



**procurement
operations**

**Request for Qualifications (RFQ)
For
Financial Statement Opinion Audit
Services**

Project No. 08-09

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REQUEST FOR QUALIFICATIONS (RFQ)

Date: April 14, 2008
To: Prospective Respondents
Subject: Request for Qualifications ("RFQ") for Financial Statement Opinion
Audit Services, Project No. 08-09

I. General Information

The Houston Community College System ("HCC") is seeking *Letters of Interest and Qualifications Statements* from qualified, independent, certified public accounting firms interested in providing Financial Statement Opinion Audit Services, including annual financial statement, in accordance with the Scope of Services contained in Paragraph IX of this solicitation.

II. Description of HCC and Records to be Audited

HCC (a governmental subdivision of the State of Texas) consists of Six (6) colleges with multiple campuses located throughout the Houston, Texas metropolitan area. HCC has a student population of approximately 60,000 students and an approximate budget of \$226,000,000, per year. HCC has the following Seven (7) types of funds:

- Unrestricted;
- Restricted;
- Auxiliary;
- Unexpended Plant funds/Renewal and Replacements;
- Retirement of Indebtedness;
- Investment in Plant;
- Public Facility Corporation.

The basis of accounting used to recognize cash and expense is a combination of cash and accrual. The financial statements of HCC have been prepared on the accrual basis of accounting. The audit services to be conducted under this solicitation will be at the fund level.

The audit shall be conducted in accordance with generally accepted auditing standards applicable to financial audits contained in Government Auditing Standards (including GASB's 34 and 35), issued by the Comptroller of the United States and the standards applicable to financial audits contained in the State of Texas Single Audit Circular. The audit shall include the basic financial statements of HCC and supplemental schedules in the precise format prescribed by the Texas Higher Education Coordinating Board. All federal reports and schedules as required by Government Auditing Standards and Office of Management and Budget Circular A-133, Audits of States, Local Governments and Non-Profit Organizations, will also be required.

HCC was authorized on May 8, 1971, in accordance with the laws of the State of Texas, to serve the educational needs of the Houston Independent School District, City of Stafford and Missouri City, Texas. HCC also serves the Texas school

districts of Alief, Katy, North Forest and Spring Branch at those districts requests. HCC is a comprehensive public two-year institution offering academic, general, occupational, development, and continuing adult education programs through a network of Colleges.

HCC is considered to be a special purpose, primary government according to the definition in Governmental Accounting Standards Board (GASB) Statement No. 14. While HCC receives funding from Local, State and Federal sources, and must comply with the spending, reporting, and recordkeeping requirements of these entities, it is not a component of any other governmental entity.

The financial statements of HCC include the funds of all organizations and entities for which it has oversight responsibility. Oversight responsibility includes, but is not limited to, financial interdependency, selection of governing authority, designation of management, ability to significantly influence operations, and accountability for fiscal matters. Not included in the financial statements is the Houston Community College System Foundation. The Foundation is a not-for-profit corporation controlled by a separate Board of Trustees, whose sole purpose is to advance and assist in the development, growth, and operation of Houston Community College System.

III. Contract Approval

This Procurement is subject to approval by HCC Board of Trustees. Subsequent to Board approval, the only person authorized to commit HCC contractually is the Chancellor or designee.

HCC reserves the right to reject any or all submittals, negotiate changes in the scope of services sought, and waive technicalities or irregularities in this solicitation. The RFQ solicitation does not obligate HCC to select a particular firm or individual for any project(s).

HCC requires completion of all applicable attachments contained in this RFQ. Failure to complete the required attachments may result in the HCC evaluation team determining that the respondent is non-responsive to the RFQ.

HCC is not responsible or liable for any expenses or costs incurred by any party responding to this RFQ.

Note: The purchase of services, which arises from this solicitation, is contingent upon the availability of appropriated funds. HCC shall have the right to cancel the resulting contract at the end of the current fiscal year if funds are not available for the next fiscal year to continue the resulting contract. If funds are withdrawn or do not become available, HCC reserves the right to cancel the resulting contract by giving the selected contractor a thirty (30) day written notice of cancellation without penalty. Upon cancellation of the resulting contract, HCC shall not be responsible for any payment of any service or product received that occurs after the end of the

current contract period. HCC's fiscal year begins on September 1 and ends on August 31.

The respondent shall place all ***inquiries*** relevant to this RFQ ***in writing only***. Written inquiries are due no later than April 21, 2008 at 4:00 P.M. (local time) at the following address:

Houston Community College System
Procurement Operations
3100 Main Street (11th Floor)
Houston, Texas 77002
Reference: Project No. 08-09
Attn: John Carter
E-mail: john.carter@hccs.edu
Tel: (713) 718-5029
Fax: (713) 718-2113

IV. Minimum Qualification Standards

The Respondent(s) shall meet the following minimum qualification standards:

- A licensed Certified public accountant **or** persons working for a certified public accounting organization shall perform the audit;
- The lead team member of the engagement shall be a certified public accountant;
- The audit organization shall meet the State of Texas licensing requirements or other legal requirements to perform the audit.

Note: If it is determined that the respondent/firm does not meet the above minimum qualifications standards, the firm shall be disqualified from further consideration in the evaluation process.

V. Document Format and Submission

Qualification Statement

The qualification statement shall be in the form of a bound 8½" x 11" report with a Table of Contents identifying all pages numbered in sequence. Total pages submitted must not exceed 12 – printed text must be on one side of the page only and the font size will not appear smaller than .12. Binding must allow reports to lie flat when opened and may be either wire or spiral binding. Format of the report may be either "portrait" or "landscape" with binding on the left long or short side. All respondents must provide, at a minimum, the following information:

Cover Sheet

The cover sheet should contain the project title, project number and the name of the lead firm(s) submitting the proposal.

Letter of Interest

The letter of interest should not exceed Two (2) pages in length, and it should summarize relevant key points in the submittal.

Profile of Audit Organization

The requirements of this section shall include:

- The organizational structure and size of the firm. Indicate whether the firm is local, regional, national or international in its operations;
- The location of the office from which the work is to be performed and the number of professional staff (by staff level) employed at that office;
- Name(s) of persons authorized to represent the respondent, including title, address, (including email address) and contact numbers;
- A description of the range of activities performed by the local office such as auditing, accounting, etc.;
- A statement on the firm's staff capability to audit computerized systems, including the number and classifications of personnel skilled in computer sciences who will work on the HCC audit, if required to do so;
- A positive statement that the following mandatory criteria are satisfied:
 - An affirmation that the respondent/firm is properly licensed for practice as an independent certified accounting firm.
 - An affirmation that the respondent/firm meets the independence requirements of the Standards For Audit of Governmental Organizations, Programs, Activities and Functions 1981 revision published by the U.S. General Accounting Office.
 - An affirmation that the respondent/firm does not have a record of substandard audit work.
 - An affirmation that the respondent/firm meets all specific requirements imposed by federal, state or local laws or rules and regulations.

Understanding of the Audit requirements

The requirements of this section shall include:

- A detailed management and audit plan;
- The approach and timeline for completing the audit;
- The audit tests and procedures to be applied in completing the audit plan.

Experience of the Audit Organization

The requirements of this section shall include and/or demonstrate:

- Experience of the Audit Organization in the audit of institutions of higher education and other governmental, non-profit organizations or public entities;
- Experience of the Audit Organization in the preparation of financial

statements and related governmental reports, i.e. OMB Circulars A-128 and A-133 requirements;

- An organizational chart, which includes key personnel and respective responsibilities for this engagement;
- A description of the Audit Organization's past and current assignments similar the audit services required by this solicitation;
- Experience and knowledge of the audit organization in federal financial aid and OMB Circular A-133 audits and GASB's statements 34, 35, 45, 48, 49, etc.

Qualifications of the Audit Team

The requirements of this section shall include:

- Identity of management and professional team for this engagement. The lead team member shall possess CPA credentials;
- Staffing plan, including resumes, for all professional staff for this engagement;
- An explanation of how members of the audit team satisfied the Continuing Professional Education hours required by Government Auditing Standards;
- A description of assigned team member's knowledge of GASB 34/35 and OMB Circular A-133 relative to College and University financial reporting.

List of References

This section requires the respondent/firm to provide a list of at least three (3) references, including telephone/contact numbers.

VI. Selection/Qualification Requirements

The respondent(s) shall meet the minimum qualification standards as set forth in Paragraph III, above.

VII. Selection Criteria

HCC will select the Audit Organization on the basis of demonstrated competence and qualifications to perform the required audit services. The weighted factors used in the evaluation process include the following:

<u>Factor</u>	<u>Percentage Weight</u>
• Experience of the Audit Organization	40%
• Qualifications of Audit Team	30%
• Understanding of the Audit Requirements	30%
Total:	100%

VIII. Submittal Due Date/Time

HCC will receive *Letters of Interest and Qualification Statements* from qualified firms interested in entering into a contract to provide Financial Statement Opinion Audit Services. Respondents should submit an original and five (5) copies of their *Letters of Interest and Qualification Statement* to the below identified address no later than May 9, 2008 at 4:00 p.m. (local time):

Houston Community College System
Procurement Operations
3100 Main Street (11th Floor)
Houston, Texas 77002
Attn. John Carter
Reference: Project No. 08-09
Financial Statement Opinion Audit Services

HCC will neither discriminate nor select vendors on the basis of race, color, national origin, religion, gender, age or disability in its procurement selection process.

HCC has established a “**Best Effort**” Small Business participation goal for this RFQ.

IX. Scope of Services

a. General Information:

Funds

The audit shall be conducted at the Fund level consisting of fund categories entitled: unrestricted, restricted, auxiliary, unexpended plant, retirement of debt, investment in plant and Public Facility Corporation. The Fund categories are further explained as follows:

- Unrestricted Funds: The unrestricted fund records and tracks financial resources of the System that are expendable for any legal and reasonable purpose agreed upon by the governing board in carrying out the primary purposes of the System and have not been designated.
- Restricted Funds: Financial resources restricted by donors, grantors or outside agencies for a specific current operating purpose are accounted for as restricted funds. This classification of funds also includes scholarships, agency and loan funds.
- Auxiliary Funds: Auxiliary tracks and records funds generated by services provided for students, faculty or staff and charges a fee related to but not necessarily equal to the cost of services. This fund records the activity that is charged to individuals for its services and is self-sufficient operations.
- Unexpended Plant Funds/Renewal and Replacement Funds: This fund is used to track and record construction projects, including construction in-progress and major repairs.
- Retirement of Indebtedness Funds: This fund is used to record and track sinking funds and principle payments.
- Investment in Plant Funds: The investment in plant fund maintains the book value of the System's plant properties.
- Public Facility Corporation: This is the blended component unit.

HCC Accounting Basis

HCC uses the accrual basis of accounting.

Budget Records

The budget records are accessible by use of PeopleSoft panels, reports and query functionalities. Major categories of revenue are budgeted at the top level and detail budgets for users are available via the system at a departmental level.

Revenues, appropriations and encumbrances are recorded in the accounting records. The financial activity adequately meets the need of a medium to large business controlling at approximate budget of \$226,000,000 per year. Payroll is maintained for approximately 3,246 employees generating a payroll of approximately \$5.5 million per pay period. HCC maintains accounts and provides financial information for an entity servicing approximately 60,000 students. HCC

controls One (1) large bank account with Eight (8) ZBA's and Four (4) small accounts used for debt financing and Student loans. There is One (1) tax receivable account in use.

Record Accessibility and Computerized Accounting Records

Records are accessible by use of the PeopleSoft software that was installed in fiscal year 2001 – 2002 (Note: HCC fiscal year is September 1 through August 31st). Records for General Ledger Accounting, Accounts Payable, Cashiering, Purchasing, Fixed Assets, Payroll, Grant Accounting and Human Resources are available and easily retrieved by use of system panels and query. The Vice Chancellor of Finance and Administration has primary responsibility for maintenance of these accounting records. The audit team must learn PeopleSoft software and are responsible for running all reports and queries.

b. Audit Requirements

The audit services shall include, but is not limited to, the following documents:

- Basic Financial Statements;
- Other Schedules as required by the State of Texas;
- Statement of Net Assets;
- Statement of Revenues, Expenses and Changes in Net Assets;
- Schedule of Operating Expenses and Capital Outlay by functional and natural Classifications;
- Statement of Cash Flow;
- Compliance with laws and regulations related to Federal programs and the Public Funds Investment Act;
- Comprehensive Annual Financial Report (CAFR);
- Debt Service Schedules totaling \$540,000,000;
- Construction In-Progress Schedules totaling \$194,856,112;
- Investments Schedules totaling \$275,000,000;
- Compliance with all new pronouncements (GASB 49, GASB 48, GASB 45, etc.)

The audit shall be a Single Audit conducted in accordance with the following standards:

- Generally Accepted Audit Standards;
- Government Auditing Standards issued by the Comptroller General of the United States;
- Office of Management and Budget Circular A-133, Audits of States, Local Governments and Non-Profit Organizations;
- American Institute of Certified Public Accountants' Industry Audit Guide for Colleges and Universities;
- Texas Higher Education Coordinating Board's Annual Financial Reporting Requirements for the Texas Public Community Colleges;
- State of Texas Single Audit Circular;
- State of Texas Annual Financial Reporting Requirements;
- Certificate of Achievement for Excellence in Financial Reporting Requirements.

The audit requirements shall also include the following:

a. Opinion on the institution's basic financial statement

- Schedule of federal awards shall be prepared.
- Circular A-128 and A-133 require reporting of expenditures by major programs only.
- Prove the assets, liabilities, revenues, expenditures and change in financial position is correct and reliable.
- Prove the System (College) is in conformity with General Accepted Accounting Principles.

b. Report on the auditor's understanding of the internal control structure and the assessment of the following:

- List scope of work accomplished in effort to assess the Institution's (System) control structure.
- Describe significant controls that ensure compliance with laws and regulations that have a material impact on the financial statements of the management of federal awards.

c. Report on the auditor's opinion of compliance

- State whether or not the major programs were administered in compliance with applicable standards, laws and regulations.
- Present material findings that disclose the number of transactions and the dollar value of the universe from which transactions were selected, the sample and the exceptions.
- Present dollar amount of cost questioned and recommendations for corrective action.
- Report any acts of fraud or any other illegal acts discovered.
- Review the status of conditions noted for correction in the findings and recommendations of prior audit reports and report on uncorrected conditions.

X. Administrative Responsibilities of Houston Community College System

- HCC will assign a liaison to coordinate all draft reports, schedules, confirmations, pre-audit requests, audit inquiries and responses.
- HCC will maintain current recording structure of financial reporting; however, a translation to the new GASB 34/35 format will be submitted for audit and compliance purposes.
- The HCC accounting/finance team will prepare drafts of all required Schedules and provide drafts to the audit team. The HCC team will also be available to reproduce copies of documents and pull documents for review. Clerical assistance will also be provided.
- HCC will provide office space and workstations.
- HCC maintains an internal auditing function which may be available to assist in the audit.

XI. Access/Retention of Work Papers

The Audit Consultant shall provide access, at not extra cost to HCC, to all work papers and other related documents produced during the financial audits rendered hereunder. The Audit Consultant shall also retain the audit work papers for a period of Seven (7) years from the date of the Audit Consultant’s opinion. These papers shall be made available to HCC and its Federal and State of Texas audit agencies upon request by HCC to review such work papers.

XII. Deliverables and Timelines

The Audit Consultant shall prepare and deliver to HCC the deliverables described below, and by the time frame specified, based on an audit start date is October 6, 2008:

<u>Deliverables</u>	<u>No. of Copies</u>	<u>Due Date to HCC</u>
• “Draft” Annual Financial Report	3	11/14/08
• “Draft” Management Letter	3	11/14/08
• Final Annual Financial Report	20	11/21/08
• Final Management Letter	20	11/21/08
• Interim Audit		06/30/08 – 07/31/08
• CAFR	6	02/20/09

XIII. Conflict of Interest

If a firm, bidder, contractor, or other person responding to this solicitation knows of any material personal interest, direct or indirect, that any member, official or employee of HCC would have in any contract resulting from this solicitation, the firm must disclose this information to HCC. Persons submitting a bid or response to this solicitation must comply with all applicable laws, ordinances, and regulations of the State of Texas Government Code, including, without limitation, Chapter 171 and Chapter 176 of the Texas Government Code. As applicable, the person submitting a response to this solicitation must complete and submit Attachment No. 11, Conflict of Interest Questionnaire Form. This completed form must be signed and submitted with the bid or solicitation response.

XIV. Prohibited Communications

With the exception of the Procurement staff, HCC prohibits communications regarding this RFQ to occur:

- Between a potential vendor(s), firm(s), offeror, lobbyist(s) or consultant(s) and any trustee;
- Between any trustee and any member of a selection or evaluation committee; and
- Between any trustee and administrator or employee.

The communications prohibition begins on the date that responses to the solicitation are due or received, whichever is first. The communications prohibition shall not apply when either of the following occurs:

- When the contract is awarded by the Chancellor or his/her designee; or
- When the Board at a duly constituted public meeting considers the award recommendations.

The communications prohibition shall not apply during any of the following occasions:

- During duly constituted pre-bid or pre-proposal conferences.
- When communicating with the HCC General Counsel or with Counsel for the Board.
- When negotiating emergency contracts.
- During presentations made to the Board of Trustees at any duly constituted public meeting.
- Unless otherwise prohibited in the solicitation documents, any written communications between any parties, provided the originator shall file immediately a copy of any written communication with Board Services Office. The HCC Board Services Office shall make copies available to any person upon request.

NOTHING CONTAINED HEREIN SHALL PROHIBIT ANY PERSON OR ENTITY FROM PUBLICLY ADDRESSING THE BOARD OF TRUSTEES DURING ANY DULY CONSTITUTED PUBLIC MEETING, IN ACCORDANCE WITH APPLICABLE BOARD POLICIES, REGARDING ACTION ON THE CONTRACT.

XV. Small Business Development Program

HCC has adopted a Small Business Development Program for small businesses attempting to provide goods and/or services as prime contractors or as subcontractors to other prime contractors to HCC. The program seeks to prevent discrimination by ensuring that small, underutilized and disadvantaged businesses are informed and prepared to compete for HCC procurements. HCC will neither discriminate nor select vendors on the basis of race, color, national origin, religion, gender, age or disability in its procurement selection process. Small Businesses whose gross annual income averaged over the past three (3) years does not exceed the Small Business Administration's size standard as specified in 13 CFR Part 121 are eligible to apply for participation in the program. For this solicitation, HCC has established **Best Efforts** as its goal for small business participation.

XVI. Postponement of Qualification Statements Due Date & Time

Notwithstanding the date and time for receipt of qualification statements established in this Request for Qualifications, the date and time established herein for receiving statements may be postponed solely at the discretion of HCC.

XVII. Oral Presentations

Interviews with the three top scoring firms may or may not be held. The interviews, if held, will occur at the System Administration Building, 3100 Main Street, Houston, Texas.

Each selected firm should be prepared to make a presentation to HCC. The presentations must show that the respondent(s) clearly understand the requirements of the solicitation, and have a strategic plan and approach to complete the work.

Before HCC makes a final determination of who will provide the relevant services under the contract, it reserves the right to and will contact the respondents' client list and/or list of references.

XVIII. Contract Award

HCC will make the contract award to the most qualified firm (s) conforming to this solicitation. HCC may award a contract based on initial qualification statements received, without discussion of such qualifications.

ATTACHMENT NO. 1

PROJECT NO. 08-09

HOUSTON COMMUNITY COLLEGE

DETERMINATION OF GOOD FAITH EFFORT

Respondent: _____

Address _____

Phone _____

Fax Number _____

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

- _____ (1) Whether the Respondent provided written notices and/or advertising to at least five (5) certified small businesses or advertised in general circulation, trade association and/or small businesses focus media concerning subcontracting opportunities.
- _____ (2) Whether the Respondent divided the work into the reasonable portions in accordance with standard industry practices.
- _____ (3) Whether the Respondent documented reasons for rejection or met with the rejected small business to discuss the rejection.
- _____ (4) Whether the Respondent negotiated in good faith with small businesses.

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

Signature of Respondent

Title

Date

**ATTACHMENT NO. 2
SMALL BUSINESS UNAVAILABILITY CERTIFICATE**

I, _____, _____, of
 (Name) (Title)

_____,
 (Name of Respondent's company) certify that on the date(s) shown, the small businesses listed herein were contacted to provide materials or services on Project #08-09

DATE CONTACTED	SMALL BUSINESS Name	TELEPHONE NO.	CONTACT PERSON	MATERIALS OR SERVICES	RESULTS
1.					
2.					
3.					
4.					
5.					
6.					

To the best of my knowledge and belief, said small business was unavailable for this solicitation.

The above statement is a true and accurate account of why I am unable to commit to awarding subcontract(s) or supply order(s) to the small business listed above.

NOTE: This form to be submitted with Respondent's supporting documents for Waiver of small business participation.

Signature: _____

ATTACHMENT NO. 3 SMALL BUSINESS DEVELOPMENT QUESTIONNAIRE

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

**Houston Community College
Small Business Representative
Post Office Box 667517
Houston, Texas 77266-7517
Ref: HCC Project No. 08-09**

FIRM NAME: _____

FIRM ADDRESS: _____

TELEPHONE: _____

FAX NUMBER: _____

EMAIL ADDRESS: _____

CONTACT PERSON'S NAME AND PHONE NO. _____

SIGNATURE OF FIRM'S AUTHORIZED OFFICIAL: _____

NAME AND TITLE (Type or Print): _____

COMPANY MAJORITY OWNERSHIP (Check one in each column)

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

BUSINESS CLASSIFICATION

- | | |
|--|---|
| ___ DBE Disadvantaged Business Enterprise | ___ SB Small Business |
| ___ WBE Women Owned Business Enterprise | ___ MBE Minority Business Enterprise |
| ___ HUB Historically Underutilized Business | ___ Other: _____ |

Please provide information regarding certifying agency (if any)

Name of Agency	Certificate Number	Expiration Date
_____	_____	_____
_____	_____	_____
_____	_____	_____

ATTACHMENT NO. 4
NON-DISCRIMINATION STATEMENT

The undersigned certifies that he/she will not discriminate against any employee or applicant for employment or in the selection of subcontractors because of race, color, age, religion, gender, national origin or disability. The undersigned shall also take action to ensure that applicants are employed, and treated during employment, without regard to their race, color, religion, gender, age, national origin or disability. Such action shall include, but shall not be limited to, the following: employment, upgrading or transfer, recruitment or recruitment advertising, layoff or termination, rates of pay or other compensation and selection for training, including apprenticeship.

Name/Title: _____
(Type or Print)

Signature: _____ Date: _____

Company Name: _____
(Type or Print)

Address: _____

Telephone Number: _____

ATTACHMENT NO. 5

CERTIFICATION AND DISCLOSURE STATEMENT

A person or business entity entering into a contract with HCC is required by Texas Law to disclose, in advance of the contract award, if the person or an owner or operator of the business entity has been convicted of a felony. The disclosure should include a general description of the conduct resulting in the conviction of a felony as provided in section 44.034 of the Texas Education Code. The requested information is being collected in accordance with applicable law. This requirement does not apply to a publicly held corporation.

If an individual:
Have you been convicted of a felony? YES or NO

If a business entity: YES or NO

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

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

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

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

By: _____ Date: _____

Name: _____

Title: _____

Business Entity: _____

Signature of Firm's Authorized Official: _____

State of Texas

Sworn to and subscribed before me at _____

Texas, this the _____ day of _____, 2008

Notary Public for the State of: _____

ATTACHMENT NO. 6

AFFIDAVIT FORM

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

Signed: _____

Name of Company: _____

Address of Company: _____

State of Texas

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

this the _____ day of _____, 2008.

Notary Public for the State of: _____

ATTACHMENT NO. 7
BUSINESS QUESTIONNAIRE

FIRM NAME: _____

FIRM ADDRESS: _____

TELEPHONE: _____

FAX NUMBER: _____

EMAIL ADDRESS: _____

CONTACT PERSON'S NAME AND PHONE NO. (Type or Print):

SIGNATURE OF FIRM'S AUTHORIZED OFFICIAL: _____

NAME AND TITLE (Type or Print): _____

Do you or any officer, partner, owner, sales representative and/or spouse work for Houston Community College? _____ Yes _____ No

If yes, please specify: _____

State in which your home office / headquarters is located? _____

If headquarters is located out of state, does that state have preferential treatment on Bids?

_____ If yes, list percentage. _____%

Name of Financial Institution _____ Contact Person _____

Title _____

Please indicate how you became aware of this procurement? Source: _____

Example: Newspapers (Chronicle, El Dia, Voice of Asia, African American News, etc.) Houston Minority Business Council, HCC Website, Chamber of Commerce, etc.)

ATTACHMENT NO. 8

ASSURANCE OF SBDP GOAL

The undersigned certifies that he/she has read, understands and agrees to be bound by the small business provisions set forth in this Solicitation. The undersigned further certifies that he/she is legally authorized to make the statements and representations in the Solicitation and that said statements and representations are true and accurate to the best of his/her knowledge. The undersigned will enter into formal agreement(s) for work identified on the **CONTRACTOR AND FIRST TIER SUBCONTRACTOR PARTICIPATION** form conditioned upon execution of a contract with HCC. The undersigned agrees to attain the small business utilization percentages of the total offer amount as set forth below:

Small Business Participation Goal = Best Effort

The undersigned certifies that the firm shown below has not discriminated against any small business or other potential subcontractor because of race, color, religion, gender, age, veteran's status, disability or national origin, but has provided full and equal opportunity to all potential subcontractors irrespective of race, color, religion, gender, age, disability, national origin or veteran status.

The undersigned understands that if any of the statements and representations are made knowing them to be false or there is a failure to implement any of the stated commitments set forth herein without prior approval of HCC's Chancellor or the duly authorized representative, the Bidder may be subject to the loss of the contract or the termination thereof resulting from this bid and could be ineligible for future HCC contract awards.

Signature _____

Title _____ Date of Signing _____

Firm Name _____

Address _____

Telephone Number _____

ATTACHMENT NO. 9

VENDOR APPLICATION INSTRUCTIONS

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

Please take a moment to go to the Houston Community College Procurement Operations department website and register as a vendor. The website address to access the vendor registration form is http://hccs.aecglobal.com/Supplier_Registration_Form.asp

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

ATTACHMENT NO. 10
INSURANCE REQUIREMENTS

The following coverages and limits are the minimum limits that the Consultant is required to carry for Project No. 08-09, Financial Statement Opinion Audit Services:

1. Commercial General Liability for Bodily Injury / Property Damage Limits:

Occurrence / Personal Injury / Advertising / Products / Completed Operations	\$1,000,000 CSL
Annual Aggregate	\$2,000,000 CSL
Products Aggregate	\$2,000,000 CSL
Fire, Legal	\$1,000,000 CSL
Medical Expense	\$5,000 Per Person

2. Professional Liability:

Occurrence / Aggregate	\$1,000,000
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3. Automobile Liability:

Bodily Injury / Property Damage	\$1,000,000
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4. Workers Compensation:

Part A - Statutory	
Part B - \$1,000,000 Each Accident	
\$1,000,000 Policy Limits	
\$1,000,000 Each Employee	

The following endorsements are required on the Certificate of Insurance:

- 90 Day Notice of Cancellation;
- Houston Community College be named as Additional Insured on all policies except the Workers Compensation;
- Waiver of Subrogation added by endorsement on all policies.

The original copy of the Certificate of Insurance, indicating the limits, coverage and endorsement specified above, shall be provided to HCC Risk Management Office, PO Box 667517 (Mail Code 1119), Houston, TX 77266, within **14** calendar days after receipt of a written purchase order or some other duly executed contract document issued by HCC.

ATTACHMENT NO. 11

CONFLICT OF INTEREST QUESTIONNAIRE

CONFLICT OF INTEREST QUESTIONNAIRE FORM CIQ	
For vendor or other person doing business with local government entity	
<p>This questionnaire is being filed in accordance with chapter 176 of the Local Government Code by a person doing business with the government entity.</p> <p>By Law this questionnaire must be filled with the records administrator of the local government not later than the 7th business day after the date the person becomes aware of facts that require the statement to be filed. See Section 76.006, Local Government Code.</p> <p>A person commits an offense if the person violates Section 176.006, Local Government Code. An offense under this section is a Class C misdemeanor.</p>	<p>OFFICE USE ONLY</p> <p>Date Received</p>
<p>1. Name of person doing business with local government entity.</p>	
<p>2. <input type="checkbox"/> Check this box if you are filing an update to a previous questionnaire. (The law requires that you file an updated completed questionnaire with the appropriate filing authority not later than September 1 of the year for which an activity described in Section 176.006(a), Local Government Code, is pending and not later than the 7th business day after the date the originally filed questionnaire becomes incomplete or inaccurate.)</p>	
<p>3. Describe each affiliation or business relationship with an employee or contractor of the local government entity who makes recommendations to a local government officer of the local government entity with respect to the expenditure of money.</p>	
<p>4. Describe each affiliation or business relationship with a person who is a local government officer and who appoints or employs a local government officer of the local government entity that is the subject of this questionnaire.</p>	

CONFLICT OF INTEREST QUESTIONNAIRE FORM CIQ
For vendor or other person doing business with local government entity

5. Name of local government officer with whom filer has affiliation or business relationship. (Complete this section only if the answer to A, B, or C is YES.)

This section, item 5 including subparts A, B, C, & D, must be completed for each officer with whom the filer has affiliation or business relationship. Attach additional pages to the Form CIQ as necessary.

A. Is the local government officer named in this section receiving or likely to receive taxable income from the filer of the questionnaire?

Yes No

B. Is the filer of the questionnaire receiving or likely to receive taxable income from or at the direction of the local government officer named in this section AND the taxable income is not from the local government entity?

Yes No

C. Is the filer of this questionnaire affiliated with a corporation or other business entity that the local government officer serves as an officer or director, or holds an ownership of 10% or more?

Yes No

D. Describe each affiliation or business relationship.

6. Describe any other affiliation or business relationship that might cause a conflict of interest.

7. _____ Date
Signature of person doing business with the government entity

CONTRACTOR AND SUBCONTRACTOR PARTICIPATION FORM

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

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

Business Name: _____ Submitted By (Name): _____

Address: _____

Telephone/Fax: _____ Date: _____

Contractor 's Price/Total: \$ _____
 Small Business
 Subcontractor (s) Price/Total: \$ _____
 \$ _____
 Grand Total: \$ _____

ATTACHMENT NO. 13

**HOUSTON COMMUNITY COLLEGE
SUBCONSULTANTS/SUBCONTRACTORS/SUPPLIERS PAYMENT CERTIFICATION FORM**

- Instructions:** 1. This form shall be completed and signed by an officer of the subcontractor's company for each payment received from the prime contractor and shall be returned to the prime contractor for its submission to HCC.
2. The prime contractor shall attach this completed form to each invoice for payment submitted to HCC/Acct. Dept.

PROJECT NO./TITLE: **08-09 - Financial Statement Opinion Auditing Services**

NAME OF SUBCONTRACTOR: _____

ADDRESS: _____

I hereby certify that the above firm has received payment on _____ from _____
(Date) **(Prime Contractor)**

In the amount of \$ _____ as full payment of our Invoice No. _____ dated _____

for work performed during _____ under Contract/Project No. 08-09.
(Enter Time Period)

Signature: _____

Name (Print or Type) : _____

Title: _____

Date: _____

Telephone: _____

**ATTACHMENT NO. 14
HOUSTON COMMUNITY COLLEGE
SUBCONTRACTOR PROGRESS ASSESSMENT FORM**

Project No./Title: 08-09, Financial Statement Opinion Auditing Services

Reporting Period: From _____ To _____

Prime Contractor: _____

Total Contract Amount (Prime Contractor): \$ _____

Instructions: This form shall be completed and signed by an officer of the prime contractor's company and shall be attached to each invoice for payment submitted to HCC's Accounting Dept.

List Subcontractor(s) name below	Total Subcontract Amount	Amount Paid This Period	Total Paid to Date
	\$	\$	\$

I hereby certify that _____ has made timely payments from proceeds of prior payments, and will
(Prime Contractor)

make payments within five (5) calendar days of receipt of funds now due from HCC to our subcontractor(s) in accordance with the contractual arrangements with them.

Signature: _____

Name (Print or Type): _____

Title: _____

Date: _____

Telephone: _____