
 - Conformance to City budget requirements.

C. Proposed Plan (25 Points) This information should include the firm’s proposed organizational structure and availability of labor resources (capacity to perform) in executing the firm’s effort. The firm shall submit information in a brief narrative plan that clearly and concisely describes the organization and approach to project to the information below:

1. **Design Management** – Shall be indexed and labeled as “**Tab 15**”. Limit response to the following items to two (2) pages:
 - Describe your firm’s management approach and team organization for the provisions outlined in this RFQ;
 - Describe your team’s Quality Control/Quality Assurance Process, approach and capabilities to maintain quality control of the design and construction; and
 - Describe your approach to assuring timely completion of designs, including methods for schedule recovery, if necessary.
2. **Construction Management** - Shall be indexed and labeled as “**Tab 16**”. Limit response to the following items to two (2) pages:
 - Describe your construction observation approach and ability to coordinate with all stakeholders;
 - Describe your cost estimating methodology and approach to construction documents and bid phase management; and
 - Describe your mechanism to track and respond to request for information, review of change orders, coordination construction progress meeting with the contractor, preparing and distributing meeting minutes, reviewing schedules, and other construction phase.
3. **Outreach and Diversity** - Shall be indexed and labeled as “**Tab 17**” and limited to a two (2) page narrative containing the following information:

Based upon overall performance as measured against a variety of factors and indicators, Respondents will be awarded points for their strategies and practices that have been implemented over the past thirty-six (36) months to ensure that they have not discriminated in the solicitation, selection, hiring or commercial treatment of subcontractors, vendors, suppliers or commercial customers. Respondents are requested to submit information that

describes their outreach and diversity practices in general. Examples of such factors and indicators that Respondents are requested to document the following:

- Effective outreach practices to inform all segments of the business community, including S/M/WBEs, of contract and subcontract opportunities;
- Demonstrated results in achieving diverse utilization of S/M/WBEs and other business enterprises.
- Track record in entering a successful joint venture with one or more S/M/WBEs.
- History of providing meaningful mentoring to one or more S/M/WBEs.
- Examples of extending insurance coverage for S/M/WBE subcontractors.
- Examples of providing assistance to S/M/WBE firms in obtaining a line of credit.
- Examples of internships/training opportunities provided for minority (and/or women) group members and local university students.
- Established policies and practices of sub-dividing tasks into reasonable units capable of being performed by smaller consulting firms.
- Using the services of, and/or collaborating with, economic development assistance agencies, trade groups and other organizations to conduct broad outreach and/or provide technical assistance to subcontractors, including S/M/WBEs.
- Providing or facilitating training workshops aimed at assisting S/M/WBEs in areas such as financial management, record-keeping, using technology/electronic media, marketing, soliciting and preparing proposals.
- Offering individualized on-site technical or design assistance to S/M/WBEs to compete for specific contracts.
- Offering quality assurance assistance to subcontractors and joint venture partners, including S/M/WBEs, such as policy and procedure development or implementation techniques.
- Offering business counseling and feedback to any S/M/WBE submitting a bid for a subcontract as to why their bid was not accepted.
- Offering a program to assist new, start-up or emerging S/M/WBEs.
- Documented attendance and/or participation in local small business trade fairs, conferences or symposiums.
- Established policy and practice of making prompt payments to subconsultants.
- Awards and/or recognition from business partners, trade groups or other organizations for implementing one or more strategies listed above.
- Debriefings, project meetings, mediation and other conflict resolution mechanisms offered to subconsultants to fairly and promptly address any disputes or problems that have arisen in the course of a project.
- Documentation of any other activity, policy or practice of the Respondent that Respondent believes contributes to equal business opportunity for all segments of the business community, including S/M/WBEs.

D. Mentor Protégé Program (5 Points) – Respondent shall submit completed and signed Mentor Protégé Commitment Form (FORM 6). This form shall be indexed and labeled as “**Tab 18**”. Respondents certifying their commitment to serve as mentors in the City of San Antonio’s Mentor Protégé Program will receive five (5) evaluation criteria percentage Points. Respondents document such commitment by initialing and signing the “Mentor Commitment Form” attached to this solicitation.

For joint venture respondents, each joint venture partner must initial, sign and submit a “Mentor Commitment Form” for the joint venture respondent to receive the five (5) evaluation preference Points.

No evaluation criteria percentage Points will be awarded to respondents currently serving as mentors through other mentor-protégé programs. A respondent committing to serve in the City’s Mentor Protégé Program shall only receive points associated with a solicitation one time within a two-year period.

Phase I Evaluation Criteria Summary:	Maximum Points
A. Experience and Qualifications of the DB Firm, Key Personnel, and Key Sub-Consultants	60 Points
B. Local Experience with San Antonio Region Issues and Past Experience with City of San Antonio	10 Points
C. Proposed Plan	25 Points
D. Mentor Protégé Program	5 Points
Total Maximum	100 Points

Respondent is expected to examine this RFQ carefully, and understand the terms and conditions for providing the services listed herein and respond completely. Failure to complete and provide any of the above-referenced documents may result in the Respondent’s submittal being deemed non-responsive and, therefore, disqualified from consideration.

VII. PHASE II EVALUATION CRITERIA (INTERVIEWS), IF SELECTED

Based on the evaluation process of Phase I, the selection committee shall qualify a maximum of five (5) Respondents to participate in Phase II of the solicitation process. Phase II of the solicitation process shall include requests for additional information from the short-listed firms and shall include an invitation for an interview. Additional information requested may include more detailed information from Respondent regarding demonstrated competence and qualifications, the ability of Respondent to meet the Project schedule and other information, as appropriate. During the Phase II of the solicitation process, the selection committee will evaluate and rank the short-listed firms based on the published evaluation criteria set forth below:

Phase II Evaluation Criteria Summary (Short-listed firms only):	Maximum Points
A. Background of the DB Firm, Key Personnel, and Key Sub-Consultants	20 Points
B. Proposed Approach to Meeting Project Schedule	25 Points
C. Project Understanding	25 Points
D. Budget and Costing Methodology	20 Points
E. Proposed Fees for General Conditions/Overhead & Profit	10 Points
Total Maximum	100 Points

VIII. PHASE I SUBMISSION INSTRUCTIONS

When submitting a Statement of Qualifications in person to the City Clerk’s Office, visitors to City Hall must allow time for security measures. Visitors to City Hall will be required to enter through the east side of the building. The public will pass through a metal detector and x-ray machine located in the lobby. All packages, purses and carried items will be scanned during regular business hours of 7:45 a.m. to 4:30 p.m. After the public proceeds through the metal detector, they will sign in and receive a visitor’s badge. For those that might require the use of a ramp, entry is available on the south side of the building (Dolorosa side). Security will meet the visitor in the basement with a hand scanner.

Respondent shall submit a total of ten (10) Qualification Statements which shall include one (1) original unbound Qualification Statement, signed in ink and including Respondent’s Financial Statements, and nine (9) printed copies of the submittal absent Respondent’s Financial Statements, as well as one (1) copy of the entire submittal in an Adobe PDF format (without Financial Statements) on a compact disk (CD) in a sealed package, clearly marked on the front of the package “**RFQ: DESIGN-BUILD SERVICES FOR THE HENRY B. GONZALEZ CONVENTION CENTER EXPANSION**” All submittals must be received in the City Clerk’s Office at **NO LATER THAN 10:00 AM ON MONDAY, JULY 9, 2012** the address indicated below. Any submittal received after this time shall not be considered.

Mailing Address:

City Clerk’s Office, Attn: Capital Improvement Management Services Department
P.O. Box 839966
San Antonio, Texas 78283-3966

Physical Address:

City Clerk’s Office, Attn: Capital Improvement Management Services Department
100 Military Plaza
City Hall, 2nd Floor,
San Antonio, Texas 78205

Submittals sent by facsimile or email will not be accepted.

Responses to the solicitation should be complete and well organized. Adherence to the maximum page criterion is critical; each page side (maximum 8 1/2" x 11") with criteria information will be counted. Respondent shall adhere to the page limitations for each section as stated herein. Pages which have project photos, charts, and graphs will be counted towards the maximum number of pages. Front and back covers, Table of Contents pages and tabbed divider pages will not be counted if they do not contain submittal information. The use of recycled paper is encouraged. Three-ring binders are **NOT** permitted. With regards to other types of binding, plastic (not metal) spiral or "comb" binding is highly recommended. Unnecessarily elaborate brochures, artwork, bindings, visual aides, expensive paper or other materials beyond which is sufficient to present a complete and effective submission are not required. All pages shall be numbered. Margins shall be no less than 1" around the perimeter of each page. Electronic files, websites or URLs shall not be included as part of the proposal, other than the CD specified above. Each submittal must include the sections and attachments in the sequence listed in the RFQ Section VI, Submittal Document Requirements for Phase I of the Solicitation, and each section must be divided by tabs and indexed as indicated in this RFQ. Failure to meet the above conditions may result in disqualification of the proposal.

Respondents who submit responses to this RFQ shall correctly reveal, disclose and state the true and correct name of the individual, proprietorship, corporation and /or partnership (clearly identifying the responsible general partner and all other partners who would be associated with the contract, if any). No nick-names, abbreviations (unless part of the legal title), shortened or short-hand, or local "handles" will be accepted in lieu of the full, true and correct legal name of the entity. These names shall comport exactly with the corporate and franchise records of the Texas Secretary of State and Texas Comptroller of Public Accounts. Individuals and proprietorships, if operating under other than an individual name, shall match with exact Assumed Name filings. Corporate Respondents and limited liability company Respondents shall include the 11-digit Comptroller's Taxpayer Number on the signature page of the Proposal.

IX. AMENDMENTS TO THE RFQ

Changes, amendments, or written responses to questions received in compliance with Section X, Restrictions on Communication may be posted on the City's website at <http://epay.sanantonio.gov/RFPListings/>. It is Respondent's responsibility to review this site and ascertain whether any amendments have been made prior to submission of a proposal. A Respondent who does not have access to the Internet, must notify City in accordance with Section X, Restrictions on Communication, that Respondent wishes to receive copies of changes, amendments, or written responses to questions by mail or facsimile.

No oral statement of any person shall modify or otherwise change or affect the terms, conditions or specifications stated in the RFQ, and changes to the RFQ – if any – shall be made in writing only.

X. RESTRICTION ON COMMUNICATION

Once this RFQ has been released, Respondents are prohibited from communicating with City staff regarding the RFQ or Submittals, with the following exceptions:

Respondents are prohibited from communicating with elected City officials and their staff regarding the RFQ or submittal from the time the RFQ has been released until the contract is posted as a City Council agenda item. Respondents are prohibited from communicating with City employees from the time the RFQ has been released until the contract is awarded. These restrictions extend to “thank you” letters, phone calls, emails and any contact that results in the direct or indirect discussion of the RFQ and/or submittal submitted by Respondents. Violation of this provision by Respondent and/or its agent may lead to disqualification of Respondent’s submittal from consideration. Exceptions to the restrictions on communication with City employees include:

1. Respondents may ask verbal questions concerning this RFQ at the Pre-Submittal Conference.
2. Respondents may submit written questions concerning this RFQ to the Staff Contact Person listed in the address below until **4:00 PM on Wednesday, June 27, 2012**. Questions received after the stated deadline will not be answered. It is suggested that all questions be sent by electronic mail or by fax.

Questions sent by certified mail, return receipt requested, will also be accepted and should be addressed to:

Carisa Gamez, Contract Coordinator
City of San Antonio, Capital Improvements Management Services Department
Contract Services Division
114 W. Commerce Street, 9th Floor, Room 910
San Antonio, TX 78205
Carisa.Gamez@sanantonio.gov
Fax: 210-207-4034

3. Respondents and/or their agents are encouraged to contact the Small Business Office of the Economic Development Department for assistance or clarification with issues specifically related to the City’s Small Business Economic Development Advocacy (SBEDA) Program policy and/or completion of the SBEDA forms. The point of contact is Maria Godina, who may be reached by telephone at (210) 207-5438 or by e-mail at Maria.Godina@sanantonio.gov. **This exception to the restriction on communication does not apply, and there is no contact permitted to the Small Business Office (SBO) regarding this solicitation, after the solicitation closing date.**
4. Respondents may provide responses to questions asked of them by the Staff Contact Person after responses are received and opened. During interviews, if any, verbal questions and explanations will be permitted. If interviews are conducted, Respondents shall not bring lobbyists. The City reserves the right to exclude any persons from such selection committee meetings as it deems in its best interests.

XI. AWARD OF CONTRACT AND RESERVATION OF RIGHTS

It is the intent of City of San Antonio to award this contract to the DB firm(s)/team(s) whose services provide the best value for City based on the selection criteria set out in this RFQ, which is phase one of the solicitation process, and in the second phase of the solicitation, as determined when considering the relative importance of price, capability and other published evaluation criteria. City reserves the right to adopt the most advantageous interpretation of the SOQ, additional information presented and

the subsequent Costing Methodology. City is not bound to accept the lowest priced Costing Methodology that is not in the best interest of City, as determined solely by City .

The SOQs submitted in response to this RFQ together with the subsequent additional information and Costing Methodology submitted by qualified Respondents in Phase Two of the solicitation will be analyzed based on the published criteria by City in determining which DB Firm will provide the best value to City .

1. The contract, if awarded, will be awarded to the DB Firm whose submittal is deemed most qualified to City, as determined by the selection committee, and subject to approval of City Council.
2. City may accept any submittal in whole or in part. If subsequent negotiations are conducted, they shall not constitute a rejection or alternate solicitation on the part of City. However, final selection of DB Firm is subject to City Council approval.
3. City reserves the right to accept one or more submittals or reject any or all submittals received in response to this RFQ and the subsequent interview process, and to waive informalities and irregularities in the submittals received. City also reserves the right to terminate this solicitation, and reissue a subsequent solicitation, and/or remedy technical errors in the process.
4. City will require the selected DB Firm to execute a contract in substantially the form as attached with City, prior to City Council award. No work shall commence until City signs the contract document(s) and Respondent provides the necessary evidence of insurance as required in the contract. Contract documents are not binding on City until approved by City Attorney.
5. In the event the parties cannot negotiate and execute a contract within the time specified by City, City reserves the right to terminate negotiations with the selected Respondent and commence negotiations with another Respondent.
6. This solicitation does not commit City to enter into a contract, award any services related to this solicitation, nor does it obligate City to pay any costs incurred in preparation or submission of a response or in anticipation of a contract.
7. The successful DB Firm must be able to formally invoice City for services rendered, incorporating the SAP-generated contract and purchase order numbers that shall be provided by City. City administers its design and construction management through an Internet-based management system. All vendors are required to comply with Specification 700 of City of San Antonio Standard Construction Specifications.
8. Conflicts of Interest. Respondent acknowledges that it is informed that the Charter of City of San Antonio and its Ethics Code prohibit a City officer or employee, as those terms are defined in the Ethics Code, from having a financial interest in any contract with City or any City agency such as City-owned utilities. An officer or employee has a “prohibited financial interest” in a contract with City or in the sale to City of land materials, supplies or service, if any of the following individual(s) or entities is a party to the contract or sale: City officer or employee; his parent, child or spouse; a business entity in which he or his parent, child or spouse owns ten percent or more of the voting stock or shares of the business entity, or ten percent or more of the fair market value of the business entity; or a business entity in which any

individual or entity above listed is a subcontractor on a City contract, a partner or a parent or subsidiary business entity.

9. Respondent is required to warrant and certify that it, its officers, employees and agents are neither officials nor employees of City, as defined in Section 2-42 of City's Ethics Code. (Discretionary Contracts Disclosure – Form 3 in this RFQ).
10. Independent Contractor. Respondent agrees and understands that, if selected, it and all persons designated by it to provide services in connection with a contract, is (are) and shall be deemed to be an independent contractor(s), responsible for its (their) respective acts or omissions, and that City shall in no way be responsible for Respondent's actions, and that none of the parties hereto will have authority to bind the others or to hold out to third parties, that it has such authority.
11. Effective January 1, 2006, Chapter 176 of the Texas Local Government Code requires that persons, or their agents, who seek to contract for the sale or purchase of property, goods, or services with City, shall file a completed conflict of interest questionnaire with City Clerk not later than the 7th business day after the date the person: (1) begins contract discussions or negotiations with City; or (2) submits to City an application, response to a request for proposals or bids, correspondence, or another writing related to a potential agreement with City. The conflict of interest questionnaire form is available from the Texas Ethics Commission by accessing either of the following web addresses:

http://www.ethics.state.tx.us/whatsnew/conflict_forms.htm

<http://www.ethics.state.tx.us/forms/CIQ.pdf>

Completed conflict of interest questionnaires may be mailed or delivered by hand to the Office of City Clerk, if mailing a completed conflict of interest questionnaire, mail to Office of City Clerk, P.O. Box 839966, San Antonio, TX 78283-3966. If delivering a completed conflict of interest questionnaire, deliver to: Office of City Clerk, City Hall, 2nd floor, 100 Military Plaza, San Antonio, TX 78205. Respondent should consult its own legal advisor with questions regarding the statute or form.

12. All submittals and/or any portions thereof become the property of City upon receipt and will not be returned. Any information deemed to be confidential by Respondent should be clearly noted on the page(s) where confidential information is contained. However, City cannot guarantee that it will not be compelled to disclose all or part of any public record under the Texas Public Information Act, since information deemed to be confidential by Respondent may not be considered confidential under Texas law, or pursuant to a court order.
13. Any cost or expense incurred by the Respondent that is associated with the preparation of the submittal, the Pre-Submission Conference, if any, or during any phase of the selection process, shall be borne solely by Respondent.
14. All provisions in Respondent's submittal including any estimated or projected costs, shall remain valid for one hundred twenty (120) days following the deadline date for submissions or, if a Proposal is accepted, throughout the entire term of the contract.

15. Subsequent to the issuance of this solicitation, the CIMS Department of City reserves the right to amend it, waive any requirement or irregularity, request modifications to submittals, providing all teams are treated equally, and reject any and all submittals for any reason. The CIMS Department further reserves the right to award one or more contracts for these projects as deemed in its best interest, and to request changes in the composition of any team.
16. Solicitation Review Process: Any respondent desiring a review of the solicitation process must deliver a written request to the Director of CIMS within 7 calendar days from the date the notice of non-selection was sent. When the CIMS Director receives a timely written request, the CIMS Director, or designee, shall review the respondents concerns and the solicitation process for legitimacy and procedural correctness. After performing a full review, the CIMS Director will notify the respondent in writing of his determination.
17. Debriefings: In an effort to improve solicitation responses, CIMS is making available on its web site a "Solicitation Response Tip List" that includes the top common items that "make or break" submissions. Providing this information prior to the due date of the submittal provides Respondents with an opportunity to develop a better response for each solicitation. As a result of this up-front effort, each Respondent is entitled to a one (1) debriefing per calendar year after the San Antonio City Council has made an award if:
 - (a) they are not the selected respondent; and
 - (b) they have not been debriefed since January 1, 2012.

Once a firm has been debriefed, it will not be eligible for future debriefings within that calendar year. Any Respondent meeting the above criteria that desires an individual submittal debriefing must deliver a written request to the CIMS Contract Services Division within seven (7) calendar days from the date a notice of non-selection was sent.

XII. SBEDA ORDINANCE COMPLIANCE PROVISIONS

A. Solicitation Response and Contract Requirements and Commitment

Respondent understands and agrees that the following provisions shall be requirements of this solicitation and the resulting contract, if awarded, and by submitting its Response, Respondent commits to comply with these requirements. In the absence of a waiver granted by the SBO, failure of a Prime Contractor to commit in its response, through a fully-documented and signed SBO-promulgated Subcontractor/Supplier Utilization Plan form, to satisfying the SBE subcontracting goal shall render its response NON-RESPONSIVE.

Waiver Request - A Respondent may request, for good cause, a full or partial Waiver of a **specified subcontracting goal** included in this solicitation by submitting the *Respondent Subcontracting Waiver Request* form (available at <http://www.sanantonio.gov/edd/SmallBusiness>) with its solicitation response. The Respondent's Waiver request must fully document subcontractor unavailability despite the Respondent's good faith efforts to comply with the goal. Such documentation shall include all good faith efforts made by Respondent including, but not limited to, which subcontractors were contacted (with phone numbers, e-mail addresses and mailing addresses, as applicable) and the method of contact. **Late Waiver requests will not be considered.**

Exception Request - A Respondent may, for good cause, request an Exception to the application of the SBEDA Program if the Respondent submits the *Exception to SBEDA Program Requirements Request* form (available at <http://www.sanantonio.gov/edd/SmallBusiness>) with its solicitation response. The Respondent’s Exception request must fully document why: (1) the value of the contract is below the \$50,000 threshold for application of the SBEDA Program; or (2) no commercially-useful subcontracting opportunities exist within the contract scope of work; or (3) the type of contract is outside of the scope of the SBEDA Ordinance. **Late Exception Requests will not be considered.**

B. SBEDA Program

The CITY has adopted a Small Business Economic Development Advocacy Ordinance (Ordinance No. 2010-06-17-0531 and as amended, also referred to as “SBEDA” or “the SBEDA Program”), which is posted on the City’s Economic Development (EDD) website page and is also available in hard copy form upon request to the CITY. The SBEDA Ordinance Compliance Provisions contained in this section of the Agreement are governed by the terms of this Ordinance, as well as by the terms of the SBEDA Ordinance Policy & Procedure Manual established by the CITY pursuant to this Ordinance, and any subsequent amendments to this referenced SBEDA Ordinance and SBEDA Policy & Procedure Manual that are effective as of the date of the execution of this Agreement. Unless defined in a contrary manner herein, terms used in this section of the Agreement shall be subject to the same expanded definitions and meanings as given those terms in the SBEDA Ordinance and as further interpreted in the SBEDA Policy & Procedure Manual.

C. Definitions

Affirmative Procurement Initiatives (API) – Refers to various Small Business Enterprise, Minority Business Enterprise, and/or Women Business Enterprise (“S/M/WBE”) Program tools and Solicitation Incentives that are used to encourage greater Prime and subcontract participation by S/M/WBE firms, including bonding assistance, evaluation preferences, subcontracting goals and joint venture incentives. (For full descriptions of these and other S/M/WBE program tools, see Section III. D. of Attachment A to the SBEDA Ordinance.)

Centralized Vendor Registration System (CVR) – a mandatory electronic system wherein the City requires all prospective Respondents and Subcontractors that are ready, willing and able to sell goods or services to the City to register. The CVR system assigns a unique identifier to each registrant that is then required for the purpose of submitting solicitation responses and invoices, and for receiving payments from the City. The CVR-assigned identifiers are also used by the Goal Setting Committee for measuring relative availability and tracking utilization of SBE and M/WBE firms by Industry or commodity codes, and for establishing Annual Aspirational Goals and Contract-by-Contract Subcontracting Goals.

Certification or “Certified” – the process by which the Small Business Office (SBO) staff determines a firm to be a bona-fide small, minority-, women-owned, or emerging small business enterprise. Emerging Small Business Enterprises (ESBEs) are automatically eligible for Certification as SBEs. Any firm may apply for multiple Certifications that cover each and every status category (e.g., SBE, ESBE, MBE, or WBE) for which it is able to satisfy eligibility standards. The SBO staff may contract these services to a regional Certification agency or other entity. For purposes of Certification, the City accepts any firm that is certified by local government entities and other organizations identified herein

that have adopted Certification standards and procedures similar to those followed by the SBO, provided the prospective firm satisfies the eligibility requirements set forth in this Ordinance in Section III.E.6 of Attachment A.

Commercially Useful Function – an S/M/WBE firm performs a Commercially Useful Function when it is responsible for execution of a distinct element of the work of the contract and is carrying out its responsibilities by actually performing, staffing, managing and supervising the work involved. To perform a Commercially Useful Function, the S/M/WBE firm must also be responsible, with respect to materials and supplies used on the contract, for negotiating price, determining quantity and quality, ordering the material, and installing (where applicable) and paying for the material itself. To determine whether an S/M/WBE firm is performing a Commercially Useful Function, an evaluation must be performed of the amount of work subcontracted, normal industry practices, whether the amount the S/M/WBE firm is to be paid under the contract is commensurate with the work it is actually performing and the S/M/WBE credit claimed for its performance of the work, and other relevant factors. Specifically, an S/M/WBE firm does not perform a Commercially Useful Function if its role is limited to that of an extra participant in a transaction, contract or project through which funds are passed in order to obtain the appearance of meaningful and useful S/M/WBE participation, when in similar transactions in which S/M/WBE firms do not participate, there is no such role performed. The use of S/M/WBE firms by CONTRACTOR to perform such “pass-through” or “conduit” functions that are not commercially useful shall be viewed by the CITY as fraudulent if CONTRACTOR attempts to obtain credit for such S/M/WBE participation towards the satisfaction of S/M/WBE participation goals or other API participation requirements. As such, under such circumstances where a commercially useful function is not actually performed by the S/M/WBE firm, the CONTRACTOR shall not be given credit for the participation of its S/M/WBE subcontractor or joint venture partner towards attainment of S/M/WBE utilization goals, and the CONTRACTOR and S/M/WBE firm may be subject to sanctions and penalties in accordance with the SBEDA Ordinance.

Evaluation Preference – an API that may be applied by the Goal Setting Committee (“GSC”) to Construction, Architectural & Engineering, Professional Services, Other Services, and Goods and Supplies contracts that are to be awarded on a basis that includes factors other than lowest price, and wherein responses that are submitted to the City by S/M/WBE firms may be awarded additional Points in the evaluation process in the scoring and ranking of their proposals against those submitted by other prime CONTRACTORs or Respondents.

Good Faith Efforts – documentation of the CONTRACTOR’s or Respondent’s intent to comply with S/M/WBE Program Goals and procedures including, but not limited to, the following: (1) documentation within a solicitation response reflecting the Respondent’s commitment to comply with SBE or M/WBE Program Goals as established by the GSC for a particular contract; or (2) documentation of efforts made toward achieving the SBE or M/WBE Program Goals (e.g., timely advertisements in appropriate trade publications and publications of wide general circulation; timely posting of SBE or M/WBE subcontract opportunities on the City of San Antonio website; solicitations of bids/proposals/qualification statements from all qualified SBE or M/WBE firms listed in the Small Business Office’s directory of certified SBE or M/WBE firms; correspondence from qualified SBE or M/WBE firms documenting their unavailability to perform SBE or M/WBE contracts; documentation of efforts to subdivide work into smaller quantities for subcontracting purposes to enhance opportunities for SBE or M/WBE firms; documentation of a Prime Contractor’s posting of a bond covering the work of SBE or M/WBE Subcontractors; documentation of efforts to assist SBE or M/WBE firms with obtaining financing, bonding or insurance required by the Respondent; and documentation of consultations with trade associations and consultants that represent the interests of SBE and/or M/WBEs in order to identify qualified and available SBE or M/WBE Subcontractors.)

The appropriate form and content of CONTRACTOR's Good Faith Efforts documentation shall be in accordance with the SBEDA Ordinance as interpreted in the SBEDA Policy & Procedure Manual.

HUBZone Firm – a business that has been certified by U.S. Small Business Administration for participation in the federal HUBZone Program, as established under the 1997 Small Business Reauthorization Act. To qualify as a HUBZone firm, a small business must meet the following criteria: (1) it must be owned and Controlled by U.S. citizens; (2) at least 35 percent of its employees must reside in a HUBZone; and (3) its Principal Place of Business must be located in a HUBZone within the San Antonio Metropolitan Statistical Area. [See 13 C.F.R. 126.200 (1999).]

Independently Owned and Operated – ownership of an SBE firm must be direct, independent and by Individuals only. Ownership of an M/WBE firm may be by Individuals and/or by other businesses provided the ownership interests in the M/WBE firm can satisfy the M/WBE eligibility requirements for ownership and Control as specified herein in Section III.E.6. The M/WBE firm must also be Independently Owned and Operated in the sense that it cannot be the subsidiary of another firm that does not itself (and in combination with the certified M/WBE firm) satisfy the eligibility requirements for M/WBE Certification.

Individual – an adult person that is of legal majority age.

Industry Categories – procurement groupings for the City of San Antonio inclusive of Construction, Architectural & Engineering (A&E), Professional Services, Other Services, and Goods & Supplies (i.e., manufacturing, wholesale and retail distribution of commodities). This term may sometimes be referred to as “business categories.”

Joint Venture – Joint ventures are manifested by written agreements between two or more Independently Owned and Controlled business firms to form a third business entity solely for purposes of undertaking distinct roles and responsibilities in the completion of a given contract. Under this business arrangement, each joint venture partner shares in the management of the joint venture and also shares in the profits or losses of the joint venture enterprise commensurately with its contribution to the venture.

Minority/Women Business Enterprise (M/WBE) – firm that is certified as a Small Business Enterprise and that is also certified as either a Minority Business Enterprise or as a Women Business Enterprise, and which is at least fifty-one percent (51%) owned, managed and Controlled by one or more Minority Group Members and/or women, and that is ready, willing and able to sell goods or services that are purchased by the City of San Antonio.

M/WBE Directory – a listing of minority- and women-owned businesses that have been certified for participation in the City's M/WBE Program APIs.

Minority Business Enterprise (MBE) – any legal entity, except a joint venture, that is organized to engage in for-profit transactions, which is certified as a Small Business Enterprise and also certified as being at least fifty-one percent (51%) owned, managed and controlled by one or more Minority Group Members, and that is ready, willing and able to sell goods or services that are purchased by the CITY. To qualify as an MBE, the enterprise shall meet the Significant Business Presence requirement as defined herein. Unless otherwise stated, the term “MBE” as used in this Ordinance is not inclusive of women-owned business enterprises (WBEs).

Minority Group Members – African-Americans, Hispanic Americans, Asian Americans and Native Americans legally residing in, or that are citizens of, the United States or its territories, as defined below:

African-Americans: Persons having origins in any of the black racial groups of Africa as well as those identified as Jamaican, Trinidadian, or West Indian.

Hispanic-Americans: Persons of Mexican, Puerto Rican, Cuban, Spanish or Central and South American origin.

Asian-Americans: Persons having origins in any of the original peoples of the Far East, Southeast Asia, the Indian subcontinent or the Pacific Islands.

Native Americans: Persons having no less than 1/16th percentage origin in any of the Native American Tribes, as recognized by the U.S. Department of the Interior, Bureau of Indian Affairs and as demonstrated by possession of personal tribal role documents.

M/WBE Subcontracting Program – an API in which Prime Contractors or vendors are required to make Good Faith Efforts to subcontract a specified percentage of the value of prime contract dollars to certified M/WBE firms. Such subcontracting goals may be set and applied by the GSC on a contract-by-contract basis to those types of contracts that provide subcontract opportunities for performing Commercially Useful Functions wherein:

- (1) There have been ongoing disparities in the utilization of available M/WBE Subcontractors; or
- (2) Race-Neutral efforts have failed to eliminate persistent and significant disparities in the award of prime contracts to M/WBEs in a particular Industry Category or industry segment (e.g., Construction contracts, Professional Services contracts, and Architectural and Engineering contracts), and subcontract opportunities are limited outside of CITY contracts.

When specified by the Goal Setting Committee, the Subcontractor/Supplier Utilization Plan submitted by CONTRACTOR may also be required to reflect Good Faith Efforts that a Prime Contractor or vendor has taken (or commits to taking in the case of solicitations that do not include a detailed scope of work or those in which price cannot be considered a factor in evaluation), toward attainment of subcontracting goals for M/WBE firms.

Originating Department – the CITY department or authorized representative of the CITY which issues solicitations or for which a solicitation is issued.

Payment – dollars actually paid to CONTRACTORS and/or Subcontractors and vendors for CITY contracted goods and/or services.

Prime Contractor – the vendor or contractor to whom a purchase order or contract is issued by the City of San Antonio for purposes of providing goods or services for the City. For purposes of this Agreement, this term refers to the CONTRACTOR.

Points – the quantitative assignment of value for specific evaluation criteria in the vendor selection process used in some Construction, Architectural & Engineering, Professional Services, and Other Services contracts (e.g., up to 10 points out of a total of 100 points assigned for S/M/WBE participation as stated in response to a Request for Proposals).

Relevant Marketplace – the geographic market area affecting the S/M/WBE Program as determined for purposes of collecting data for the MGT Studies, and for determining eligibility for participation under various programs established by the SBEDA Ordinance, is defined as the San Antonio Metropolitan Statistical Area (SAMSA), currently including the counties of Atascosa, Bandera, Bexar, Comal, Guadalupe, Kendall, Medina and Wilson.

Respondent – a vendor submitting a bid, statement of qualifications, or proposal in response to a solicitation issued by the City. For purposes of this Agreement, CONTRACTOR is the Respondent.

Responsible – a firm which is capable in all respects to fully perform the contract requirements and has the integrity and reliability which will assure good faith performance of contract specifications.

San Antonio Metropolitan Statistical Area (SAMSA) – also known as the Relevant Marketplace, the geographic market area from which the CITY's MGT Studies analyzed contract utilization and availability data for disparity (currently including the counties of Atascosa, Bandera, Bexar, Comal, Guadalupe, Kendall, Medina and Wilson).

SBE Directory - a listing of small businesses that have been certified for participation in the City's SBE Program APIs.

SBE Subcontracting Program – an API in which Prime Contractors or vendors are required to make Good Faith Efforts to subcontract a specified percentage of the value of prime contract dollars to certified SBE firms. Such subcontracting goals may be set and applied by the GSC on a contract-by-contract basis to those types of contracts that provide subcontract opportunities for performing Commercially Useful Functions wherein there have been ongoing disparities in the utilization of available SBE Subcontractors.

When specified by the Goal Setting Committee, the Subcontractor/Supplier Utilization Plan submitted by CONTRACTOR may also be required to reflect Good Faith Efforts that a Prime Contractor or vendor has taken (or commits to taking in the case of solicitations that do not include a detailed scope of work or those in which price cannot be considered a factor in evaluation), toward attainment of subcontracting goals for SBE firms.

Significant Business Presence – to qualify for this Program, a S/M/WBE must be headquartered or have a *significant business presence* for at least one year within the Relevant Marketplace, defined as: an established place of business in one or more of the eight counties that make up the San Antonio Metropolitan Statistical Area (SAMSA), from which 20% of its full-time, part-time and contract employees are regularly based, and from which a substantial role in the S/M/WBE's performance of a Commercially Useful Function is conducted. A location utilized solely as a post office box, mail drop or telephone message center or any combination thereof, with no other substantial work function, shall not be construed to constitute a significant business presence.

Small Business Enterprise (SBE) – a corporation, partnership, sole proprietorship or other legal entity for the purpose of making a profit, which is Independently Owned and Operated by Individuals legally residing in, or that are citizens of, the United States or its territories, and which meets the U.S. Small Business Administration (SBA) size standard for a small business in its particular industry(ies) and meets the Significant Business Presence requirements as defined herein.

Small Business Office (SBO) – the office within the Economic Development Department (EDD) of the CITY that is primarily responsible for general oversight and administration of the S/M/WBE Program.

Small Business Office Manager – the Assistant Director of the EDD of the CITY that is responsible for the management of the SBO and ultimately responsible for oversight, tracking, monitoring, administration, implementation and reporting of the S/M/WBE Program. The SBO Manager is also responsible for enforcement of contractor and vendor compliance with contract participation requirements, and ensuring that overall Program goals and objectives are met.

Small Minority Women Business Enterprise Program (S/M/WBE Program) – the combination of SBE Program and M/WBE Program features contained in the SBEDA Ordinance.

Subcontractor – any vendor or contractor that is providing goods or services to a Prime Contractor or CONTRACTOR in furtherance of the Prime Contractor’s performance under a contract or purchase order with the City. A copy of each binding agreement between the CONTRACTOR and its subcontractors shall be submitted to the CITY prior to execution of this contract Agreement and any contract modification Agreement.

Suspension – the temporary stoppage of the SBE or M/WBE firm’s beneficial participation in the CITY’s S/M/WBE Program for a finite period of time due to cumulative contract payments the S/M/WBE firm received during a fiscal year that exceed a certain dollar threshold as set forth in Section III.E.7 of Attachment A to the SBEDA Ordinance, or the temporary stoppage of CONTRACTOR’s and/or S/M/WBE firm’s performance and payment under CITY contracts due to the CITY’s imposition of Penalties and Sanctions set forth in Section III.E.13 of Attachment A to the SBEDA Ordinance.

Subcontractor/Supplier Utilization Plan – a binding part of this contract Agreement which states the CONTRACTOR’s commitment for the use of Joint Venture Partners and/or Subcontractors/Suppliers in the performance of this contract Agreement, and states the name, scope of work, and dollar value of work to be performed by each of CONTRACTOR’s Joint Venture partners and Subcontractors/Suppliers in the course of the performance of this contract, specifying the S/M/WBE Certification category for each Joint Venture partner and Subcontractor/Supplier, as approved by the SBO Manager. Additions, deletions or modifications of the Joint Venture partner or Subcontractor/Supplier names, scopes of work, or dollar values of work to be performed requires an amendment to this Agreement to be approved by the EDD Director or designee.

Women Business Enterprises (WBEs) - any legal entity, except a joint venture, that is organized to engage in for-profit transactions, that is certified for purposes of the SBEDA Ordinance as a Small Business Enterprise and as being at least fifty-one percent (51%) owned, managed and Controlled by one or more non-minority women Individuals that are lawfully residing in, or are citizens of, the United States or its territories, that is ready, willing and able to sell goods or services that are purchased by the City and that meets the Significant Business Presence requirements as defined herein. Unless otherwise stated, the term “WBE” as used in this Agreement is not inclusive of MBEs.

D. SBEDA Program Compliance – General Provisions

As CONTRACTOR acknowledges that the terms of the CITY’s SBEDA Ordinance, as amended, together with all requirements, guidelines, and procedures set forth in the CITY’s SBEDA Policy & Procedure Manual are in furtherance of the CITY’s efforts at economic inclusion and, moreover, that such terms are part of CONTRACTOR’s scope of work as referenced in the CITY’s formal solicitation that formed the basis for contract award and subsequent execution of this Agreement, these SBEDA Ordinance requirements, guidelines and procedures are hereby incorporated by reference into this

Agreement, and are considered by the Parties to this Agreement to be material terms. CONTRACTOR voluntarily agrees to fully comply with these SBEDA program terms as a condition for being awarded this contract by the CITY. Without limitation, CONTRACTOR further agrees to the following terms as part of its contract compliance responsibilities under the SBEDA Program:

1. CONTRACTOR shall cooperate fully with the Small Business Office and other CITY departments in their data collection and monitoring efforts regarding CONTRACTOR's utilization and payment of Subcontractors, S/M/WBE firms, and HUBZone firms, as applicable, for their performance of Commercially Useful Functions on this contract including, but not limited to, the timely submission of completed forms and/or documentation promulgated by SBO, through the Originating Department, pursuant to the SBEDA Policy & Procedure Manual, timely entry of data into monitoring systems, and ensuring the timely compliance of its Subcontractors with this term;
2. CONTRACTOR shall cooperate fully with any CITY or SBO investigation (and shall also respond truthfully and promptly to any CITY or SBO inquiry) regarding possible non-compliance with SBEDA requirements on the part of CONTRACTOR or its Subcontractors or suppliers;
3. CONTRACTOR shall permit the SBO, upon reasonable notice, to undertake inspections as necessary including, but not limited to, contract-related correspondence, records, documents, payroll records, daily logs, invoices, bills, cancelled checks, and work product, and to interview Subcontractors and workers to determine whether there has been a violation of the terms of this Agreement;
4. CONTRACTOR shall immediately notify the SBO, in writing on the Change to Utilization Plan form, through the Originating Department, of any proposed changes to CONTRACTOR's Subcontractor / Supplier Utilization Plan for this contract, with an explanation of the necessity for such proposed changes, including documentation of Good Faith Efforts made by CONTRACTOR to replace the Subcontractor / Supplier in accordance with the applicable Affirmative Procurement Initiative. All proposed changes to the Subcontractor / Supplier Utilization Plan including, but not limited to, proposed self-performance of work by CONTRACTOR of work previously designated for performance by Subcontractor or supplier, substitutions of new Subcontractors, terminations of previously designated Subcontractors, or reductions in the scope of work and value of work awarded to Subcontractors or suppliers, shall be subject to advanced written approval by the Originating Department and the SBO. CONTRACTOR shall require new Subcontractors or Suppliers, prior to submission of CONTRACTOR's Change to Utilization Plan form, to register in the Centralized Vendor Registration system, before seeking SBO approval.
5. CONTRACTOR shall immediately notify the Originating Department and SBO of any transfer or assignment of its contract with the CITY, as well as any transfer or change in its ownership or business structure.
6. CONTRACTOR shall retain all records of its Subcontractor payments for this contract for a minimum of four years, or as required by state law, following the conclusion of this contract or, in the event of litigation concerning this contract, for a minimum of four years, or as required by state law, following the final determination of litigation, whichever is later.

7. In instances wherein the SBO determines that a Commercially Useful Function is not actually being performed by the applicable S/M/WBE or HUBZone firms listed in a CONTRACTOR's Subcontractor / Supplier Utilization Plan, the CONTRACTOR shall not be given credit for the participation of its S/M/WBE or HUBZone subcontractor(s) or joint venture partner(s) toward attainment of S/M/WBE or HUBZone firm utilization goals, and the CONTRACTOR and its listed S/M/WBE firms or HUBZone firms may be subject to sanctions and penalties in accordance with the SBEDA Ordinance.
8. CONTRACTOR acknowledges that the CITY will not execute a contract or issue a Notice to Proceed for this project until the CONTRACTOR and each of its Subcontractors for this project have registered and/or maintained active status in the CITY's Centralized Vendor Registration System, and CONTRACTOR has represented to CITY which primary commodity codes each registered Subcontractor will be performing under for this contract.

E. SBEDA Program Compliance – Affirmative Procurement Initiatives

The CITY has applied the following contract-specific Affirmative Procurement Initiatives (APIs) to this contract. CONTRACTOR hereby acknowledges and agrees that the selected API requirements shall also be extended to any change order or subsequent contract modification and, absent SBO's granting of a waiver, that its full compliance with the following API terms and conditions is material to its satisfactory performance under this Agreement:

SBE and M/WBE Subcontracting Programs. In accordance with SBEDA Ordinance Section III. D. 1. (c) and Section III. D. 2. (b), this contract is being awarded pursuant to the SBE Subcontracting Program and M/WBE Subcontracting Program. CONTRACTOR agrees to subcontract at least **thirty five percent (35%)** of its prime contract value to certified SBE firms headquartered or having a significant business presence within the San Antonio Metropolitan Statistical Area (SAMSA). CONTRACTOR further agrees to subcontract at least **thirty percent (30%)** of its prime contract value to certified M/WBE firms (see *Minority/Women Business Enterprise* definition) headquartered or having a Significant Business Presence within the San Antonio Metropolitan Statistical Area (SAMSA). The Subcontractor / Supplier Utilization Plan that CONTRACTOR submitted to CITY with its response for this contract (or, as appropriate, that it agrees to submit during the price proposal negotiation phase of this contract), and that contains the names of the certified SBE and M/WBE Subcontractors to be used by CONTRACTOR on this contract, the respective percentages of the total prime contract dollar value to be awarded and performed by each SBE and M/WBE Subcontractor, and documentation including a description of each SBE and M/WBE Subcontractor's scope of work and confirmation of each SBE and M/WBE Subcontractor's commitment to perform such scope of work for an agreed upon dollar amount is hereby attached and incorporated by reference into the material terms of this Agreement.

In the absence of a waiver granted by the SBO, the failure of CONTRACTOR to attain this subcontracting goal for SBE or M/WBE firm participation in the performance of a Commercially Useful Function under the terms of its contract shall be a material breach and grounds for termination of the contract with the CITY, and may result in debarment from performing future CITY contracts, withholding of payment for retainage equal to the dollar amount of the underutilization below the agreed upon SBE or M/WBE subcontracting goals, and/or shall be subject to any other remedies

available under the terms of this Agreement for violations of the SBEDA Ordinance, or under any other law.

F. Commercial Nondiscrimination Policy Compliance

As a condition of entering into this Agreement, the CONTRACTOR represents and warrants that it has complied with throughout the course of this solicitation and contract award process, and will continue to comply with, the CITY's Commercial Nondiscrimination Policy, as described under Section III. C. 1. of the SBEDA Ordinance. As part of such compliance, CONTRACTOR shall not discriminate on the basis of race, color, religion, ancestry or national origin, sex, age, marital status, sexual orientation or, on the basis of disability or other unlawful forms of discrimination in the solicitation, selection, hiring or commercial treatment of Subcontractors, vendors, suppliers, or commercial customers, nor shall the company retaliate against any person for reporting instances of such discrimination. The company shall provide equal opportunity for Subcontractors, vendors and suppliers to participate in all of its public sector and private sector subcontracting and supply opportunities, provided that nothing contained in this clause shall prohibit or limit otherwise lawful efforts to remedy the effects of marketplace discrimination that have occurred or are occurring in the CITY's Relevant Marketplace. The company understands and agrees that a material violation of this clause shall be considered a material breach of this Agreement and may result in termination of this Agreement, disqualification of the company from participating in CITY contracts, or other sanctions. This clause is not enforceable by or for the benefit of, and creates no obligation to, any third party. CONTRACTOR's certification of its compliance with this Commercial Nondiscrimination Policy as submitted to the CITY pursuant to the solicitation for this contract is hereby incorporated into the material terms of this Agreement. CONTRACTOR shall incorporate this clause into each of its Subcontractor and supplier agreements entered into pursuant to CITY contracts.

G. Prompt Payment

Upon execution of this contract by CONTRACTOR, CONTRACTOR shall be required to submit to CITY accurate progress payment information with each invoice regarding each of its Subcontractors, including HUBZone Subcontractors, to ensure that the CONTRACTOR's reported subcontract participation is accurate. CONTRACTOR shall pay its Subcontractors in compliance with Chapter 2251, Texas Government Code (the "Prompt Payment Act") within ten days of receipt of payment from CITY. In the event of CONTRACTOR's noncompliance with these prompt payment provisions, no final retainage on the Prime Contract shall be released to CONTRACTOR, and no new CITY contracts shall be issued to the CONTRACTOR until the CITY's audit of previous subcontract payments is complete and payments are verified to be in accordance with the specifications of the contract.

H. Violations, Sanctions and Penalties

In addition to the above terms, CONTRACTOR acknowledges and agrees that it is a violation of the SBEDA Ordinance and a material breach of this Agreement to:

1. Fraudulently obtain, retain, or attempt to obtain, or aid another in fraudulently obtaining, retaining, or attempting to obtain or retain Certification status as an SBE, MBE, WBE, M/WBE, HUBZone firm, Emerging M/WBE, or ESBE for purposes of benefiting from the SBEDA Ordinance;

2. Willfully falsify, conceal or cover up by a trick, scheme or device, a material fact or make any false, fictitious or fraudulent statements or representations, or make use of any false writing or document, knowing the same to contain any false, fictitious or fraudulent statement or entry pursuant to the terms of the SBEDA Ordinance;

3. Willfully obstruct, impede or attempt to obstruct or impede any authorized official or employee who is investigating the qualifications of a business entity which has requested Certification as an S/M/WBE or HUBZone firm;

4. Fraudulently obtain, attempt to obtain or aid another person fraudulently obtaining or attempting to obtain public monies to which the person is not entitled under the terms of the SBEDA Ordinance; and

5. Make false statements to any entity that any other entity is, or is not, certified as an S/M/WBE for purposes of the SBEDA Ordinance.

Any person who violates the provisions of this section shall be subject to the provisions of Section III. E. 13. of the SBEDA Ordinance and any other penalties, sanctions and remedies available under law including, but not limited to:

1. Suspension of contract;

2. Withholding of funds;

3. Rescission of contract based upon a material breach of contract pertaining to S/M/WBE Program compliance;

4. Refusal to accept a response or proposal; and

5. Disqualification of CONTRACTOR or other business firm from eligibility for providing goods or services to the City for a period not to exceed two years (upon City Council approval).