

**City of New Orleans, Louisiana**  
**Request for Proposals**  
**Investment Consultant Services**

**October 4, 2016**

**Request for Proposals:** The Board of Trustees of the City of New Orleans Employees' Retirement System desire to obtain Investment Consultant Services. As provided below, and incident to City Charter Section 6-308(5) and Executive Order MJL 10-05, it requests proposals from experienced firms to provide the needed services.

**Instructions:** Respondent shall submit the following to the *Bureau of Purchasing* directed Attention: Chief Procurement Officer ("CPO"), 1300 Perdido St., Suite 4W07, New Orleans, Louisiana 70112, 504-658-1550, not later than **November 1, 2016, 4:00 PM (CT)**:

- a. Ten (10) signed hardcopies of the proposal in a sealed envelope, marked **Investment Consultant** and one (1) digitally signed proposal (maximum of three files) on a CD or Flash Drive, in Microsoft Word format or as a PDF file, marked **Investment Consultant**;
- b. Ten (10) printed hard copies of the related **cost** proposal enclosed in a separate sealed envelope, marked **Investment Consultant**;
- c. A signed cover letter including the company's name, address and primary contact for the proposal. The primary contact information shall include submitter name, telephone, and email address.
- d. Proposers must complete all required attachments and submit along with both electronic and hardcopy proposal submissions.

Proposals should clearly demonstrate the Respondent's qualifications to perform the needed services and attend all factors applicable in a professional relationship. Proposals should include detailed resumes or curricula vitae for the principals performing the services. Copies of the solicitation and related information are available from the City's purchasing website at <http://www.purchasing.nola.gov/bsol/login.jsp>.

The City will not accept proposals submitted by fax. All proposals **must be received** by the City on or before the Delivery Deadline. The City will not accept proposals delivered after the said deadline. The City will not credit delivery claims not clearly documented by original receipt.

**Anticipated Proposal Timetable:**

RFP Release	October 4, 2016
Deadline for Submitting Questions	October 18, 2016
Proposal Submission	November 1, 2016
Evaluation Committee Selection	TBD
Notification	TBD

If the City identifies a likely service provider, it may negotiate a final agreement with the provider and fix the relationship by Professional Services contract. The contract will contain the standard City

provisions shown in Attachment “B” and the “Disadvantaged Business Enterprise” (“DBE”) provisions shown in Attachment “C.”

A DBE goal of 35 percent has been established for this RFP. The respondent shall agree to use its best efforts, as determined by the DBE Compliance Officer to assure that all respondents comply with the factors set forth in the DBE Program, to meet the goal for DBE participation in the performance of this solicitation.

Please direct all questions related to DBE compliance prior to the Delivery Deadline to *Office of Supplier Diversity, 1340 Poydras Street, 10th Floor, New Orleans, LA 70112, telephone: 658-4220, email: kfgross@nola.gov.*

**By responding to this RFP, respondent agrees to the City’s required provisions as provided in Attachments “B” and therefore waives any future right to contest the required provisions.**

1. **Services Needed:** Attachment “A”.
2. **Selection Committee:** The CPO must establish a Selection Committee with relevant subject-matter expertise in reviewing and evaluating proposals to the RFP. Each proposal to the RFP must be evaluated by a committee of five individuals consisting of:

- The manager of the User Entity requesting the service, or his designee;
- The First Deputy Mayor-Chief Administrative Officer, or his designee;
- The employee who will manage and monitor the contract;
- A professional from within local government who possesses expertise in the relevant field; and
- The Chief Financial Officer, or his designee.

The Selection Committee shall first evaluate the proposals on the basis of criteria other than price. The members on the Selection Committee shall either complete the numerical grading and provide a written explanation stating the reasons for the rating for each criteria, or if using the wholly qualitative evaluation criteria, the members shall provide a rating of a proposal as highly advantageous, advantageous, not advantageous, or unacceptable and state the reasons for the rating for each criteria.

3. **Selection:** The City will select a Respondent generally according to the procedures described in Executive Order MJL 10-05. The Selection Committee will first evaluate and rank responsive RFP Responses on the criteria listed below and provide an assessment of that score. A Respondent may receive the maximum percentage, a portion of this score, or no percentage at all, depending upon the merit of its response, as judged by the Selection Committee in accordance with:

**Technical Criteria**

- |       |   |
|-------|---|
| (30%) | Specialized experience and technical competence;  |
| (35%) | Performance history, including, without limitation, competency, responsiveness, cost control, work quality and the ability to meet schedules and deadlines; |
| (10%) | Maintenance of an office, residence or domicile in Orleans Parish, to the extent permitted by law;  |

## DBE Participation

To ensure the full participation of DBE's in all phases of the City's procurement activities, all Proposers at time of proposal submission shall complete and submit a DBE Participation Plan. If a DBE Participation Plan is not submitted, it shall be determined that the proposer was non-responsive to the DBE provisions and the proposal will not be evaluated by the selection committee.

- (5%) Proposal complies with contract DBE participation goal of **35%** or will conduct good faith efforts to do so.
- (5%) Proposal submitted a quality DBE Participation Plan that includes innovative strategies and approaches to achieve and maintain compliance over the contract term, including firm's past performance on meeting DBE goals, technical assistance and supportive services designed to increase participation and build capacity in the DBE community.

## Price Proposal

The Selection Committee will then evaluate and rank responsive Proposals on Price. **Price proposals must be submitted in a separate envelope marked "Price Proposal"**. A Proposer may receive the maximum percentage, a portion of this score, or no percentage at all, depending upon the merit of its Price Proposal, as judged by the Selection Committee in accordance with:

- (15%) Cost

## Shortlist

The City at its sole discretion may recommend a selection of Respondents for a short list based on the overall ranking.

During the review of any proposal, the Evaluation Committee may:

- Conduct reference checks relevant to the System with any or all of the references cited in a Proposal to verify any and all information, and rely on or consider any relevant information from such cited references in the evaluation of Proposals;
- Seek clarification of a Proposal from any or all Respondents and consider such supplementary information in the evaluation of Proposals;
- Request interviews/presentations with any, some or all Respondents or Team Members to clarify any questions or considerations based on the information included in Proposals during the evaluation process, and consider any supplementary information from interviews/presentations in the evaluation; and

4. **Ownership**: All proposals and/or documentation submitted therewith are City property for all purposes. Respondents will clearly mark documents or information claimed exempt from public records disclosure and specifically justify the exemption. The City will not credit any blanket exemption claims lacking specific justification. The City does not guarantee the confidentiality of submissions.

5. **Effect**: This RFP and any related discussions or evaluations by anyone create no rights or obligations whatsoever. The City may cancel or modify this solicitation at any time at will, with or

without notice. The contract executed by the City and the selected Respondent, if any, is the exclusive statement of rights and obligations extending from this solicitation.

6. **Point of Contact:** All correspondence and other communications regarding this procurement should be directed to the attention of: Nathaniel Celestine, City of New Orleans, Bureau of Purchasing, 1300 Perdido Street, 4W07, New Orleans, Louisiana 70112.

Substantive questions must be submitted by Respondents in writing to the person at the address provided above or emailed to [Procurement@nola.gov](mailto:Procurement@nola.gov) no later than) October 18, 2016, 4:00 PM (CT).

Any request received after that time may not be reviewed for inclusion in this RFP. The request shall contain the requester's name, address, and telephone number.

The Bureau of Purchasing will issue a response to any inquiry if it deems it necessary, by written addendum to the RFP, posted on the City's website, and issued prior to the RFP's Delivery Deadline. The Respondents shall not rely on any representation, statement or explanation other than those made in this RFP or in any addenda issued. Where there appears to be a conflict between this RFP and any addendum issued, the last addendum issued will prevail.

From the time of advertising, and until the final award, there is a prohibition on communication by Respondents (or anyone on their behalf) with the City's staff, Selection Committee members and elected officials. This does not apply to oral communications at Pre-Proposal conferences, oral presentations before evaluation committees, contract negotiations, or communications at any time with any City employee or elected official regarding matters not concerning this RFP.

Breaking the established prohibition on communication may result in a disqualification of the proposal.

7. **Proposal Review:** In accordance with the Mayor's Executive Order, MJL-10-05, the review committee will evaluate each proposal submitted. The City will make every effort to administer the proposal process in accordance with the terms and dates discussed in the RFP. However, the City reserves the right to modify the qualification process and dates as deemed necessary.

The City may request an online demonstration of specific vendors' solutions prior to the qualifications review completion date. Respondents should be prepared to provide such a demonstration in a timely fashion.

8. **In-Process Technical Review:** The selected Respondent's performance of the services shall be subject to in-process technical review by the City's Technical Representative or such other person(s) as may be designated in writing by City of New Orleans Employees' Retirement System provided such actions are not unreasonable and does not interfere with the progress of the work.

9. **Required Attachments:** **Proposers are required to complete the following Attachments and submit along with their hardcopy and electronic Proposal submission:**

- Attachment "C" **DISAVANTAGED BUSINESS ENTERPRISE PARTICIPATION PLAN**
- Attachment "F" **CITY OF NEW ORLEANS CONFLICT OF INTEREST DISCLOSURE AFFIDAVIT**
- Attachment "H" **MINIMUM QUALIFICATIONS QUESTIONNAIRE**

All other Attachments are supplied by the City as information. The following Attachments will only be requested of the successful Proposer prior to obtaining a contract:

- Attachment “D” Tax Clearance Certificate
- Attachment “E” Identification of Subcontractors

Information Only:

- Attachment “G” Sample Contract Agreement

**FAILURE TO COMPLETE THE REQUIRED ATTACHMENTS MAY RESULT IN THE DISQUALIFICATION OF A PROPOSAL.**

10. **Proposal and Submission Requirements:**

**SUBMISSION REQUIREMENTS**

To achieve a uniform review process and obtain the maximum degree of comparability, **it is required** that the items in Section II Investment Consulting Services be limited to **ten (10) pages** and all other requirements included as appendixes and organized in the following manner:

1. **Title Page:**

Please indicate the RFP subject, the name of your organization, address, telephone number, name of contact person, and date.

2. **Table of Contents:**

Clearly identify the material by section and page number.

3. **Letter of Transmittal:**

Limited to two pages, signed by an officer who may bind the firm.

- Briefly state your organization’s understanding of the nature of the work.
- Give the names of the persons who will be servicing this account, their titles, addresses, and telephone numbers.
- Confirm in writing that you acknowledge responsibility as a fiduciary and identify any qualifications or limitation of such fiduciary responsibility.
- Confirm that your firm meets each and every one of the Minimum Qualifications listed in Section I-C (above).

11. **Disadvantaged Business Enterprise (DBE) Requirements**

## **I - DBE PROGRAM COMPLIANCE**

The requirements of the City of New Orleans (“City”) Disadvantaged Business Enterprise (“DBE”) Program apply to this Agreement. It is the policy of the City to practice nondiscrimination based on social and economic disadvantage, race, color, gender, disability and national origin in the award and performance of contracts.

In consideration of this policy and pursuant to Division 2 of Article IV of Chapter 70 of the Code of the City, the City enacted the DBE Program for all City contracts.

Contractor agree to use its best efforts to fully and completely carry out the applicable requirements of the City’s DBE Program in the award and administration of this Agreement, including without limitation, all reporting requirements and established DBE participation percentage. The Contractor’s failure to carry out these requirements, as determined in good faith by the City’s Office of Supplier Diversity (“OSD”), shall be deemed a material breach of this Agreement. This material breach may result in the termination of this Agreement and/or the pursuit of any other remedies available to the City under any applicable law, ordinance, or rule, including, but not limited to those set forth in the City’s Policy Memorandum for the DBE Program

## **II - DBE CONTRACT GOAL**

The requested DBE Contract Goal is listed in the contract section of the invitation to bid.

NOTE: All non-public works contracts have a default goal of 35% DBE participation.

Participation shall be counted toward meeting the contract goal based on the following:

1. Only business entities certified as SLDBE or LAUCP-DBE are counted toward the contract DBE participation goal.
2. The Bidder/Proposer may count only the total dollar value of the subcontract awarded to certified DBE subcontractor/supplier(s) toward the contract goal.
3. A Bidder/Proposer can count 100 % of the DBE’s participation provided that the DBE has committed to performing at least 51% of the work with its own forces.
4. Bidder/Proposer may count 100 % of DBE Manufacturer Supplier’s participation and 60 % of DBE Non-Manufacturer supplier’s participation toward its contract goal.
5. When the Bidder/Proposer is in a joint venture with one or more DBE business entities, the OSD, after reviewing the joint venture agreement, shall determine the percent of participation that will be counted toward the contract goal.
6. Bidder/Proposer may count toward its contract goal only those DBE subcontractors/suppliers performing a Commercially Useful Function.

“DBE Commercially Useful Function means” a discrete task or group of tasks, the responsibility for performance of which shall be discharged by the DBE firm by using its own forces or by actively supervising on-site the execution of the tasks by another entity for whose work the DBE firm is responsible. In determining whether a certified firm is performing a commercially useful function, factors including, but not limited to, the following shall be considered:

- a. Whether the business entity has the skill and expertise to perform the work for which it is being utilized and possesses all necessary licenses;
- b. Whether the firm is in the business of performing, managing, or supervising the work for which it has been certified and is being utilized;

- c. Whether the DBE subcontractor is performing a real and actual service that is a distinct and verifiable element of the work called for in a contract.
- d. Whether the DBE subcontractor performed at least thirty percent (30%) of the cost of the subcontract (including the cost of materials, equipment or supplies incident to the performance of the subcontract) with their own forces.

### **III - DBE DIRECTORY**

Contractors may only utilize certified SLDBE and/or Louisiana Unified Certification Program (LAUCP) DBE firms from the following lists to meet the City's DBE Program goals.

- a. Contractors agree to utilize the City's SLDBE directory of certified firms as a first source when searching for certified DBE business entities. The SLDBE directory includes entities certified through Sewerage and Water Board of New Orleans, New Orleans Aviation Board and Harrah's New Orleans. The SLDBE directory is available at [www.nola.gov](http://www.nola.gov).
- b. The Louisiana Unified Certification Program ("LA UCP") directory is available at [www.dotd.louisiana.gov](http://www.dotd.louisiana.gov).

Information on locating these directories may also be requested from the OSD at [supplierdiversity@nola.gov](mailto:supplierdiversity@nola.gov).

### **IV - GOOD FAITH EFFORT POLICY**

In accordance with Sec.70-461 of the City Code, the City shall reject any bid and shall not award, enter into or amend any contract that is not supported by documentation establishing that the Bidder/Proposer has met the applicable contract DBE participation Goal or made Good Faith Efforts to the applicable contract DBE participation goal.

Good Faith Efforts are steps taken to achieve a contract DBE participation goal or other requirements which, by their scope, intensity and usefulness demonstrate the Bidder's or Proposer's responsiveness to fulfilling the City's DBE Program goals prior to the award of a contract, as well as the Contractor's responsibility to put forth measures to meet or exceed the contract DBE participation goal throughout the duration of the contract.

The OSD shall be responsible for determining whether a Bidder/Proposer has made their best efforts to achieve the DBE Program contracting objectives. In making this determination, the DBE Compliance Officer shall consider the following factors:

- A. **SPECIFIC PORTIONS OF WORK IDENTIFIED FOR DBE SUBCONTRACTOR:**
  - i. Bidder/Proposer listed all selected scopes or portions of work to be performed by DBEs in order to increase the likelihood of meeting the contract goal for the project
  - ii. Bidder/Proposer listed the estimated value of each scope or portions of work identified.
- B. **NOTIFYING CERTIFIED DBEs OF CONTRACTING OPPORTUNITIES:**
  - i. Bidder/Proposer contacted the OSD to request submission of subcontracting opportunities on the DBE Opportunities page.
  - ii. Bidder/Proposer included a copy of each announcement or notification.

**C. INITIAL SOLICITATION & FOLLOW-UP:**

- i. Bidder/Proposer listed all certified DBE firms that received written notification of work items to be subcontracted and documented the certified firm's response.
- ii. Bidder/Proposer included copies of the written notice(s) sent to certified firms.

**D. NEGOTIATE IN GOOD FAITH:**

- i. Bidder/Proposer provided an explanation for any rejected DBE bid or price quotation.
- ii. Bidder/Proposer included a copy of the written rejection notice including the reason for rejection to the rejected DBE firm.

If a Bidder/Proposer fails to submit documented Good Faith Efforts as outlined, the bid shall be considered non-responsive.

The OSD may take into account the performance of other Bidders/Proposers in meeting the contract DBE participation goal and may, if deemed advisable, request further information, explanation or justification from any Bidder/Proposer. For example, Bidder's past performance on similar contracts with similar scopes and/or a Proposer's prior history utilizing DBEs will also be taken in consideration when determining Good Faith Efforts.

Good Faith Efforts shall be monitored throughout the life of the contract and evaluated on a case-by-case basis in making a determination whether a Bidder or Proposer is in compliance with the Good Faith Effort policy.

To obtain a copy of the Good Faith Effort Policy contact OSD at [supplierdiversity@nola.gov](mailto:supplierdiversity@nola.gov).

**V - REQUIRED DBE FORMS for BIDs/RFPs/RFOs**

**A. BIDs:**

In accordance with Louisiana Public Bid Law, the two apparent lowest bidders on an invitation to bid shall complete and submit all required post bid documents within three (3) business days of the bid opening. If the required post bid documents are not received within three (3) business days of the bid opening it shall be determined that bidder was non-responsive.

The following DBE documents must be received within three (3) business days of the bid opening:

1. DBE Compliance Form-1: This form is used to establish your DBE commitment on a City of New Orleans bid, RFP or solicitation response. The Bidder shall provide a list of all proposed DBE subcontractor(s).  
  
If the Bidder has attained the amount of DBE participation to meet the contract goal, only submit DBE Compliance Form-1.
2. DBE Compliance Form-2: This form is used to document Good Faith Efforts when the amount of DBE participation committed on DBE Compliance Form-1 is less than the Contract Goal. The Bidder shall provide all required supporting documentation of demonstrated Good Faith Efforts as specified on DBE Compliance Form-2.
3. After receipt and review of the required post-bid documents, the OSD will determine if the Bidder has provided valid DBE Compliance Forms and (if applicable) evidence of demonstrated Good Faith Efforts.

Thereafter, the Bidder/Contractor shall be bound by the established percentage, as approved by the OSD.

**B. Request for Proposals (“RFP”) / Request for Qualifications (“RFQs”):**

To ensure the full participation of DBE’s in all phases of the City’s procurement activities, all Proposers at time of proposal submission shall complete and submit a DBE Participation Plan.

- 1. DBE Participation Plan (Attachment “C”):** A completed DBE Participation Plan shall be considered a methodology on how the Proposer plans to meet the contract DBE participation goal if awarded the project.
  - a.** If a DBE Participation Plan (Attachment “C”) is not submitted, it shall be determined that the Respondent was non-responsive to the DBE provisions and the proposal will not be evaluated by the selection committee.
- 2.** Within ten (10) days of the City’s issuance of the Notice to Award letter, the selected Proposer shall complete and submit a DBE Compliance Form-1: This form is used to establish your DBE commitment on a City Bid, RFP or solicitation response. The selected Proposer shall provide a list of all proposed DBE subcontractor(s).
  - a.** If the amount of DBE participation committed on DBE Compliance Form-1 is less than the Contract Goal, the selected Proposer shall complete DBE Compliance Form-2: This form is used to document Good Faith Efforts when the amount of DBE participation committed on DBE Compliance Form-1 is less than the contract DBE participation goal. The selected proposer shall provide all required supporting documentation of demonstrated Good Faith Efforts as specified on DBE Compliance Form-2.

The OSD shall review the contents of all required DBE Compliance Forms and may, if deemed advisable, request further information, explanation or justification from any Bidder/Respondent. Thereafter, the Contractor shall be bound by the established percentage, as approved by the OSD.

**VI - CONTRACTOR COOPERATION**

The Contractor shall:

- 1.** Designate an individual as the “DBE Liaison” who will monitor the Contractor’s DBE participation as well as document and maintain records of “Good Faith Efforts” with DBE subcontractors/suppliers (“DBE Entities”).
- 2.** Execute written contracts with DBE Entities that meet the applicable DBE goals.
  - a.** The Contractor shall provide the DBE Compliance Officer (“DBECO”) with copies of said contracts within thirty (30) days from the date the Agreement is fully executed between the City and the Contractor.
  - b.** The Contractor shall agree to promptly pay subcontractors, including DBE Entities, in accordance with law.
- 3.** Establish and maintain the following records for review upon request by the OSD:
  - a.** Copies of written contracts with DBE Entities and purchase orders;
  - b.** Documentation of payments and other transactions with DBE Entities;
  - c.** Appropriate explanations of any changes or replacements of DBE Entities, which may include a record of “Post-Award Good Faith Efforts” for each certified firm

that the Contractor does not use in accordance with the approved DBE participation submission;

- d. Any other records required by the OSD.

The Contractor is required to maintain such records for three (3) years after completion or closeout of the Agreement. Such records are necessary to determine compliance with their DBE obligations.

- 4. Post monthly payments and submit regular reports to the DBECO as required via the online “Contract Compliance Monitoring System” or other means approved by the OSD.
  - a. The Contractor shall submit the initial report outlining DBE participation within thirty (30) days from the date of notice to proceed (or equivalent document) issued by the City to the Contractor. Thereafter, “DBE Utilization” reports shall be due on or before the fifteenth (15<sup>th</sup>) day of each month until all DBE subcontracting work is completed.
  - b. Reports are required even when no activity has occurred in a monthly period.
  - c. If the established percentage is not being met, the monthly report shall include a narrative description of the progress being made in DBE participation.
  - d. The Contractor may also be required to attach or upload copies of canceled checks or bank statements that identify payer, payee and amount of transfer to verify payment information as indicated on the form.
- 5. Conform to the established percentage as approved by the OSD.
  - a. The total dollar amount of the Agreement shall include approved change orders and amendments. For a requirements contract, the total dollar amount shall be based in actual quantities ordered.
  - b. No changes to the established percentage and DBE Entities submitted on DBE Compliance Form-1 shall be allowed without approval by the OSD.
  - c. The City will not adjust the contract for any increase in cost due to replacement of DBE Entities.

## **VII - POST-AWARD MODIFICATION**

The OSD may grant a post-award modification request if:

- a. for a reason beyond the Contractor’s control, the Contractor is unable to use the certified DBE entity submitted on DBE Compliance Form-1 to perform the specified work. The Contractor must notify the OSD of the intent for removal and substitution of a certified DBE immediately upon determination of that the DBE submitted on Compliance Form -1 is unable to perform the specified work. In such case, the Contractor shall use and document “Good Faith Efforts” to find a similarly qualified and certified DBE entity to perform such specified work. The same criteria used for establishing “Good Faith Efforts” in maximizing the participation of DBE Entities prior to awarding the Agreement will also apply to the substitution of DBE subcontractors during the performance of the Agreement; or
- b. the Contractor reasonably believes that, due to a change of scope, execution of the work in accordance with the directions from the City is unlikely to meet the established percentage or terms. In such case, the Contractor shall use and

document “Good Faith Efforts” to achieve a reasonable amount of DBE participation on the remaining work on the Agreement.

### **VIII - MONITORING DBE PARTICIPATION**

To ensure compliance with DBE requirements during the term of the Agreement, the DBECO will monitor the Contractor’ use of DBE subcontractors/suppliers (“**DBE Entities**”) through the following actions:

1. Job site visits;
2. Electronic payment tracking via the Contract Compliance Monitoring System or other means as approved by the OSD;
3. Routine audits of contract payments to all subcontractors;
4. Reviewing of records and reports; and/or
5. Interviews of selected personnel.

The DBECO may schedule inspections and on-site visits with or without prior notice to the Contractor or DBE Entities.

### **IX - FAILURE TO COMPLY**

If the DBECO determines in good faith that the Contractor failed to carry out the requirements of the DBE Program, such failure shall be deemed a material breach of this Agreement. This material breach may result in the termination of the Agreement and/or the pursuit of any other remedies available to the City under any applicable law, ordinance, or rule, including, but not limited to those set forth in the City’s Policy Memorandum for the DBE Program.

**All DBE Compliance forms are maintained by the OSD and are subject to change.**

**Please contact the OSD at [supplierdiversity@nola.gov](mailto:supplierdiversity@nola.gov) to request a copy of all DBE referenced documents.**

END OF DOCUMENT

**City of New Orleans, Louisiana  
Request for Proposals  
Investment Consultant Services**

**October 4, 2016**

**Attachment “A”**

**NEEDED SERVICES**

**SECTION I INTRODUCTION**

**A. OVERVIEW**

The Board of Trustees of the City of New Orleans Employees’ Retirement System (“Board”) intends to secure a contract for investment consultant services. The purpose of this Request for Proposal (RFP) is to define the Board’s minimum requirements, solicit proposals, and to gain adequate information from which the Board may evaluate such services.

**B. PLAN PROFILE**

The City of New Orleans Employees’ Retirement System (“System”) consists of approximately 2,500 active and 2,100 retired members and has assets of over \$340 Million.

**C. DIVERSITY STATEMENT**

It is the policy of the Board of Trustees of the City of New Orleans to comply with the rules and regulations of the New Orleans Office of Supplier of Diversity and to provide Equal Employment Opportunity for all persons regardless of race, color, religion, national origin, age, marital status, height, weight, sex, or disability. It is our belief that the basis of Equal Employment Opportunity (EEO) is a legal, social, and economic necessity and in the best interests of our Retirement System members and beneficiaries.

**D. MINIMUM QUALIFICATIONS (Required Attachment H)**

The Board requires that all prospective service providers have the following minimum qualifications:

1. The investment consulting firm **and** the individual consultant(s) assigned to this relationship must have a minimum of five (5) years of experience in providing qualified retirement plan investment consulting services.
2. The firm must have provided investment consulting services for a minimum of three (3) years to at least three (3) public employee retirement systems with at least one public

employee retirement system with assets in excess of \$100 million. This is also a requirement of the lead individual consultant(s) assigned to this relationship.

3. The investment consulting firm must currently provide investment consultant services to clients whose combined fund assets total at least one (1) billion dollars.
4. The investment consultant(s) shall acknowledge its responsibilities as a fiduciary.
5. If you are affiliating or partnering with a national firm, or are a local office of a national firm, the minimum qualification requirements herein **must** be satisfied by the individual investment consultant(s) or entity submitting this proposal.

## **E. SCOPE OF SERVICES**

The primary role of the Board's Investment Consultant is to provide objective, third-party advice and counsel that will enable the Board to make well-informed and well-educated decisions regarding the investment of the Retirement System's assets.

Contractual services for investment consulting will include, but not be limited to, the following:

### **1. Development of Investment Policy, Objectives, and Guidelines**

Assist the Board in the development and periodic review of a policy statement that properly reflects the Board's tolerance for risk and that best helps the Board meet its rate-of-return, funded status, and administrative expense objectives.

### **2. Asset Allocation Studies**

Conduct an asset allocation study within the first 90 days of contract signing and then periodically thereafter to determine whether or not the current asset allocation supports the Board's investment objectives and guidelines.

### **3. Investment Manager Search**

When deemed necessary, assist the Board in its due diligence and search for new investment manager(s) utilizing the appropriate database, also including any recommendations from Board members.

### **4. Development of Investment Manager Performance Standards/Guidelines**

Assist the Board in the development and review of performance standards and guidelines with which the Board can measure each investment manager's progress. Attend regularly scheduled meetings and special meetings as requested by the Board. The Board's current regular meeting schedule is the third Wednesday of each month.

### **5. General Consulting Services**

Provide general consulting services as requested by the Board. These might include custodial search and selection; assistance in negotiating appropriate investment management, transition management, and custodial services; monitoring and evaluating transaction costs and efficiency; evaluation and recommendation of appropriate earnings enhancement strategies (e.g., securities lending and cash management); fiduciary education; adoption of pension-related best practices; and keeping the Board abreast of new developments in investment management techniques.

**6. Performance Measurement and Monitoring**

Monitor investment manager(s) performance with respect to achieving the Board's investment objectives and compliance with the Board's investment policies and directives. Prepare timely quarterly reports on manager performance, including commentary and recommendations. Advise on manager retention/termination. Conduct annual organizational and performance audits of each manager. Periodically analyze the risk positions of each manager.

**7. Monitoring Compliance**

Monitor the investment of the Retirement System's assets with regards to compliance with the asset limitations of the fund's Investment Policy Statement, as amended, with written quarterly reports submitted to the Retirement Board.

**8. Assist in Fund Diversification**

Assist the Board in the development of an investment manager structure that provides adequate diversification with respect to the number and types of investment managers to be retained by the Board.

The investment consultant will provide all required services within reasonable fee levels.

When responding to this RFP, the Board encourages you to describe the ways in which you believe your service capability is unique or distinctive.

**SECTION II            INVESTMENT CONSULTING SERVICES**

**A. ORGANIZATION BACKGROUND**

1. Please provide the name of your firm, its address, telephone number, and the primary contact for this request for proposal.
2. Is your organization a subsidiary, parent, or affiliate of any other firm? If so, please describe in detail. Also, do any of these affiliates provide any other retirement fund services such as investment management, actuarial services, etc.? If you, or your affiliates, provide more than one service, how do you protect against conflicts of interest? Have you ever included your own firm, subsidiary, or sponsored investment vehicle in a manager search you are conducting?
3. How long has your company been providing investment consulting services?

What is the number of full time employees in your firm, not including any parents, subsidiaries, or affiliates? What is the location of your nearest office to New Orleans, Louisiana?

4. Please submit biographical profiles on the individual(s) who will be assigned to our account. Also, where are these individuals located? Who will attend review meetings? Please be specific as to position/responsibility; consultant, research analyst, performance review analyst, etc.
5. How much public fund experience do you have nationally and in Louisiana? Please provide a list of all public pension fund clients under contract to date. Please include three (3) client references with contact information. If you are a local office of a national firm, please answer these questions only as they apply to your specific office.
6. Please provide 1 year, 3 year, 5 year and 10 year performance results on an annualized basis for a minimum of 3 public employee retirement system clients. The performance results should be based upon the period in which you served as the investment consultant and include, at a minimum, total fund performance on an annualized basis as of December 31, 2015 with a comparison against the appropriate policy index. Said performance results may also include a breakdown of fund performance by asset class with the appropriate benchmark index and peer group rankings. Please identify each client by the size of its total plan assets, its asset allocation and the state in which it is located. You may also provide any appropriate commentary explaining over/under performance and your role in the investment process.
7. How many accounts/clients have you gained in the last three (3) years? How many have left your company in the last three (3) years? Please include account asset size for all accounts gained/lost.
8. Please explain size, composition, and source of your performance measurement database. What indices are used for relative comparisons? Were your software systems developed entirely in-house or purchased from outside sources? If you do not maintain databases, whose database do you use?
9. Please describe your record retention policy and your systems backup process.
10. Please disclose formal or informal business relationships with investment managers or other service providers to pension trust funds.
11. Please describe the transition process when taking on a new client. Please discuss computer systems and data issues.

## **B. INVESTMENT POLICY/ASSET ALLOCATION GUIDELINES**

1. Provide an outline of the principle steps you would follow when developing a Statement of Investment Policy and Objectives. Does your investment policy and asset allocation analysis fully integrate liabilities with assets? How do you interface with the retirement system's actuaries?
2. How many meetings would be required with the Board to be prepared to make any

recommendations for change, if necessary? Who would attend from your firm and who else would be involved?

3. Provide an outline of the issues and items that would be covered in a typical investment policy statement.
4. Describe your approach to development of asset allocation guidelines. Please describe the process in detail, including application of major variables (e.g., risk tolerance, market volatility, etc.).
5. What asset classes are included in your work?
6. What geographic areas of the world do you consider appropriate for public pension asset investments?
7. Does your approach include passive strategies such as indexing? If so, please describe.

### **C. INVESTMENT MANAGER SELECTION**

1. What is the procedure and criteria you will follow in the selection of additional investment advisors? How long might this process take from start to finish?
2. How many firms do you track for manager search purposes? How many managers have made final presentations from the total search database?
3. Do the consultants assigned to our account actually interface with prospective managers? How many managers per week do our assigned consultants see? Is due diligence performed for all manager's officers? If so, please explain your due diligence process. How are consultants apprised with respect to developments about managers?
4. What computer systems do you utilize to help in your manager screening? Which are purchased and which are proprietary?
5. Do you monitor your success in selecting managers? Explain how you measure the level of success of existing managers. Please be specific.
6. What criteria are used to recommend termination of a manager?
7. Do you believe that when a manager is not performing, that the consultant who presented this manager also be held accountable? If so, how? If not, why not?
8. Do you have any arrangements with broker-dealers under which you or a related company will benefit if money managers place trades for their clients with such broker-dealers? If so, describe in detail.

## D. PERFORMANCE EVALUATION

1. Specifically describe your performance evaluation system and the philosophy behind it. Is your system proprietary or did you obtain it from another supplier?
2. How soon following the end of a reporting period can you have copies of evaluation reports to us? How frequently do you recommend performance evaluation reviews?
3. Please provide samples of your standard reports. How much variation is available from your standard report?
4. Describe and illustrate any special indices constructed by your firm.
5. Please describe, in detail, the optimal role that your firm would like to take in manager presentations to the Board. What other search services are provided?

## E. FEES

1. Please indicate your fee schedule for all-inclusive investment consulting services. What do you include as “all-inclusive”? If your fee schedule allows, please provide your menu of options (pricing for investment performance analysis services, asset allocation studies, investment policy preparation, manager searches, custodial searches, etc.) If your fee schedule is based on soft dollars, please also quote your services, by type, on a hard dollar basis.
2. Do you charge separately for travel expenses? If so, please explain, in detail, your policy.
3. What other costs or expenses might we incur with your firm?
4. What is your billing arrangement (quarterly, semi-annually, billed in arrears, etc.)?
5. If services are also quoted on a soft dollar basis, what is the cost in cents per share? What is the commission to cash conversion ratio? Also, how do you report to us on commissions received?
6. What percentage of typical equity managers trades do you feel should be used for client directed brokerage purposes?
7. Do you give credit for commissions received over and above the service charge? What type of recapture is used for those excess commissions?
8. Describe the various types of insurance and indemnification (including specific dollar coverages) provided to protect clients of service(s) proposed, including:
  - i. Errors and Omissions Coverage
  - i. Risk Coverage

Carriers  
Levels  
Limits  
Deductibles

## F. ISSUES/MISCELLANEOUS

1. What affiliations does your company maintain to keep apprised of unique issues and developments affecting public employee retirement systems?
2. Please provide all complaints against your firm and your specific office received by the Securities and Exchange Commission (SEC) and the Financial Industry Regulatory Authority (FINRA). Has your firm been involved in litigation within the last five (5) years or is there any pending litigation arising out of your performance? If your answer is yes, please explain fully.
3. Has your firm been investigated by any state or federal regulatory or law enforcement agency in the last ten (10) years? If yes, please describe in detail the substance and results of each such investigation.
4. Has your organization been a party to any lawsuit, litigated or settled, including suits involving misfeasance or professional negligence, within the last ten (10) years? If so, please describe the substance and results of each suit.
5. Are you registered with the SEC or a state securities regulator as an investment adviser? If so, have you provided all the disclosures required under those laws?
6. Do you, or a related company, have relationships with money managers that you recommend, consider for recommendation, or otherwise mention to the Board for our consideration? If so, describe those relationships.
7. Do you, or a related company, receive any payments from money managers that you recommend, consider for recommendation, or otherwise mention to the Board for our consideration? If so, what is the extent of these payments in relation to your other income (revenue)?
8. Do you have any policies or procedures to address conflicts of interest or to prevent these payments or relationships from being considered when you provide advice to your clients?
9. If you allow Systems to pay your consulting fees using the System's brokerage commissions, do you monitor the amount of commissions paid and alert Systems when consulting fees have been paid in full? If not, how can a System make sure it does not over-pay its consulting fees?
10. Whether or not you allow Systems to pay your consulting fees using the System's brokerage commissions, what steps do you take to ensure that the plan receives best execution for its securities trades?
11. Do you have any arrangements with broker-dealers under which you, or a related company, will benefit if money managers place trades for their clients with such broker-dealers?

12. Will you acknowledge, in writing, that you have a fiduciary obligation as an investment adviser to the System while providing the consulting services we are seeking?
13. Do you consider yourself a fiduciary under ERISA with respect to the recommendations you provide the System?
14. What percentage of your clients utilize money managers, investment funds, brokerage services, or other service providers from whom you receive fees?

## **G. OTHER REQUIREMENTS**

Pre-Qualification: Inviting a proposal does not assume a “pre-qualification” of any proposer.

Proposal Preparation Cost: The Board will not be liable for any costs incurred in preparation or submittal of proposals.

Certification as to “Request for Proposal” Content: By submitting a proposal, the proposer certifies that he/she has fully read and understands the “Request for Proposal” and has full knowledge of the scope, nature, quantity, and quality of work to be performed. Unless specified to the contrary, submitting a proposal will be interpreted as agreement to all provisions in the requirements of the RFP.

Additional Information and Instruction: The Proposer shall furnish such additional information as the Board may reasonably require. The Board reserves the right to investigate the qualifications of all proposers, as it deems appropriate.

Negotiations: The Board reserves the right to conduct pre-contract negotiations with any or all proposers.

Proposal Rejection: The Board reserves the right, in its sole discretion, to reject any or all proposals, to accept the proposal which it considers most favorable to the Board’s interest, and/or to waive minor irregularities in the procedures. The Board further reserves the right to seek new proposals when such procedure is in its best interest.

Proposals Binding for Ninety (90) Days: All proposals submitted shall be binding for ninety (90) calendar days following the above due date for receipt of proposals to allow for evaluation and award of contract.

Late Proposals: Proposals received by the Board after the time specified for proposal opening will not be considered.

Completeness: All information required by the RFP shall be provided to constitute an acceptable proposal. Failure to submit a complete proposal may result in the disqualification of your proposal.

**The Board appreciates the time and effort you will have expended in responding to this RFP.**

**City of New Orleans, Louisiana  
Request for Proposals  
Investment Consultant Services**

**October 4, 2016**

**Attachment “B”**

**CONTRACT TERMS AND CONDITIONS**

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44. WAIVER OF BENEFITS.

**1. ACKNOWLEDGMENT OF EXCLUSION OF UNEMPLOYMENT COMPENSATION COVERAGE.** The Contractor herein expressly declares and acknowledges that it is an independent contractor, and as such is being hired by the City under this Agreement for hire as noted and defined in R.S. 23:1472 (E), and therefore, it is expressly declared and understood between the parties hereto, in entering into this Agreement, or agreement for hire, and in connection with unemployment compensation only, that:

- a. The Contractor has been and will be free from any control or direction by the City over the performance of the services covered by this agreement; and
- b. Services to be performed by the Contractor are outside the normal course and scope of the City's usual business; and
- c. The Contractor has been independently engaged in performing the services listed herein prior to the date of this Agreement.

Consequently, neither the Contractor nor anyone employed by the Contractor shall be considered an employee of the City for the purpose of unemployment compensation coverage, the same being hereby expressly waived and excluded by the parties hereto.

**2. ACKNOWLEDGMENT OF EXCLUSION OF WORKER'S COMPENSATION COVERAGE.** The Contractor herein expressly agrees and acknowledges that it is an independent contractor as defined in R.S. 23:1021 (6) and as such, it is expressly agreed and understood between the parties hereto, in entering into this Agreement, that the City shall not be liable to the Contractor for any benefits or coverage as provided by the Workmen's Compensation Law of the State of Louisiana, and further, under the provisions of R.S. 23:1034 anyone employed by the Contractor shall not be considered an employee of the City for the purpose of Worker's Compensation coverage.

**3. AMENDMENT.** The Agreement shall not be modified except by written amendment executed by duly authorized representatives of the parties.

**4. ASSIGNABILITY.** The Contractor shall not assign any interest in this Agreement and shall not transfer any interest in the same without prior written consent of the City.

**5. AUDIT AND INSPECTION:**

**A.** The Contractor will submit to any City audit, inspection, and review and, at the City's request, will make available all documents relating or pertaining to this Agreement maintained by or under the control of the Contractor, its employees, agents, assigns, successors and subcontractors, during normal business hours at the Contractor's office or place of business in Louisiana. If no such location is available, the Contractor will make the documents available at a time and location that is convenient for the City.

**B.** The Contractor will abide by all provisions of City Code § 2-1120, including but not limited to City Code § 2-1120(12), which requires the Contractor to provide the Office of Inspector General with documents and information as requested. Failure to comply with such requests shall constitute a material breach of the Agreement. The Contractor agrees that it is subject to the jurisdiction of the Orleans Parish Civil District Court for purposes of challenging a subpoena.

6. **CHOICE OF LAWS.** This Agreement shall be construed and enforced in accordance with the laws of the State of Louisiana, without regard to its conflict of laws provisions.
7. **CONFLICT OF INTEREST.** In the interest of ensuring that efforts of the Contractor do not conflict with the interests of the City, and in recognition of the Contractor's responsibility to the City, the Contractor agrees to decline any offer of employment if its independent work on behalf of the City is likely to be adversely affected by the acceptance of such employment. The initial determination of such a possibility rests with the Contractor. It is incumbent upon the Contractor to notify the City and provide full disclosure of the possible effects of such employment on the Contractor's independent work in behalf of the City. Final decision on any disputed offers of other employment for the Contractor shall rest with the City.
8. **CONSTRUCTION OF AGREEMENT.** Neither party will be deemed to have drafted the Agreement. The Agreement has been reviewed by all parties and will be construed and interpreted according to the ordinary meaning of the words used so as to fairly accomplish the purposes and intentions of all parties. No term of the Agreement will be construed or resolved in favor of or against the City or the Contractor on the basis of which party drafted the uncertain or ambiguous language. The headings and captions of the Agreement are provided for convenience only and are not intended to have effect in the construction or interpretation of the Agreement. Where appropriate, the singular includes the plural, and neutral words and words of any gender include the neutral and other gender.
9. **CONVICTED FELON STATEMENT.** The Contractor complies with City Code § 2-8(c) and no principal, member, or officer of the Contractor has, within the preceding five (5) years, been convicted of, or pled guilty to, a felony under state or federal statutes for embezzlement, theft of public funds, bribery, or falsification or destruction of public records.
10. **COUNTERPARTS.** This Agreement may be executed in one or more counterparts, each of which shall be deemed to be an original copy of this Agreement, but all of which, when taken together, shall constitute one and the same agreement.
11. **DECLARED DISASTER.**
- A. **Declaration.** During the declaration of an emergency by federal, state, and/or local government, the Contractor shall provide support to the City on an as-needed and task-order-driven basis. Because of the uncertainty of the scale and/or type of emergency, the services to be provided by the Contractor will vary and may need to be adjusted as needs are identified. The Contractor may be requested to provide a range of services. Said services may need to be rendered on a continual basis (24 hours / 7 days per week) during the declaration of an emergency.
- B. **Task Order. Notification and Personnel.** Prior or during the declaration of an emergency, the City will notify the Contractor via task order if the City requires the Contractor's support. Upon activation by task order, the Contractor will provide the City with contact information of personnel assigned to the task order; and coordinate with the City to identify any personnel available to meet the City's needs.
- C. **Purchase Order.** Once services are identified, the City will issue a purchase order to the Contractor. The City will issue a subsequent purchase order in case of additional

needs for services, or may issue a modified purchase order if changes are made to the initial purchase order.

**D.** The Contractor will ensure that the City is provided with timely and accurate reports and other documentation, as requested.

**12. DISADVANTAGED BUSINESS ENTERPRISE (“DBE”) PROGRAM.**

**A. In General.** The Contractor agrees to abide by the City Code sections 70-496, *et seq.*, to use its best efforts to carry out all applicable requirements of the City’s DBE Program for the administration of this Agreement, as set forth in the City Code and any applicable rules adopted thereunder. The City’s Office of Supplier Diversity (“**OSD**”) oversees the DBE Program and assigns a DBE Compliance Officer (“**DBECO**”) to ensure compliance.

**B. Monitoring.** To ensure compliance with DBE requirements during the term of this Agreement, the DBECO will monitor the Contractor’ use of DBE subcontractors/suppliers (“**DBE Entities**”) through the following actions:

2. Job site visits;
3. Electronic payment tracking via the Contract Compliance Monitoring System or other means as approved by the OSD;
4. Routine audits of contract payments to all subcontractors;
5. Reviewing of records and reports; and/or
6. Interviews of selected personnel.

The DBECO may schedule inspections and on-site visits with or without prior notice to the Contractor or DBE Entities.

**C. Cooperation.** The Contractor shall:

6. Designate an individual as the “DBE Liaison” who will monitor the Contractor’s DBE participation as well as document and maintain records of “Good Faith Efforts” with DBE Entities.
7. Execute written contracts with DBE Entities that meet the applicable DBE goals.
  - c. The Contractor shall provide the DBECO with copies of said contracts within thirty (30) days from the date this Agreement is fully executed between the City and the Contractor.
  - d. The Contractor shall agree to promptly pay subcontractors, including DBE Entities, in accordance with law.
8. Establish and maintain the following records for review upon request by the OSD:
  - e. Copies of written contracts with DBE Entities and purchase orders;
  - f. Documentation of payments and other transactions with DBE Entities;
  - g. Appropriate explanations of any changes or replacements of DBE Entities, which may include a record of “Post-Award Good Faith Efforts” for each certified firm

that the Contractor does not use in accordance with the approved DBE participation submission;

**h.** Any other records required by the OSD.

The Contractor is required to maintain such records for three (3) years after completion or closeout of this Agreement. Such records are necessary to determine compliance with their DBE obligations.

**9.** Post monthly payments and submit regular reports to the DBECO as required via the online “Contract Compliance Monitoring System” or other means approved by the OSD.

**e.** The Contractor shall submit the initial report outlining DBE participation within thirty (30) days from the date of notice to proceed (or equivalent document) issued by the City to the Contractor. Thereafter, “DBE Utilization” reports shall be due on or before the fifteenth (15<sup>th</sup>) day of each month until all DBE subcontracting work is completed.

**f.** Reports are required even when no activity has occurred in a monthly period.

**g.** If the established percentage is not being met, the monthly report shall include a narrative description of the progress being made in DBE participation.

**h.** The Contractor may also be required to attach or upload copies of canceled checks or bank statements that identify payer, payee and amount of transfer to verify payment information as indicated on the form.

**10.** Conform to the established percentage as approved by the OSD.

**d.** The total dollar amount of the Agreement shall include approved change orders and amendments. For a requirements contract, the total dollar amount shall be based in actual quantities ordered.

**e.** No changes to the established percentage and DBE Entities submitted on DBE Compliance Form-1 shall be allowed without approval by the OSD.

**f.** The City will not adjust the contract for any increase in cost due to replacement of DBE Entities.

**D. Post-Award Modification.** The OSD may grant a post-award modification request if:

**c.** for a reason beyond the Contractor’s control, the Contractor is unable to use the certified DBE entity submitted on DBE Compliance Form-1 to perform the specified work. The Contractor must notify the OSD of the intent for removal and substitution of a certified DBE immediately upon determination of that the DBE submitted on Compliance Form -1 is unable to perform the specified work. In such case, the Contractor shall use and document “Good Faith Efforts” to find a similarly qualified and certified DBE entity to perform such specified work. The same criteria used for establishing “Good Faith Efforts” in maximizing the participation of DBE Entities prior to awarding the Agreement will also apply to

the substitution of DBE subcontractors during the performance of the Agreement;  
or

- d. the Contractor reasonably believes that, due to a change of scope, execution of the work in accordance with the directions from the City is unlikely to meet the established percentage or terms. In such case, the Contractor shall use and document “Good Faith Efforts” to achieve a reasonable amount of DBE participation on the remaining work on the Agreement.

**E. Failure to Comply During the term of the Agreement.** If the DBECO determines in good faith that the Contractor failed to carry out the requirements of the DBE Program, such failure shall be deemed a material breach of this Agreement. This material breach may result in the termination of this Agreement and/or the pursuit of any other remedies available to the City under any applicable law, ordinance, or rule, including, but not limited to those set forth in the City’s Policy Memorandum for the DBE Program.

**13. DURATION.** The term of this agreement shall be for one (1) year, beginning the effective date hereof, provided there is an encumbrance of funds by the requesting department made from the funds allotted by the Chief Administrative Officer, which are derived from appropriations made by the City Council. This agreement shall automatically terminate with respect to any period of time for which funds are not so encumbered.

**14. ELECTRONIC SIGNATURE AND DELIVERY.** The Parties agree that a manually signed copy of this Agreement and any other document(s) attached to this Agreement delivered by facsimile, email or other means of electronic transmission shall be deemed to have the same legal effect as delivery of an original signed copy of this Agreement. No legally binding obligation shall be created with respect to a party until such party has delivered or caused to be delivered a manually signed copy of this Agreement.

**15. EMPLOYEE VERIFICATION.** The Contractor swears that (i) it is registered and participates in a status verification system to verify that all employees in the State of Louisiana are legal citizens of the United States or are legal aliens; (ii) it shall continue, during the term of this Agreement, to utilize a status verification system to verify the legal status of all new employees in the State of Louisiana; and (iii) it shall require all subcontractors to submit to the Contractor a sworn affidavit verifying compliance with items (i) and (ii) above. Any violation of the provisions of this paragraph may subject this Agreement to termination, and may further result in the Contractor being ineligible for any public contract for a period of three years from the date the violation is discovered. The Contractor further acknowledges and agrees that it shall be liable for any additional costs incurred by the City occasioned by the termination of this Agreement or the loss of any license or permit to do business in the State of Louisiana resulting from a violation of this provision. The Contractor will provide to the City a sworn affidavit attesting to the above provisions if requested by the City. The City may terminate this Agreement for cause if the Contractor fails to provide such the requested affidavit or violates any provision of this paragraph.

**16. ENTIRE AGREEMENT.** This Agreement, including all incorporated documents, constitutes the final and complete agreement and understanding between the parties. All prior and contemporaneous

agreements and understandings, whether oral or written, are superseded by this Agreement and are without effect to vary or alter any terms or conditions of this Agreement.

**17. EQUAL EMPLOYMENT OPPORTUNITY.** In all hiring or employment made possible by, or resulting from this agreement, there (1) will not be any discrimination against any employee or applicant for employment because of race, color, religion, gender, age, physical or mental disability, national origin, sexual orientation, creed, culture, or ancestry, and (2) where applicable, affirmative action will be taken to ensure that the Contractor's employees are treated during employment without regard to their race, color, religion, gender, age, physical or mental disability, national origin, sexual orientation, creed, culture, or ancestry. This requirement shall apply to, but not be limited to the following: employment, upgrading, demotion or transfer, recruitment or recruitment advertising, layoff or termination, rates of pay or other forms of compensation and selection for training, including apprenticeship. All solicitations or advertisements for employees shall state that all qualified applicants will receive consideration for employment without regard to race, color, religion, gender, age, physical or mental disability, national origin, sexual orientation, creed, culture, or ancestry.

**18. EXCLUSIVE JURISDICTION AND VENUE.** For all claims arising out of or related to this Agreement, the Contractor hereby consents and yields to the jurisdiction of the Civil District Court for the Parish of Orleans, and expressly waives any (A) pleas of jurisdiction based upon Contractor's residence and (B) right of removal to federal court based upon diversity of citizenship.

**19. EXTENSION.** This Agreement may be extended at the option of the City, provided that funds are allocated by the Council of the City of New Orleans and the extension of the Agreement facilitates the continuity of services provided herein. This Agreement may be extended by the City for four (4) additional one-year terms.

**20. INCORPORATION INTO SUBCONTRACTS.** The Contractor will incorporate these Agreement Terms and Conditions into all subcontracts, by reference or otherwise, and will require all subcontractors to comply with these provisions.

**21. INDEMNIFICATION.**

**A.** To the fullest extent permitted by law, the Contractor will indemnify, defend, and hold harmless the City, its agents, employees, officials, insurers, self-insurance funds, and assigns (collectively, the "**Indemnified Parties**") from and against any and all claims, demands, suits, and judgments of sums of money accruing against the Indemnified Parties: for loss of life or injury or damage to persons or property arising from or relating to any act or omission or the operation of the Contractor, its agents or employees while engaged in or in connection with the discharge or performance of any Services under this Agreement; and for any and all claims and/or liens for labor, services, or materials furnished to the Contractor in connection with the performance of work under this Agreement.

**B. Limitation.** The Contractor's indemnity does not extend to any loss arising from the gross negligence or willful misconduct of any of the Indemnified Parties, provided that neither the Contractor nor any of its agents or employees contributed to such gross negligence or willful misconduct.

**C. Independent Duty.** The Contractor has an immediate and independent obligation to, at the City's option: (a) defend the City from or (b) reimburse the City for its costs incurred in the defense of

any claim that actually or potentially falls within this indemnity, even if: (1) the allegations are or may be groundless, false, or fraudulent; or (2) the Contractor is ultimately absolved from liability.

**D. Expenses.** Notwithstanding any provision to the contrary, the Contractor shall bear the expenses including, but not limited to, the City's reasonable attorney fees and expenses, incurred by the City in enforcing this indemnity.

**22. INDEPENDENT CONTRACTOR STATUS.** The Contractor is an independent contractor and shall not be deemed an employee, servant, agent, partner, or joint venture of the City and will not hold itself or any of its employees, subcontractors or agents to be an employee, partner, or agent of the City.

**23. LIMITATIONS OF THE CITY'S OBLIGATIONS.** The City has no obligations not explicitly set forth in this Agreement or any incorporated documents or expressly imposed by law.

**24. LIVING WAGES.** To the fullest extent permitted by law, the Contractor agrees to abide by City Code sections 70-801, *et seq.*, which requires payment of a wage to covered employees equal to the amounts defined in the Code ("**Living Wage**"). If the Contractor fails to comply with the requirements of the Living Wage during the term of the Agreement, said failure may result in termination of the Agreement or the pursuit of other remedies by the City.

**25. NO THIRD PARTY BENEFICIARIES.** The Agreement is entered into for the exclusive benefit of the City and the Contractor, and the City and the Contractor expressly disclaim any intent to benefit anyone not a party to this Agreement.

**26. NON-DISCRIMINATION.** In the performance of this Agreement, the Contractor will not discriminate on the basis, whether in fact or perception, of a person's race, color, creed, religion, national origin, ancestry, age, sex (gender), sexual orientation, gender identity, domestic partner status, marital status, physical or mental disability, or AIDS- or HIV-status against (1) any employee of the City working with the Contractor in any of Contractor's operations within Orleans Parish or (2) any person seeking accommodations, advantages, facilities, privileges, services, or membership in all business, social, or other establishments or organizations operated by the Contractor. The Contractor agrees to comply with and abide by all applicable federal, state and local laws relating to non-discrimination, including, without limitation, Title VI of the Civil Rights Act of 1964, Section V of the Rehabilitation Act of 1973, and the Americans with Disabilities Act of 1990.

**27. NON-EXCLUSIVITY.** This Agreement is non-exclusive and the Contractor may provide services to other clients, subject to the City's approval of any potential conflicts with the performance of this Agreement and the City may engage the services of others for the provision of some or all of the work to be performed under this Agreement.

**28. NON-SOLICITATION.** The Contractor has not employed or retained any company or person, other than a bona fide employee working solely for him, to solicit or secure the subject Agreement. The Contractor has not paid or agreed to pay any person, other than a bona fide employee working for him, any fee, commission, percentage, gift, or any other consideration contingent upon or resulting from the subject Agreement.

**29. NON-WAIVER.** The failure of the City to insist upon strict compliance with any provision of the Agreement, to enforce any right or to seek any remedy upon discovery of any default or breach of

the Contractor at such time as the initial discovery of the existence of such noncompliance, right, default or breach shall not affect or constitute a waiver of the City's right to insist upon such compliance, exercise such right or seek such remedy with respect to that default or breach or any prior contemporaneous or subsequent default or breach.

**30. OWNERSHIP INTEREST DISCLOSURE.** The Contractor will provide a sworn affidavit listing all natural or artificial persons with an ownership interest in the Contractor and stating that no other person holds an ownership interest in the Contractor via a counter letter. For the purposes of this provision, an "ownership interest" shall not be deemed to include ownership of stock in a publicly traded corporation or ownership of an interest in a mutual fund or trust that holds an interest in a publicly traded corporation. If the Contractor fails to submit the required affidavits, the City may, after thirty (30) days' written notice to the Contractor, take such action as may be necessary to cause the suspension of any further payments until such the required affidavits are submitted.

**31. OWNERSHIP OF RECORDS.** Upon final payment, all data collected and all products of work prepared, created or modified by Contractor in the performance of this Agreement, including without limitation any and all notes, tables, graphs, reports, files, computer programs, source code, documents, records, disks, original drawings or other such material, regardless of form and whether finished or unfinished, but excluding the Contractor's personnel and administrative records and any tools, systems, and information used by the Contractor to perform the services under this Agreement, including computer software (object code and source code), know-how, methodologies, equipment, and processes and any related intellectual property (collectively, "Work Product") will be the exclusive property of City and the City will have all right, title and interest in any Work Product, including without limitation the right to secure and maintain any copyright, trademark, or patent of Work Product in the City's name. No Work Product may be reproduced in any form without the City's express written consent. The City may use and distribute any Work Product for any purpose the City deems appropriate without the Contractor's consent and for no additional consideration to the Contractor.

**32. PERFORMANCE MEASURES.**

**A. Factors.** the City will measure the performance of the Contractor according to the following non-exhaustive factors: work performed in compliance with the terms of the Agreement; staff availability; staff training; staff professionalism; staff experience; customer service; communication and accessibility; prompt and effective correction of situations and conditions; timeliness and completeness of submission of requested documentation (such as records, receipts, invoices, insurance certificates, and computer-generated reports).

**B. Failure to Perform.** If the Contractor fails to perform according to the Agreement, the City will notify the Contractor. If there is a continued lack of performance after notification, the City may declare the Contractor in default and may pursue any appropriate remedies available under the Agreement and/or any applicable law. In the event of a notification of default, the City will invoice the defaulting contractor for any increase in costs and other damages sustained by the City. Further, the City will seek full recovery from the defaulting contractor.

**33. PROHIBITION AGAINST FINANCIAL INTEREST IN AGREEMENT.** No elected official or employee of the City shall have a financial interest, direct or indirect, in the Agreement, including through any financial interest held by the spouse, child, or parent. Any willful violation of this provision, with the expressed or implied knowledge of the Contractor, will render this Agreement

voidable by the City and shall entitle the City to recover, in addition to any other rights and remedies available to the City, all monies paid by the City to the Contractor pursuant to this Agreement without regard to the Contractor's satisfactory performance.

**34. PROHIBITION ON POLITICAL ACTIVITY.** None of the funds, materials, property, or services provided directly or indirectly under the terms of this Agreement shall be used in the performance of this Agreement for any partisan political activity, or to further the election or defeat of any candidate for public office.

**35. REMEDIES CUMULATIVE.** No remedy set forth in the Agreement or otherwise conferred upon or reserved to any party shall be considered exclusive of any other remedy available to a party. Rather, each remedy shall be deemed distinct, separate and cumulative and each may be exercised from time to time as often as the occasion may arise or as may be deemed expedient.

**36. SEVERABILITY.** If a court of competent jurisdiction finds any provision of the Agreement to be unenforceable as written, the unenforceable provision should be reformed, if possible, so that it is enforceable to the maximum extent permitted by law, or, if reformation is not possible, the unenforceable provision will be fully severable and the remaining provisions of the Agreement will remain in full force and effect and will be construed and enforced as if the unenforceable provision was never a part the Agreement.

**37. SUBCONTRACTOR REPORTING.** The Contractor will provide a list of all natural or artificial persons who are retained by the Contractor at the time of the Agreement's execution and who are expected to perform work as subcontractors in connection with the Contractor's work for the City. For any subcontractor proposed to be retained by the Contractor to perform work on the Agreement with the City, the Contractor must provide notice to the City within thirty (30) days of retaining that subcontractor. If the Contractor fails to submit the required lists and notices, the City may, after thirty (30) days' written notice to the Contractor, take any action it deems necessary, including, without limitation, causing the suspension of any payments, until the required lists and notices are submitted.

**38. SURVIVAL OF CERTAIN PROVISIONS.** All representations and warranties and all obligations concerning record retention, inspections, audits, ownership, indemnification, payment, remedies, jurisdiction, venue, choice of law, and warranties shall survive the expiration, suspension, or termination of the Agreement and continue in full force and effect.

**39. SUSPENSION.** The City may suspend this Agreement at any time and for any reason by giving two (2) business day's written notice to the Contractor. The Contractor will resume work upon five (5) business day's written notice from the City.

**40. TERMINATION FOR CAUSE.** The City may terminate this Agreement immediately for cause by sending written notice to the Contractor. "Cause" includes without limitation any failure to perform any obligation or abide by any condition of this Agreement or the failure of any representation or warranty in this Agreement, including without limitation any failure to comply with the requirements of the City's Disadvantaged Business Enterprise program and any failure to comply with any provision of City Code § 2-1120 or requests of the Office of Inspector General. If a termination for cause is subsequently challenged in a court of law and the challenging party prevails, the termination will be deemed to be a termination for convenience effective thirty (30) days from the date of the original

written notice of termination for cause was sent to the challenging party; no further notice will be required.

**41. TERMINATION FOR CONVENIENCE.** The City may terminate this Agreement at any time during the term of the Agreement by giving the Contractor written notice of the City's intention to terminate at least thirty (30) days before the date of termination.

**42. TERMINATION FOR NON-APPROPRIATION.** This Agreement will terminate immediately in the event of non-appropriation of funds sufficient to maintain this Agreement without the requirement of notice and the City will not be liable for any amounts beyond the funds appropriated and encumbered for this Agreement.

**43. TERMS BINDING.** The terms and conditions of the Agreement are binding on any heirs, successors, transferees, and assigns.

**44. WAIVER OF BENEFITS.** The Contractor, as an independent contractor, will not receive from the City any sick and annual leave benefits, medical insurance, life insurance, paid vacations, paid holidays, sick leave, pension, or Social Security for any services rendered to the City under this Agreement.

**[END OF ATTACHMENT "B"]**

**City of New Orleans, Louisiana  
Request for Proposals  
Investment Consultant Services**

**October 4, 2016**

**Attachment “C”**

**DISADVANTAGED BUSINESS ENTERPRISE (DBE) PARTICIPATION PLAN**

(Must be submitted with proposal)



OFFICE OF SUPPLIER DIVERSITY  
**CITY OF NEW ORLEANS**  
DBE Participation Plan

Contact Office of Supplier Diversity for  
questions on completing this form.  
Via email: [supplierdiversity@nola.gov](mailto:supplierdiversity@nola.gov)  
OR  
1340 Poydras Street, 18<sup>th</sup> Floor  
New Orleans, LA 70112

### **Overview**

All Respondents (including DBEs) at time of proposal submission shall complete and submit a **DBE Participation Plan**. The DBE Participation Plan shall be considered a methodology as to how the Respondent plans to meet the DBE contract goal if awarded the project.

If a DBE Participation Plan is not submitted, it shall be determined that the Respondent was non-responsive to the City of New Orleans DBE Program provisions. The Office of Supplier Diversity shall submit such determination to the RFP/RFQ Selection Committee at the time of the Selection Committee meeting with a recommendation of rejecting the proposal from consideration.

Upon receipt of a completed DBE Participation Plan, the Office of Supplier Diversity Director shall evaluate and make a determination as to whether the DBE Plan is a responsive plan that provides a methodology on how the Respondent plans to meet the City's DBE participation goals.

The factors prescribed herein are not intended to be a mandatory checklist, nor is it intended to be exhaustive or exclusive, but they are intended to serve as a guide to improving the use of DBEs, and growing successful DBE businesses for the long-term.

The Office of Supplier Diversity may consider other factors or types of efforts that may be relevant in appropriate cases. Please see Good Faith Efforts policy for further guidance.

### **Notification of Award**

Within ten (10) days of the City's issuance of the Intent Award Letter, the Respondent shall complete and submit a **DBE Compliance Form-1**. This form is used to list your primary DBE subcontractor(s) on a City of New Orleans Bid, RFP or solicitation response. If the amount of participation is less than the Contract Goal, the Respondent shall complete and submit **DBE Compliance Form-2** along with all required supporting documentation of demonstrated Good Faith Efforts. The Good Faith Effort policy and all DBE Compliance forms are available on [www.nola.gov](http://www.nola.gov) or by request at [supplierdiversity@nola.gov](mailto:supplierdiversity@nola.gov).

### **Restoration Tax Abatement Applicants**

The City of New Orleans DBE Program requirements apply to Restoration Tax Abatement (RTA) credits for commercial structures and owner-occupied residential properties exceeding six (6) residential units. Please include a completed DBE Participation Plan with your final application.



OFFICE OF SUPPLIER DIVERSITY  
**CITY OF NEW ORLEANS**  
DBE Participation Plan

Contact Office of Supplier Diversity for  
questions on completing this form.  
Via email: [supplierdiversity@nola.gov](mailto:supplierdiversity@nola.gov)  
OR  
1340 Poydras Street, 18<sup>th</sup> Floor  
New Orleans, LA 70112

**Section I. Respondent**

Company		Certified DBE	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Address				
Telephone				
E-Mail				

  

RFP/RFQ Solicitation Number	
Project Description	

**DBE PARTICIPATION PLAN SUBMITTED BY:**

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

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

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

The following employee will be designated as the **DBE Liaison** for all communication regarding DBE participation including documentation for DBE participation and maintenance of records of Good Faith Efforts for this contract award:

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

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

Telephone: \_\_\_\_\_ E-Mail: \_\_\_\_\_



OFFICE OF SUPPLIER DIVERSITY  
CITY OF NEW ORLEANS  
DBE Participation Plan

Contact Office of Supplier Diversity for  
questions on completing this form.  
Via email: [supplierdiversity@nola.gov](mailto:supplierdiversity@nola.gov)  
OR  
1340 Poydras Street, 18<sup>th</sup> Floor  
New Orleans, LA 70112

**Section II. DBE Participation Plan Method**

The following method was used to develop the DBE Participation Plan. Please explain.

1. Has your firm worked with DBE firms in the past? If yes, describe the results of that working relationship.

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2. Based on the scope of services requested by the City, what DBE subcontracting opportunities were identified to increase the likelihood of meeting the contract goal.

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3. Describe the outreach methods that your firm will use to encourage and incorporate DBE firms in this project.

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4. If No DBE subcontract opportunities were identified, please explain.

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ATTACH ADDITIONAL PAGES IF ADDITIONAL SPACE IS REQUIRED



OFFICE OF SUPPLIER DIVERSITY  
CITY OF NEW ORLEANS  
DBE Participation Plan

Contact Office of Supplier Diversity for  
questions on completing this form.  
Via email: [supplierdiversity@nola.gov](mailto:supplierdiversity@nola.gov)  
OR  
1340 Poydras Street, 18<sup>th</sup> Floor  
New Orleans, LA 70112

**Section III. DBE Subcontractor's Scope of Work**

List certified DBE(s) you have identified. Please provide the name of the firm(s), and list their services, products and/or scope of work. Also, list estimated dollar value for scope of work or estimated DBE utilization percentage. Attach additional pages if necessary.

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Name of Firm: \_\_\_\_\_ Firm Contact: \_\_\_\_\_

Telephone: \_\_\_\_\_ E-Mail: \_\_\_\_\_

Describe below or attach the work to be performed by the DBE firm \_\_\_\_\_  
\_\_\_\_\_

Estimated Dollar Value for Scope of Work (\$): \_\_\_\_\_ Estimated DBE Utilization Percentage: \_\_\_\_\_

---

Name of Firm: \_\_\_\_\_ Firm Contact: \_\_\_\_\_

Telephone: \_\_\_\_\_ E-Mail: \_\_\_\_\_

Describe below or attach the work to be performed by the DBE firm \_\_\_\_\_  
\_\_\_\_\_

Estimated Dollar Value for Scope of Work (\$): \_\_\_\_\_ Estimated DBE Utilization Percentage: \_\_\_\_\_

---

Name of Firm: \_\_\_\_\_ Firm Contact: \_\_\_\_\_

Telephone: \_\_\_\_\_ E-Mail: \_\_\_\_\_

Describe below or attach the work to be performed by the DBE firm \_\_\_\_\_  
\_\_\_\_\_

Estimated Dollar Value for Scope of Work (\$): \_\_\_\_\_ Estimated DBE Utilization Percentage: \_\_\_\_\_

**Attachment "D"**  
**CITY OF NEW ORLEANS**  
**TAX CLEARANCE AUTHORIZATION**

According to Section 2-8 of the Code of the City of New Orleans, Louisiana 1995, the City may not enter into or make payments under a contract, grant or cooperative endeavor agreement with any person, corporation, or entity delinquent in City taxes. This form supplies the needed tax clearance. This clearance is issued without prejudice to any tax liabilities discovered by audit.

**Please refer to the instructions on the back of this form**

*BUSINESS NAME:*

*OWNER'S NAME:*

*TYPE OF BUSINESS:*

*BUSINESS ADDRESS:*

*MAILING ADDRESS:*

*CONTACT TELEPHONE:*

*FAX NUMBER:*

*E-MAIL ADDRESS:*

*REAL ESTATE TAX NUMBER:*

*PERSONAL PROPERTY TAX NUMBER:*

*SALES TAX/OCCUPATIONAL LICENSE  
NUMBER:*

**PRINT NAME:**

**TITLE:**

**AUTHORIZED SIGNATURE:**

**DATE SIGNED:**

**I certify that I have the authority to execute this form with respect to the tax matters covered and that the above is true and correct. The City of New Orleans is authorized to inspect and/or receive confidential tax information.**

**BUREAU OF REVENUE (Room 1W15)**

This clearance covers Occupational License and Sales/Use taxes.

I hereby assert that after review of the taxpayer's records of this date that the taxpayer **IS NOT** delinquent in any taxes owed to the city. This clearance covers the period today through March 1, 20\_\_\_\_. The above clearance may be revoked for failure to pay sales tax.

**BUREAU OF TREASURY (Room 1W37)**

This clearance covers Ad Valorem taxes for Real Estate and Business Property taxes.

I hereby assert that after review of the taxpayer's records of this date that the taxpayer **IS NOT** delinquent in any taxes owed to the city. This clearance covers the period today through March 1, 20\_\_\_\_.

\_\_\_\_\_  
**COLLECTOR OF REVENUE**

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

\_\_\_\_\_  
**TREASURY CHIEF**

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

I attest that the taxpayer named above is **not** delinquent in any taxes owed to the city.

\_\_\_\_\_  
**DIRECTOR OF FINANCE**

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

# CITY OF NEW ORLEANS

## TAX CLEARANCE AUTHORIZATION

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### INSTRUCTIONS

1. To complete this form, provide all of the information requested. Failure to fill in ALL information requested will delay processing. If the form is not signed and dated, the form will not be processed.
2. Complete, sign and date the authorization form and submit to the Department with whom you are contracting.
3. This form authorizes the City of New Orleans to inspect and/or receive your confidential tax information.
4. This Tax Clearance Authorization will not be honored for any purpose other than contracting with the City of New Orleans.
5. The following requirements must be met in order for a Tax Clearance Authorization form to be approved by the City of New Orleans. It is recommended that all outstanding tax and business registration be completed prior to processing the form to expedite contract execution.

#### **Real Estate/Personal Property Tax**

- o Businesses are required to be current in payment of all Real Estate Tax and Personal Property Tax.
- o A business can visit the City of New Orleans' website, [www.nola.gov](http://www.nola.gov) at the Bureau of Treasury webpage to pay outstanding Real Estate and Personal Property taxes due.
- o A business can mail outstanding tax payments to City of New Orleans, Bureau of the Treasury 1300 Perdido St., Room 1W38, New Orleans, La. 70112.

#### **Sales Tax/Occupational License**

- o All businesses are required to have a City of New Orleans Sales Tax number.
- o If the business is located within Orleans Parish, an Occupational License is also required. If the business is domiciled outside of Orleans Parish, a registration is required to be completed to obtain a Revenue account number.
- o If a business is not registered, a New Business Application must be completed. The application can be found on the City of New Orleans' website, [www.nola.gov](http://www.nola.gov), at the Bureau of Revenue webpage. Under Online Revenue Documents, an application can be downloaded and returned to the City of New Orleans, Bureau of Revenue, 1300 Perdido St., Room 1W15, New Orleans, LA 70112. Any questions may be forwarded to Revenue Administration, 658-1695 or 658-1666.
- o Non-profit organizations must comply with the Occupational License requirements by completing a New Business Application. The application can be found on the City of New Orleans' website, [www.nola.gov](http://www.nola.gov), at the Bureau of Revenue webpage. Under Online Revenue Documents, an application can be downloaded and returned to the City of New Orleans, Bureau of Revenue, 1300 Perdido St., Room 1W15, New Orleans, LA 70112. Any questions may be forwarded to Revenue Administration, 658-1695 or 658-1666.
- o Once exempt status is confirmed for the non-profit organization, the organization is exempt from Occupational License fees.

Revised Tax Clearance Authorization, April 20, 2012

**Attachment "E"**  
**CITY OF NEW ORLEANS**  
**IDENTIFICATION OF SUBCONTRACTORS**

**STATE OF LOUISIANA**

**PARISH OF \_\_\_\_\_**

Before me, the undersigned authority, came and appeared \_\_\_\_\_, who, being first duly sworn, deposed and said that:

1. He/She is the \_\_\_\_\_ and authorized representative of \_\_\_\_\_, hereafter called "Respondent."
2. The Respondent submits the attached proposal in response to City of New Orleans Proposal #\_\_\_\_\_.
3. The Respondent hereby identifies the following persons, natural or artificial, who are retained by Respondent at the time the attached proposal is submitted and who are expected to perform work as subcontractors in connection with the Respondent's work for the City. Respondent hereby acknowledges and agrees that when new subcontractors not previously named are added to the project, they must be promptly identified to the City User Department within 48 hours of the change. The official change may not take place unless and until the City provides its written approval.

\_\_\_\_\_  
Person(s) and Company Name (if applicable)

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

\_\_\_\_\_  
Respondent Representative (Signature)

\_\_\_\_\_  
(Print or type name)

\_\_\_\_\_  
(Address)

Sworn to and subscribed before me, \_\_\_\_\_, Notary Public, this \_\_\_\_ day of \_\_\_\_\_, 2011\_\_\_\_.

\_\_\_\_\_  
Notary Public (signature)  
Notary ID#/Bar Roll #

**Attachment "F"**

**CONFLICT OF INTEREST DISCLOSURE AFFIDAVIT**

STATE OF LOUISIANA

PARISH OF \_\_\_\_\_

Before me, the undersigned authority, came and appeared \_\_\_\_\_, who, being first duly sworn, deposed and said that:

4. He/She is the \_\_\_\_\_ and authorized representative of \_\_\_\_\_, hereafter called "Respondent."

5. The Respondent submits the attached proposal in response to City of New Orleans Proposal # \_\_\_\_\_.

6. The Respondent hereby confirms that a conflict(s) of interest exists/does not exist/may exist in connection with this solicitation which might impair Respondent's ability to perform if awarded the contract, including any familial or business relationships that the Respondent, the proposed subcontractors, and their principals have with city officials or employees. *(If a conflict(s) of interest exists and/or may exist, describe in a letter the nature of the conflict, the parties involved and why there is a conflict. Attach said letter to this form).*

\_\_\_\_\_  
Respondent Representative (Signature)

\_\_\_\_\_  
(Print or type name)

\_\_\_\_\_  
(Address)

Sworn to and subscribed before me, \_\_\_\_\_, Notary Public, this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_.

\_\_\_\_\_  
Notary Public (signature)

Notary ID#/Bar Roll #

**City of New Orleans, Louisiana**  
**Request for Proposals/Qualifications**  
**“TITLE”**  
**“DATE”**

**ATTACHMENT “G”**

**SAMPLE**

**PROFESSIONAL SERVICES AGREEMENT**

**BETWEEN**

**THE CITY OF NEW ORLEANS**

**AND**

**NAME OF CONTRACTOR**

**RFQ/RFP NUMBER**

**TITLE OF RFQ/RFP**

**THIS PROFESSIONAL SERVICES AGREEMENT** (the “**Agreement**”) is entered into by and between the City of New Orleans, represented by Mitchell J. Landrieu, Mayor (the “**City**”), and **NAME OF CONTRACTOR**, represented by **NAME AND TITLE OF INDIVIDUAL INDICATED IN PROOF OF SIGNING AUTHORITY** (the “**Contractor**”). The City and the Contractor may sometimes be collectively referred to as the “**Parties**.” The Agreement is effective as of the date of execution by the City (the “**Effective Date**”).

**RECITALS**

*[Choose following “whereas” clauses if the City is hiring the selected vendor as a result of an RFQ and a subsequent RFP]*

**WHEREAS**, on **DATE OF RFQ**, the City issued a request for proposals **RFQ NUMBER** seeking qualified persons to provide professional services including **SHORT DESCRIPTION OF SERVICES** (the “**RFQ**”);

**WHEREAS**, the Contractor submitted a proposal dated **DATE OF PROPOSAL**, and the City has selected the Contractor to perform the professional services described in the RFQ.

**WHEREAS**, on **DATE OF RFP**, the City issued a request for proposals **RFP NUMBER** to qualified contractors under the RFQ to provide professional services including **SHORT DESCRIPTION OF SERVICES** (the “**RFP**”); and

**WHEREAS**, the Contractor submitted a proposal dated **DATE OF PROPOSAL**, and the City has selected the Contractor to perform the professional services described in the RFP.

*[Choose following “whereas” clauses if the City is hiring the selected vendor as a result of an RFP]*

**WHEREAS**, on **DATE OF RFP**, the City issued a request for proposals **RFP NUMBER** seeking qualified persons to provide professional services including **SHORT DESCRIPTION OF SERVICES** (the “**RFP**”); and

**WHEREAS**, the Contractor submitted a proposal dated **DATE OF PROPOSAL**, and the City has selected the Contractor to perform the professional services described in the RFP.

NOW THEREFORE, the City and the Contractor agree as follows:

**ARTICLE I - THE CONTRACTOR'S OBLIGATIONS**

**A. Services.** The Contractor will, in accordance with the schedule approved by the City:

**1. INSERT SCOPE OF SERVICES, TASKS, DELIVERABLES, ELSE IN ACCORDANCE WITH EITHER THE RFQ/RFP OR CONTRACTOR'S PROPOSAL;**

2. Perform all other services and obligations as set forth in any the following documents that are incorporated fully into this Agreement: the RFQ AND/OR RFP; the Contractor's proposal dated **DATE OF PROPOSAL**.

3. Submit complete and accurate invoices, maintain records, submit to audits and inspections, maintain insurance, and perform all other obligations of the Contractor as set forth in this Agreement;

4. Promptly correct any errors or omissions and any work deemed unsatisfactory or unacceptable by the City, at no additional compensation;

5. Monitor, supervise, and otherwise control and be solely responsible for all persons performing work on its behalf;

6. Perform all requirements set forth in La. R.S. 38:2192, including without limitation the payment of any associated costs, and submit a copy of any recorded documents to the City within 30 days after the approval of the associated plan change or amendment; and

7. Cooperate with the City and any person performing work for the City.

The City's officers and employees are not authorized to request or instruct the Contractor to perform any work beyond the scope or duration of this Agreement in the absence of an executed amendment to this Agreement.

**B. Standards.** The Contractor, and any person performing work on its behalf, will perform all work under this Agreement in accordance with **IDENTITY ANY PROFESSIONAL OR OTHER STANDARDS YOU ARE AWARE OF AND THAT ARE SPECIFICALLY APPLICABLE TO THESE SERVICES.**

**C. Compliance with Laws.** The Contractor, and any person performing work on its behalf, will comply with all applicable federal, state, and local laws and ordinances, including, without limitation, **IDENTIFY ANY LEGAL REQUIREMENTS THAT YOU ARE AWARE OF AND THAT ARE SPECIFICALLY APPLICABLE TO THESE SERVICES.**

**D. Schedule.**

1. The Contractor will perform all work under this Agreement according to the following schedule:

**INSERT APPLICABLE SCHEDULE**

The Contractor will submit a proposed progress schedule to the City within 14 calendar days of receiving written authorization to proceed from the City. At a minimum, the proposed progress schedule must include the following information and be arranged so the actual progress can be shown as work is completed: **INSERT ANY APPLICABLE SCHEDULE REQUIREMENTS.**

2. The City has the sole right to approve, reject, or require changes to all schedules relating to the performance of this Agreement, including, without limitation, any proposed progress schedule and any requests for modifications.

3. The Contractor acknowledges and agrees that time is of the essence in the performance of this Agreement.

**Invoices.**

4. The Contractor will submit **INSERT CHOICE BETWEEN MONTHLY – QUARTERLY – OR OTHER** invoices for work performed under this Agreement to the City no later than 10 calendar days following the end of the period covered by the invoice. Untimely invoices may result in delayed payment for which the City is not liable. At a minimum, each invoice must include the following information and supporting documentation: **LIST INFORMATION AND DOCUMENTS REQUIRED TO BE SUBMITTED WITH INVOICE.**

5. All invoices must be signed by an authorized representative of the Contractor under penalty of perjury attesting to the validity and accuracy of the invoice.

6. The City may require changes to the form of the invoice and may require additional supporting documentation to be submitted with invoices.

**E. Records and Reporting.**

1. The Contractor will maintain all books, documents, papers, accounting records, invoices, materials records, payrolls, work papers, personnel records, and other evidence pertaining to the performance of services under this Agreement, including, without limitation, of costs incurred through the later of XXX years from: (a) the completion of this Agreement (including any renewal or extension periods); or (b) from the resolution of any dispute relating to the Agreement. If this Agreement is terminated for any reason, the Contractor will deliver to the City all plans and records of work compiled through the date of termination.

2. The Contractor will identify any reporting requirements, including the frequency, method and contents.

3. The Contractor is solely responsible for the relevance and accuracy of all items and details included in any reports relating to the work performed under this Agreement, regardless of any review by the City.

**F. Audit and Inspection.**

1. The Contractor will submit to any City audit, inspection, and review and, at the City's request, will make available all documents relating or pertaining to this Agreement maintained by or under the control of the Contractor, its employees, agents, assigns, successors and subcontractors, during normal business hours at the Contractor's office or place of business in Louisiana. If no such location is available, the Contractor will make the documents available at a time and location that is convenient for the City.

2. The Contractor will abide by all provisions of City Code § 2-1120, including but not limited to City Code § 2-1120(12), which requires the Contractor to provide the Office of Inspector General with documents and information as requested ***[If this agreement is with a law firm or lawyer, add the following: “, subject to attorney-client privilege.”]***. Failure to comply with such requests shall constitute a material breach of the contract. The Contractor agrees that it is subject to the jurisdiction of the Orleans Parish Civil District Court for purposes of challenging a subpoena.

**G. Insurance.**

1. Except as otherwise noted, at all times during this Agreement or the performance of work required by this Agreement, the Contractor will maintain the following insurance in full force and effect for the duration of the work under this Agreement:

**INSERT ANY APPLICABLE INSURANCE REQUIREMENTS APPROVED  
BY THE CITY'S RISK MANAGER**

**a. Minimum Requirements:**

- i.** Commercial General Liability ("CGL");
- ii.** Worker's Compensation;
- iii.** Professional Liability (Errors and Omissions);

**b. Other Insurance Provisions.** The insurance policies are to contain, or be endorsed to contain, the following provisions:

- i.** Additional Insured Status.
- ii.** Primary Coverage.
- iii.** Claims Made Policies.
- iv.** Waiver of Subrogation.
- v.** Notice of Cancellation.
- vi.** Acceptability of Insurers.

2. The Contractor will provide the City's Risk Manager (at City of New Orleans Attn: Risk Manager, 1300 Perdido Street, Suite 9E06, New Orleans, LA 70112 – Ref.: RFP or RFQ No. xxxxxx) within 10 calendar days of the Effective Date and at any other time at the City's request the following documents:

- a. Proof of coverage for each policy of insurance required by this Agreement;
- b. Copy of the fully executed Agreement;
- c. Copies of all policies of insurance, including all policies, forms, and endorsements; and
- d. Statements disclosing any policy aggregate limit.

3. Without notice from the City, the Contractor will:

- a. Replenish any policy aggregate limit that is impaired before commencement of any work or continuation of any work under this Agreement;
- b. Substitute insurance coverage acceptable to the City within 30 calendar days if any insurance company providing any insurance with respect to this Agreement is declared bankrupt, becomes insolvent, loses the right to do business in Louisiana, or ceases to meet the requirements of this Agreement; and
- c. Notify the City's Risk Manager in writing within 48 hours of its receipt of any notice of non-renewal, cancellation, or reduction in coverage or limits affecting any policy of insurance maintained under this Agreement.

**H. Indemnity.**

1. To the fullest extent permitted by law, the Contractor will indemnify, defend, and hold harmless the City, its agents, employees, officials, insurers, self-insurance funds, and assigns (collectively, the "**Indemnified Parties**") from and against any and all claims, demands, suits, and judgments of sums of money accruing against the Indemnified Parties: for loss of life or injury or damage to persons or property arising from or relating to any act or omission or the operation of the Contractor, its agents, subcontractors, or employees while engaged in or in connection with the

discharge or performance of any work under this Agreement; and for any and all claims and/or liens for labor, services, or materials furnished to the Contractor in connection with the performance of work under this Agreement.

2. Limitation. The Contractor's indemnity does not extend to any loss arising from the gross negligence or willful misconduct of any of the Indemnified Parties, provided that neither the Contractor nor any of its agents, subcontractors, or employees contributed to such gross negligence or willful misconduct.

3. Independent Duty. The Contractor has an immediate and independent obligation to, at the City's option: (a) defend the City from or (b) reimburse the City for its costs incurred in the defense of any claim that actually or potentially falls within this indemnity, even if: (a) the allegations are or may be groundless, false, or fraudulent; or (b) the Contractor is ultimately absolved from liability.

4. Expenses. Notwithstanding any provision to the contrary, the Contractor shall bear the expenses including, but not limited to, the City's reasonable attorney fees and expenses, incurred by the City in enforcing this indemnity.

## **ARTICLE II - REPRESENTATIONS AND WARRANTIES**

**A.** The Contractor represents and warrants to the City that:

1. The Contractor, through its duly authorized representative, has the full power and authority to enter into and execute this Agreement;

2. The Contractor has the requisite expertise, qualifications, staff, materials, equipment, licenses, permits, consents, registrations, and certifications in place and available for the performance of all work required under this Agreement;

3. The Contractor is bonded, if required by law, and fully and adequately insured for any injury or loss to its employees and any other person resulting from the actions or omissions of the Contractor, its employees, or its subcontractors in the performance of this Agreement;

4. The Contractor is not under any obligation to any other person that is inconsistent or in conflict with this Agreement or that could prevent, limit, or impair the Contractor's performance of this Agreement;

5. The Contractor has no knowledge of any facts that could prevent, limit, or impair the performance of this Agreement, except as otherwise disclosed to the City and incorporated into this Agreement;

6. The Contractor is not in breach of any federal, state, or local statute or regulation applicable to the Contractor or its operations;

7. Any rate of compensation established for the performance of services under this Agreement are no higher than those charged to the Contractor's most favored customer for the same or substantially similar services;

8. The Contractor has read and fully understands this Agreement and is executing this Agreement willingly and voluntarily; and

9. All of the representations and warranties in this Article and elsewhere in this Agreement are true and correct as of the date of this Agreement by the Contractor and the execution of this Agreement by the Contractor's representative constitutes a sworn statement, under penalty of perjury, by the Contractor as to the truth of the foregoing representations and warranties.

**B. Convicted Felon Statement.** The Contractor complies with City Code § 2-8(c) and no principal, member, or officer of the Contractor has, within the preceding 5 years, been convicted of, or

pled guilty to, a felony under state or federal statutes for embezzlement, theft of public funds, bribery, or falsification or destruction of public records.

**C. Non-Solicitation Statement.** The Contractor has not employed or retained any company or person, other than a bona fide employee working solely for it, to solicit or secure this Agreement. The Contractor has not paid or agreed to pay any person, other than a bona fide employee working for it, any fee, commission, percentage, gift, or any other consideration contingent upon or resulting from this Agreement.

*[If this agreement is with a law firm or lawyer, add the following:]*

**D. Conflict Of Interest.** The Contractor expressly acknowledges that this Agreement is for the performance of professional legal services on behalf of the Client, the City. Therefore, Contractor further acknowledges that it is bound by the Louisiana Rules of Professional Conduct. Contractor represents that it has performed a conflicts check and affirms that no actual, perceived or potential conflicts exist. Contractor acknowledges that it has an ongoing obligation to identify potential conflicts and to decline representation which presents a conflict. Any request for a conflict waiver must be presented to the City Attorney in writing in accordance with the Louisiana Rules of Professional Conduct. Nevertheless, the City Attorney is under no obligation to approve conflict waiver requests.

**E. Employee Verification.** The Contractor swears that (i) it is registered and participates in a status verification system to verify that all employees in the State of Louisiana are legal citizens of the United States or are legal aliens; (ii) it shall continue, during the term of this Agreement, to utilize a status verification system to verify the legal status of all new employees in the State of Louisiana; and (iii) it shall require all subcontractors to submit to the Contractor a sworn affidavit verifying compliance with items (i) and (ii) above. Any violation of the provisions of this paragraph may subject this Agreement to termination, and may further result in the Contractor being ineligible for any public contract for a period of 3 years from the date the violation is discovered. The Contractor further acknowledges and agrees that it shall be liable for any additional costs incurred by the City occasioned by the termination of this Agreement or the loss of any license or permit to do business in the State of Louisiana resulting from a violation of this provision. The Contractor will provide to the City a sworn affidavit attesting to the above provisions if requested by the City. The City may terminate this Agreement for cause if the Contractor fails to provide such the requested affidavit or violates any provision of this paragraph.

*[If scope of work involves public works/construction, substituting the prior language by the following:]*

**Employee Verification.** The Contractor swears that (i) it is in compliance with La. R.S. 38:2212.10, and is registered and participates in a status verification system to verify that all employees in the State of Louisiana are legal citizens of the United States or are legal aliens; (ii) it shall continue, during the term of this Agreement, to utilize a status verification system to verify the legal status of all new employees in the State of Louisiana; and (iii) it shall require all subcontractors to submit to the Contractor a sworn affidavit verifying compliance with items (i) and (ii) above. Any violation of the provisions of this paragraph may subject this Agreement to termination, and may further result in the Contractor being ineligible for any public contract for a period of 3 years from the date the violation is discovered. The Contractor further acknowledges and agrees that it shall be liable for any additional costs incurred by the City occasioned by the termination of this Agreement or the loss of any license or permit to do business in the State of Louisiana resulting from a violation of La. R.S. 38:2212.10. The Contractor will provide to the City a sworn affidavit attesting to the above provisions if requested by

the City. The City may terminate this Agreement for cause if the Contractor fails to provide such the requested affidavit or violates any provision of this paragraph.

**F.** The Contractor acknowledges that the City is relying on these representations and warranties and Contractor's expertise, skill, and knowledge and that the Contractor's obligations and liabilities will not be diminished by reason of any approval by the City.

### **ARTICLE III - THE CITY'S OBLIGATIONS**

**A. Administration.** The City will:

1. Administer this Agreement through the **NAME OF THE CITY DEPARTMENT RESPONSIBLE FOR MONITORING THIS AGREEMENT**;

2. Provide the Contractor **IDENTIFY ANY SPECIFIC DOCUMENTS TO BE PROVIDED** and other documents deemed necessary for the Contractor's performance of any work required under this Agreement;

3. Provide access to Department personnel to discuss the required services during normal working hours, as requested by the Contractor; and

**4. INSERT ANY ADDITIONAL OBLIGATIONS FOR THE CITY.**

**B. Payment.** The City will make payments to the Contractor at the rate of compensation established in this Agreement based upon the Contractor's certified invoices, except:

1. The City's obligation to pay is contingent upon the Contractor's: (a) submission of a complete and accurate invoice; (b) satisfactory performance of the services and conditions required by this Agreement;

2. The City, in its discretion, may withhold payment of any disputed amounts, and no interest shall accrue on any amount withheld pending the resolution of the dispute;

3. The City may set off any amounts due to the Contractor against any amounts deemed by the City to be owed to the City by the Contractor pursuant this Agreement; and

4. All compensation owed to the Contractor under this Agreement is contingent upon the appropriation and allocation of funds for work under this Agreement by the City.

5. The City is not obligated under any circumstances to pay for any work performed or costs incurred by the Contractor that: exceed the maximum aggregate amount payable established by this Agreement; are beyond the scope or duration of this Agreement; arise from or relate to the any change order within the scope of the Agreement; are for services performed on days on which services were suspended, due to circumstances beyond the control of the City, and no work has taken place; arise from or relate to the correction of errors or omissions of the Contractor or its subcontractors; or the City is not expressly obligated to pay under this Agreement.

6. If this Agreement is terminated for any reason, the City will pay the Contractor only for the work requested by the City and satisfactorily performed by the Contractor through the date of termination, except as otherwise provided in this Agreement.

### **ARTICLE IV - COMPENSATION**

**A. Rate of Compensation.**

1. The City will pay the Contractor in accordance with the following rate: **INSERT RATE OF COMPENSATION.**

2. This Agreement does not guarantee any amount of work or compensation except as specifically authorized by the City in accordance with the terms and conditions of this Agreement.

3. The stated compensation is inclusive, and includes no additional amounts for, the Contractor's costs, including without limitation all expenses relating to overhead, administration, subcontractors, employees, bid preparation, bonds, scheduling, invoicing, insurance, record retention, reporting, inspections, audits, the correction of errors and omissions, or minor changes within the scope of this Agreement. The City will not consider or be obligated to pay or reimburse the Contractor any other charges or fees and the Contractor will not be entitled to any additional compensation or reimbursement, except otherwise specifically provided in the Agreement.

4. The Contractor immediately will notify the City in writing of any reduction to the rate of compensation for its most favored customer and the rate of compensation established by this Agreement automatically will adjust to the reduced rate effective as of the effective date of the reduction for the most favored customer.

**B. Maximum Amount.** The maximum aggregate amount payable by the City under this Agreement is \$INSERT NUMERICAL MAXIMUM DOLLAR AMOUNT.

#### **ARTICLE V - DURATION AND TERMINATION**

**A. Initial Term.** The term of this agreement shall be for 1 year, beginning the Effective Date, provided there is an encumbrance of funds by the requesting department made from the funds allotted by the Chief Administrative Officer, which are derived from appropriations made by the City Council. This Agreement shall automatically terminate with respect to any period of time for which funds are not so encumbered.

**B. Extension.** This Agreement may be extended at the option of the City, provided that funds are allocated by the City Council and the extension of the Agreement facilitates the continuity of services provided herein. This Agreement may be extended by the City for 4 additional one-year terms.

**C. Termination for Convenience.** The City may terminate this Agreement at any time during the term of the Agreement by giving the Contractor written notice of the termination at least 30 calendar days before the intended date of termination.

**D. Termination for Non-Appropriation.** This Agreement will terminate immediately in the event of non-appropriation of funds sufficient to maintain this Agreement without the requirement of notice and the City will not be liable for any amounts beyond the funds appropriated and encumbered for this Agreement.

**E. Termination for Cause.** The City may terminate this Agreement immediately for cause by sending written notice to the Contractor. "Cause" includes without limitation any failure to perform any obligation or abide by any condition of this Agreement or the failure of any representation or warranty in this Agreement, including without limitation any failure to comply with the requirements of the City's Disadvantaged Business Enterprise program and any failure to comply with any provision of City Code § 2-1120 or requests of the Office of Inspector General. If a termination for cause is subsequently challenged in a court of law and the challenging party prevails, the termination will be deemed to be a termination for convenience effective 30 days from the date of the original written notice of termination for cause was sent to the challenging party; no further notice will be required.

**F. Suspension.** The City may suspend this Agreement at any time and for any reason by giving 2 business day's written notice to the Contractor. The Contractor will resume work upon 5 business day's written notice from the City.

#### **ARTICLE VI – DECLARED DISASTER**

**E. Declaration.** During the declaration of an emergency by federal, state, and/or local government, the Contractor shall provide support to the City on an as-needed and task-order-driven basis. Because of the uncertainty of the scale and/or type of emergency, the services to be provided by the Contractor will vary and may need to be adjusted as needs are identified. The Contractor may be requested to provide a range of services. Said services may need to be rendered on a continual basis (24 hours / 7 days per week) during the declaration of an emergency.

**F. Task Order. Notification and Personnel.** Prior or during the declaration of an emergency, the City will notify the Contractor via task order if the City requires the Contractor's support. Upon activation by task order, the Contractor will provide the City with contact information of personnel assigned to the task order; and coordinate with the City to identify any personnel available to meet the City's needs.

**G. Purchase Order.** Once services are identified, the City will issue a purchase order to the Contractor. The City will issue a subsequent purchase order in case of additional needs for services, or may issue a modified purchase order if changes are made to the initial purchase order.

**H.** The Contractor will ensure that the City is provided with timely and accurate reports and other documentation, as requested.

## **ARTICLE VII - PERFORMANCE MEASURES**

**A. Factors.** The City will measure the performance of the Contractor according to the following non-exhaustive factors: work performed in compliance with the terms of the Agreement; staff availability; staff training; staff professionalism; staff experience; customer service; communication and accessibility; prompt and effective correction of situations and conditions; timeliness and completeness of submission of requested documentation (such as records, receipts, invoices, insurance certificates, and computer-generated reports).

**B. Failure to Perform.** If the Contractor fails to perform according to the Agreement, the City will notify the Contractor. If there is a continued lack of performance after notification, the City may declare the Contractor in default and may pursue any appropriate remedies available under the Agreement and/or any applicable law. In the event of a notification of default, the City will invoice the defaulting contractor for any increase in costs and other damages sustained by the City. Further, the City will seek full recovery from the defaulting contractor.

## **ARTICLE VIII – LIVING WAGES**

To the fullest extent permitted by law, the Contractor agrees to abide by City Code sections 70-801, *et seq.*, which requires payment of a wage to covered employees equal to the amounts defined in the Code ("**Living Wage**"). If the Contractor fails to comply with the requirements of the Living Wage during the term of the Agreement, said failure may result in termination of the Agreement or the pursuit of other remedies by the City.

## **ARTICLE IX - DISADVANTAGED BUSINESS ENTERPRISE ("DBE") PROGRAM**

**F. In General.** The Contractor agrees to abide by the City Code sections 70-496, *et seq.*, to use its best efforts to carry out all applicable requirements of the City's DBE Program for the administration of this Agreement, as set forth in the City Code and any applicable rules adopted thereunder. The City's Office of Supplier Diversity ("**OSD**") oversees the DBE Program and assigns a DBE Compliance Officer ("**DBECO**") to ensure compliance.

**G. Monitoring.** To ensure compliance with DBE requirements during the term of this Agreement, the DBECO will monitor the Contractor's use of DBE subcontractors/suppliers ("**DBE Entities**") through the following actions:

7. Job site visits;
8. Electronic payment tracking via the Contract Compliance Monitoring System or other means as approved by the OSD;
9. Routine audits of contract payments to all subcontractors;
10. Reviewing of records and reports; and/or
11. Interviews of selected personnel.

The DBECO may schedule inspections and on-site visits with or without prior notice to the Contractor or DBE Entities.

**H. Cooperation.** The Contractor shall:

- 11.** Designate an individual as the “DBE Liaison” who will monitor the Contractor’s DBE participation as well as document and maintain records of “Good Faith Efforts” with DBE Entities.
- 12.** Execute written contracts with DBE Entities that meet the applicable DBE goals.
  - e.** The Contractor shall provide the DBECO with copies of said contracts within 30 days from the date this Agreement is fully executed between the City and the Contractor.
  - f.** The Contractor shall agree to promptly pay subcontractors, including DBE Entities, in accordance with law.
- 13.** Establish and maintain the following records for review upon request by the OSD:
  - i.** Copies of written contracts with DBE Entities and purchase orders;
  - j.** Documentation of payments and other transactions with DBE Entities;
  - k.** Appropriate explanations of any changes or replacements of DBE Entities, which may include a record of “Post-Award Good Faith Efforts” for each certified firm that the Contractor does not use in accordance with the approved DBE participation submission;
  - l.** Any other records required by the OSD.

The Contractor is required to maintain such records for 3 years after completion or closeout of this Agreement. Such records are necessary to determine compliance with their DBE obligations.

- 14.** Post monthly payments and submit regular reports to the DBECO as required via the online “Contract Compliance Monitoring System” or other means approved by the OSD.
  - i.** The Contractor shall submit the initial report outlining DBE participation within 30 days from the date of notice to proceed (or equivalent document) issued by the City to the Contractor. Thereafter, “DBE Utilization” reports shall be due on or before the fifteenth day of each month until all DBE subcontracting work is completed.
  - j.** Reports are required even when no activity has occurred in a monthly period.
  - k.** If the established percentage is not being met, the monthly report shall include a narrative description of the progress being made in DBE participation.

- i. The Contractor may also be required to attach or upload copies of canceled checks or bank statements that identify payer, payee and amount of transfer to verify payment information as indicated on the form.

15. Conform to the established percentage as approved by the OSD.

- g. The total dollar amount of the Agreement shall include approved change orders and amendments. For a requirements contract, the total dollar amount shall be based in actual quantities ordered.
- h. No changes to the established percentage and DBE Entities submitted on DBE Compliance Form-1 shall be allowed without approval by the OSD.
- i. The City will not adjust the contract for any increase in cost due to replacement of DBE Entities.

I. **Post-Award Modification.** The OSD may grant a post-award modification request if:

- e. for a reason beyond the Contractor's control, the Contractor is unable to use the certified DBE entity submitted on DBE Compliance Form-1 to perform the specified work. The Contractor must notify the OSD of the intent for removal and substitution of a certified DBE immediately upon determination of that the DBE submitted on Compliance Form -1 is unable to perform the specified work. In such case, the Contractor shall use and document "Good Faith Efforts" to find a similarly qualified and certified DBE entity to perform such specified work. The same criteria used for establishing "Good Faith Efforts" in maximizing the participation of DBE Entities prior to awarding the Agreement will also apply to the substitution of DBE subcontractors during the performance of the Agreement; or
- f. the Contractor reasonably believes that, due to a change of scope, execution of the work in accordance with the directions from the City is unlikely to meet the established percentage or terms. In such case, the Contractor shall use and document "Good Faith Efforts" to achieve a reasonable amount of DBE participation on the remaining work on the Agreement.

## **ARTICLE X - NON-DISCRIMINATION**

A. **Equal Employment Opportunity.** In all hiring or employment made possible by, or resulting from this Agreement, the Contractor (1) will not be discriminate against any employee or applicant for employment because of race, color, religion, gender, age, physical or mental disability, national origin, sexual orientation, creed, culture, or ancestry, and (2) where applicable, will take affirmative action to ensure that the Contractor's employees are treated during employment without regard to their race, color, religion, gender, age, physical or mental disability, national origin, sexual orientation, creed, culture, or ancestry. This requirement shall apply to, but not be limited to the following: employment, upgrading, demotion or transfer, recruitment or recruitment advertising, layoff or termination, rates of pay or other forms of compensation, and selection for training, including apprenticeship. All solicitations or advertisements for employees shall state that all qualified applicants will receive consideration for employment without regard to race, color, religion, gender, age, physical or mental disability, national origin, sexual orientation, creed, culture, or ancestry.

B. **Non-Discrimination.** In the performance of this Agreement, the Contractor will not discriminate on the basis, whether in fact or perception, of a person's race, color, creed, religion, national origin, ancestry, age, sex (gender), sexual orientation, gender identity, domestic partner status, marital status, physical or mental disability, or AIDS- or HIV-status against (1) any employee of the City

working with the Contractor in any of Contractor's operations within Orleans Parish or (2) any person seeking accommodations, advantages, facilities, privileges, services, or membership in all business, social, or other establishments or organizations operated by the Contractor. The Contractor agrees to comply with and abide by all applicable federal, state and local laws relating to non-discrimination, including, without limitation, Title VI of the Civil Rights Act of 1964, Section V of the Rehabilitation Act of 1973, and the Americans with Disabilities Act of 1990.

**C. Incorporation into Subcontracts.** The Contractor will incorporate the terms and conditions of this Article into all subcontracts, by reference or otherwise, and will require all subcontractors to comply with those provisions.

**D.** The City may terminate this Agreement for cause if the Contractor fails to comply with any obligation in this Article, which failure is a material breach of this Agreement.

#### **ARTICLE XI - INDEPENDENT CONTRACTOR**

**A. Independent Contractor Status.** The Contractor is an independent contractor and shall not be deemed an employee, servant, agent, partner, or joint venture of the City and will not hold itself or any of its employees, subcontractors or agents to be an employee, partner, or agent of the City.

**B. Exclusion of Worker's Compensation Coverage.** The City will not be liable to the Contractor, as an independent contractor as defined in La. R.S. 23:1021(6), for any benefits or coverage as provided by the Workmen's Compensation Law of the State of Louisiana. Under the provisions of La. R.S. 23:1034, any person employed by the Contractor will not be considered an employee of the City for the purpose of Worker's Compensation coverage.

**C. Exclusion of Unemployment Compensation Coverage.** The Contractor, as an independent contractor, is being hired by the City under this Agreement for hire and defined in La. R.S. 23:1472(E) and neither the Contractor nor anyone employed by it will be considered an employee of the City for the purpose of unemployment compensation coverage, which coverage same being hereby expressly waived and excluded by the parties, because: (a) the Contractor has been and will be free from any control or direction by the City over the performance of the services covered by this contract; (b) the services to be performed by the Contractor are outside the normal course and scope of the City's usual business; and (c) the Contractor has been independently engaged in performing the services required under this Agreement prior to the date of this Agreement.

**D. Waiver of Benefits.** The Contractor, as an independent contractor, will not receive from the City any sick and annual leave benefits, medical insurance, life insurance, paid vacations, paid holidays, sick leave, pension, or Social Security for any services rendered to the City under this Agreement.

#### **ARTICLE XII - NOTICE**

**A. In General.** Except for any routine communication, any notice, demand, communication, or request required or permitted under this Agreement will be given in writing and delivered in person or by certified mail, return receipt requested as follows:

1. To the City:

**NAME AND ADDRESS OF THE CITY DEPARTMENT RESPONSIBLE FOR  
MONITORING THIS AGREEMENT**

&

City Attorney  
City of New Orleans  
1300 Perdido Street, Suite 5E03  
New Orleans, LA 70112

2. To the Contractor:

**NAME AND ADDRESS OF POINT OF CONTACT FOR CONTRACTOR TO RECEIVE NOTICES**

**B. Effectiveness.** Notices are effective when received, except any notice that is not received due to the intended recipient's refusal or avoidance of delivery is deemed received as of the date of the first attempted delivery.

**C. Notification of Change.** Each party is responsible for notifying the other in writing that references this Agreement of any changes in its address(es) set forth above.

**ARTICLE XIII - ADDITIONAL PROVISIONS**

**A. Amendment.** No amendment of or modification to this Agreement shall be valid unless and until executed in writing by the duly authorized representatives of both parties to this Agreement.

**B. Assignment.** This Agreement and any part of the Contractor's interest in it are not assignable or transferable without the City's prior written consent.

**C. Choice of Law.** This Agreement will be construed and enforced in accordance with the laws of the State of Louisiana without regard to its conflict of laws provisions.

**D. Conflicting Employment.** To ensure that the Contractor's efforts do not conflict with the City's interests, and in recognition of the Contractor's obligations to the City, the Contractor will decline any offer of other employment if its performance of this Agreement is likely to be adversely affected by the acceptance of the other employment. The Contractor will promptly notify the City in writing of its intention to accept the other employment and will disclose all possible effects of the other employment on the Contractor's performance of this Agreement. The City will make the final determination whether the Contractor may accept the other employment.

**E. Construction of Agreement.** Neither party will be deemed to have drafted this Agreement. This Agreement has been reviewed by all parties and shall be construed and interpreted according to the ordinary meaning of the words used so as to fairly accomplish the purposes and intentions of all parties. No term of this Agreement shall be construed or resolved in favor of or against the City or the Contractor on the basis of which party drafted the uncertain or ambiguous language. The headings and captions of this Agreement are provided for convenience only and are not intended to have effect in the construction or interpretation of this Agreement. Where appropriate, the singular includes the plural and neutral words and words of any gender shall include the neutral and other gender.

**F. Entire Agreement.** This Agreement, including all incorporated documents, constitutes the final and complete agreement and understanding between the parties. All prior and contemporaneous agreements and understandings, whether oral or written, are superseded by this Agreement and are without effect to vary or alter any terms or conditions of this Agreement.

**G. Exhibits.** The following exhibits will be and are incorporated into this Agreement: *[List of all exhibits to incorporate in the Agreement.]*

**H. Jurisdiction.** The Contractor consents and yields to the jurisdiction of the State Civil Courts of the Parish of Orleans and formally waives any pleas or exceptions of jurisdiction on account of the residence of the Contractor.

**I. Limitations of the City's Obligations.** The City has no obligations not explicitly set forth in this Agreement or any incorporated documents or expressly imposed by law.

**J. No Third Party Beneficiaries.** This Agreement is entered into for the exclusive benefit of the parties and the parties expressly disclaim any intent to benefit anyone not a party to this Agreement.

**K. Non-Exclusivity.** This Agreement is non-exclusive and the Contractor may provide services to other clients, subject to the City's approval of any potential conflicts with the performance of this Agreement and the City may engage the services of others for the provision of some or all of the work to be performed under this Agreement.

**L. Non-Waiver.** The failure of either party to insist upon strict compliance with any provision of this Agreement, to enforce any right or to seek any remedy upon discovery of any default or breach of the other party at such time as the initial discovery of the existence of such noncompliance, right, default or breach shall not affect or constitute a waiver of either party's right to insist upon such compliance, exercise such right or seek such remedy with respect to that default or breach or any prior contemporaneous or subsequent default or breach.

**M. Order of Documents.** In the event of any conflict between the provisions of this Agreement any incorporated documents, the terms and conditions of the documents will apply in this order: the Agreement; *[List of all incorporated documents in descending order.]*

**N. Ownership Interest Disclosure.** The Contractor will provide a sworn affidavit listing all natural or artificial persons with an ownership interest in the Contractor and stating that no other person holds an ownership interest in the Contractor via a counter letter. For the purposes of this provision, an "ownership interest" shall not be deemed to include ownership of stock in a publicly traded corporation or ownership of an interest in a mutual fund or trust that holds an interest in a publicly traded corporation. If the Contractor fails to submit the required affidavits, the City may, after 30 days' written notice to the Contractor, take such action as may be necessary to cause the suspension of any further payments until such the required affidavits are submitted.

**O. Ownership of Records.** Upon final payment, all data collected and all products of work prepared, created or modified by Contractor in the performance of this Agreement, including without limitation any and all notes, tables, graphs, reports, files, computer programs, source code, documents, records, disks, original drawings or other such material, regardless of form and whether finished or unfinished, but excluding the Contractor's personnel and administrative records and any tools, systems, and information used by the Contractor to perform the services under this Agreement, including computer software (object code and source code), know-how, methodologies, equipment, and processes and any related intellectual property (collectively, "Work Product") will be the exclusive property of City and the City will have all right, title and interest in any Work Product, including without limitation the right to secure and maintain any copyright, trademark, or patent of Work Product in the City's name. No Work Product may be reproduced in any form without the City's express written consent. The City may use and distribute any Work Product for any purpose the City deems appropriate without the Contractor's consent and for no additional consideration to the Contractor.

**P. Prohibition of Financial Interest in Agreement.** No elected official or employee of the City shall have a financial interest, direct or indirect, in this Agreement. For purposes of this provision, a financial interest held by the spouse, child, or parent of any elected official or employee of the City shall be deemed to be a financial interest of such elected official or employee of the City. Any willful violation of this provision, with the expressed or implied knowledge of Contractor, shall render this Agreement voidable by the City and shall entitle the City to recover, in addition to any other rights and remedies available to the City, all monies paid by the City to Contractor pursuant to this Agreement without regard to Contractor's otherwise satisfactory performance of the Agreement.

**Q. Prohibition on Political Activity.** None of the funds, materials, property, or services provided directly or indirectly under the terms of this Agreement shall be used in the performance of this Agreement for any partisan political activity, or to further the election or defeat of any candidate for public office.

**R. Remedies Cumulative.** No remedy set forth in the Agreement or otherwise conferred upon or reserved to any party shall be considered exclusive of any other remedy available to a party. Rather, each remedy shall be deemed distinct, separate and cumulative and each may be exercised from time to time as often as the occasion may arise or as may be deemed expedient.

**S. Severability.** Should a court of competent jurisdiction find any provision of this Agreement to be unenforceable as written, the unenforceable provision should be reformed, if possible, so that it is enforceable to the maximum extent permitted by law or, if reformation is not possible, the unenforceable provision shall be fully severable and the remaining provisions of the Agreement remain in full force and effect and shall be construed and enforced as if the unenforceable provision was never a part the Agreement.

*[This provision or a similar one must be added if the agreement is paid for by federal funds (CDBG, FEMA, HUD, else):]*

**T. Special Conditions for XXXX Contracts.** The “XXXX Compliance Provisions for Professional Services Contracts,” attached as Exhibit “\_\_\_” to this Agreement, are expressly incorporated in the Agreement and will be effective, notwithstanding any provision of the Agreement or any incorporated documents, to the contrary, upon the City’s notice to the Contractor that the City intends to seek reimbursement from the XXXXX Program in connection with the work to be performed under this Agreement.

**U. Subcontractor Reporting.** The Contractor will provide a list of all natural or artificial persons who are retained by the Contractor at the time of the Agreement’s execution and who are expected to perform work as subcontractors in connection with the Contractor’s work for the City. For any subcontractor proposed to be retained by the Contractor to perform work on the Agreement with the City, the Contractor must provide notice to the City within 30 days of retaining that subcontractor. If the Contractor fails to submit the required lists and notices, the City may, after thirty 30 days’ written notice to the Contractor, take any action it deems necessary, including, without limitation, causing the suspension of any payments, until the required lists and notices are submitted.

**V. Survival of Certain Provisions.** All representations and warranties and all obligations concerning record retention, inspections, audits, ownership, indemnification, payment, remedies, jurisdiction, choice of law, and **IDENTIFY ANY OTHER PROVISIONS THAT SHOULD SURVIVE TERMINATION** shall survive the expiration, suspension, or termination of this Agreement and continue in full force and effect.

**W. Terms Binding.** The terms and conditions of this Agreement are binding on any heirs, successors, transferees, and assigns.

*[This is a new provision under which the City will now accept a digital copy of the signed agreement sent via email by the contractor/vendor/consultant instead of an original via regular mail.*

*However, acceptance by the City is conditioned upon 3 elements: (1) this provision must be inserted in the agreement, (2) the signature on the original must be in BLUE INK, and (3) the digital copy must be in color (no black and white digital copy).]*

#### **ARTICLE XV - ELECTRONIC SIGNATURE AND DELIVERY**

The Parties agree that a manually signed copy of this Agreement and any other document(s) attached to this Agreement delivered by email shall be deemed to have the same legal effect as delivery of an original signed copy of this Agreement. No legally binding obligation shall be created with respect to a party until such party has delivered or caused to be delivered a manually signed copy of this Agreement.

**[The remainder of this page is intentionally left blank]**

**[SIGNATURES CONTAINED ON NEXT PAGE]**

IN WITNESS WHEREOF, the City and the Contractor, through their duly authorized representatives, execute this Agreement.

**CITY OF NEW ORLEANS**

BY: \_\_\_\_\_  
MITCHELL J. LANDRIEU, MAYOR

Executed on this \_\_\_\_\_ of \_\_\_\_\_, 201\_\_

**FORM AND LEGALITY APPROVED:**  
**Law Department**

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

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

**NAME OF CONTRACTOR**

BY: \_\_\_\_\_  
**NAME AND TITLE OF INDIVIDUAL INDICATED IN PROOF OF SIGNING  
AUTHORITY**

\_\_\_\_\_  
**FEDERAL TAX I.D. OR SOCIAL SECURITY NO.** *[Do not insert this number in any drafts of the agreement. This information is confidential and should only be filled out by contractor/vendor/consultant when the individual signs the agreement. This information shall not be published]*

**City of New Orleans, Louisiana  
Request for Proposals  
Investment Consultant Services**

**October 4, 2016**

**Attachment “H”**

**MINIMUM QUALIFICATIONS QUESTIONNAIRE**

(Must be submitted with proposal)

**City of New Orleans Employees' Retirement System**  
**Request for Proposal for an Investment Consultant**

**MINIMUM QUALIFICATIONS QUESTIONNAIRE**

**Please respond to the below statements related to the minimum qualifications required to respond to this RFP. The responses to these statements should be answered as they relate to you and/or your firm.**

1. The investment consulting firm **and** the individual consultant(s) assigned to this relationship have a minimum of five (5) years of experience in providing qualified retirement plan investment consulting services.  
  
\_\_\_\_ YES    \_\_\_\_ NO
2. The firm has provided investment consulting services for a minimum of three (3) years to at least three (3) public employee retirement systems with at least one public employee retirement system with assets in excess of \$100 million. This is also true of the lead individual consultant(s) who would be assigned to this relationship.  
  
\_\_\_\_ YES    \_\_\_\_ NO
3. The investment consulting firm currently provides investment consultant services to clients whose combined fund assets total at least one (1) billion dollars.  
  
\_\_\_\_ YES    \_\_\_\_ NO
4. The investment consultant(s) acknowledges its responsibilities as a fiduciary.  
  
\_\_\_\_ YES    \_\_\_\_ NO
5. If you are affiliating or partnering with a national firm, or are a local office of a national firm, the minimum qualification requirements herein **will** be satisfied by the individual investment consultant(s) or entity submitting this proposal.  
  
\_\_\_\_ YES    \_\_\_\_ NO    \_\_\_\_ N/A