TEXAS DEPARTMENT OF TRANSPORTATION

PRE-RESPONSE CONFERENCE

TxDOT Outsourced Managed IT Services

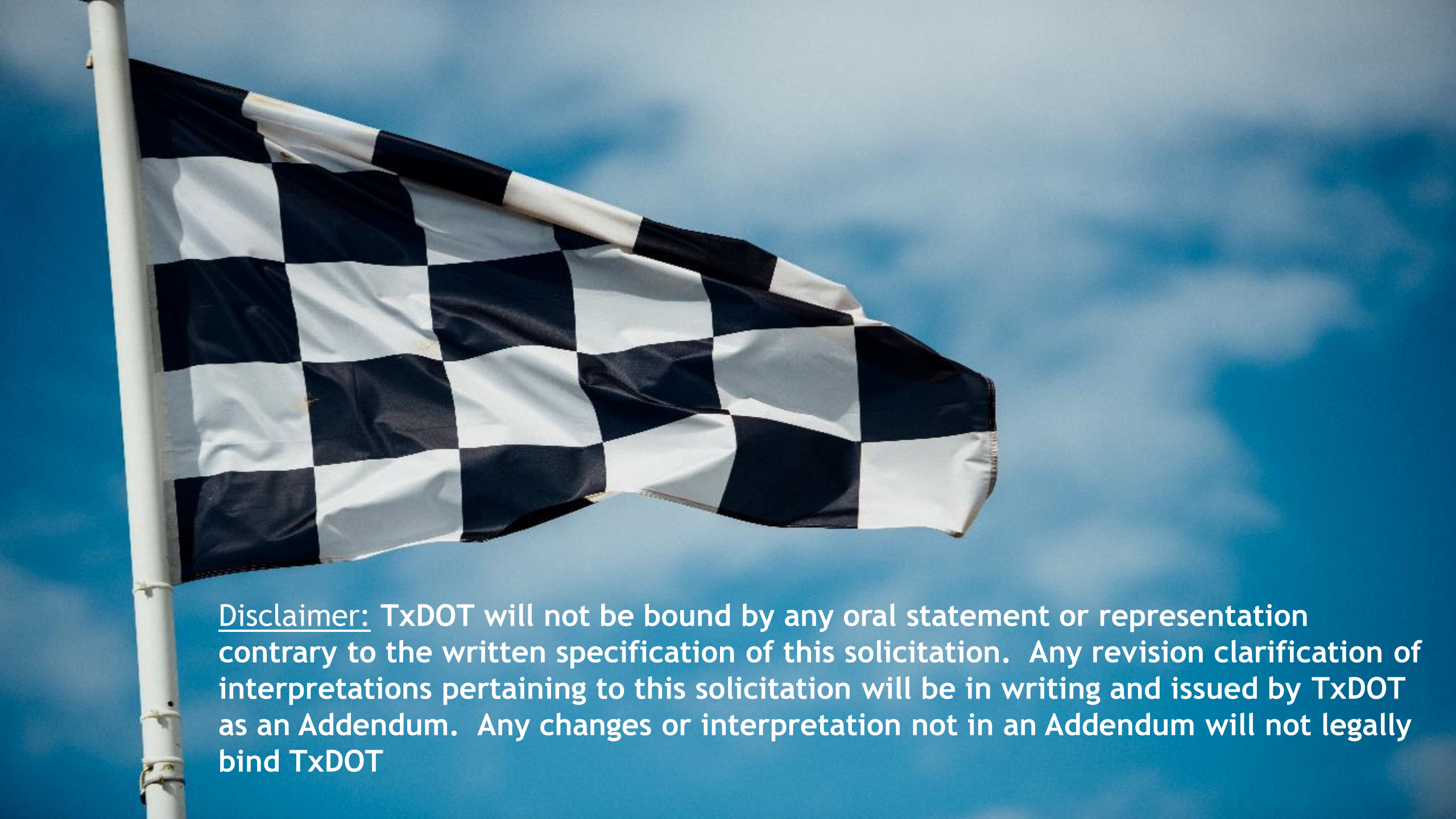
Solicitation #: 601440000017947

June 20, 2018

Note: Time expressed in Central Time (CT) zone

Agenda

1	Sign-in (60 mins)		08:00 AM - 09:00 AM
2	Housekeeping items (10 mins)	PRO	09:00 AM - 09:10 AM
3	Introduction, goals, and outsourcing approach (80 mins)	Dana G.| Darran A. | Dan T.	09:10 AM - 10:30 AM
4	RFP document - HUB Participation (60 mins)	CIV	10:30 AM - 11:30 AM
5	*Lunch (60 mins)*		11:30 AM - 12:30 PM
6	RFP document walk-through (60 mins)	PRO	12:30 PM - 01:30 PM
7	Schedule 1: Pricing Template (60 mins)	IMD	01:30 PM - 02:30 PM
8	Schedule 3: Key Response Information (15 mins)	IMD	02:30 PM - 02:45 PM
9	Q&A - Session 1 (30 mins)	PRO | IMD	02:45 PM - 03:15 PM
10	Q&A - Session 2 (45 mins)	All	03:15 PM - 04:00 PM



Disclaimer: TxDOT will not be bound by any oral statement or representation contrary to the written specification of this solicitation. Any revision clarification of interpretations pertaining to this solicitation will be in writing and issued by TxDOT as an Addendum. Any changes or interpretation not in an Addendum will not legally bind TxDOT

Before we proceed, a quick minute on safety…

Before we dive in, some rules of engagement ...

... technology

- We have a No Technology policy during for this session
- If you need to use your phone, please do so in the nearby cafeteria

... questions

- We have set up time to review your questions (both the ones submitted as well as any ones you may have today)
- For those in person: use notecards to ask and submit questions
- For those asking questions in WebEx: Use the Q&A functionality and direct all questions to Q&A Panelist, we will collate all of these and address
  - To gain an official answer to questions, the question must be submitted via email to Tami Elias

... muting

WebEx participants will be placed on mute to minimize feedback and other potential distractions

... all communications must go through Tami

- All communications must go through Tami Elias
- Communication with anyone other than the purchaser may result in disqualification of the response

Introduction, goals, and outsourcing approach

Some very important messages we hope you take away from today

- This is not a re-bid of the current outsourcing – **this solicitation includes additional scope and has ambitious transformation goals**
- TxDOT has made significant progress in stabilizing, standardizing and transforming its IT landscape in the last 5 years – **we are proud of what we have accomplished**
- **However, we have a lot more to do** - TxDOT aims to continue transformation of its IT environment, while achieving ambitious goals of driving productivity
- We are excited about the **opportunity to collaborate with competitive vendors** to achieve these ambitious goals

TxDOT values, vision, and mission

[Values]

People
People are the Department's most important customer, asset, and resource. The well-being, safety, and quality of life for Texans and the traveling public are of the utmost concern to the Department. We focus on relationship building, customer service, and partnerships

Accountability
We accept responsibility for our actions and promote open communication and transparency at all times

Trust
We strive to earn and maintain confidence through reliable and ethical decision-making

Honesty
We conduct ourselves with the highest degree of integrity, respect, and truthfulness

[Vision]

A forward-thinking leader delivering mobility, enabling economic opportunity, and enhancing quality of life for all Texans

[Mission]

Through collaboration and leadership, we deliver a safe, reliable, and integrated transportation system that enables the movement of people and goods

Overview of TxDOT

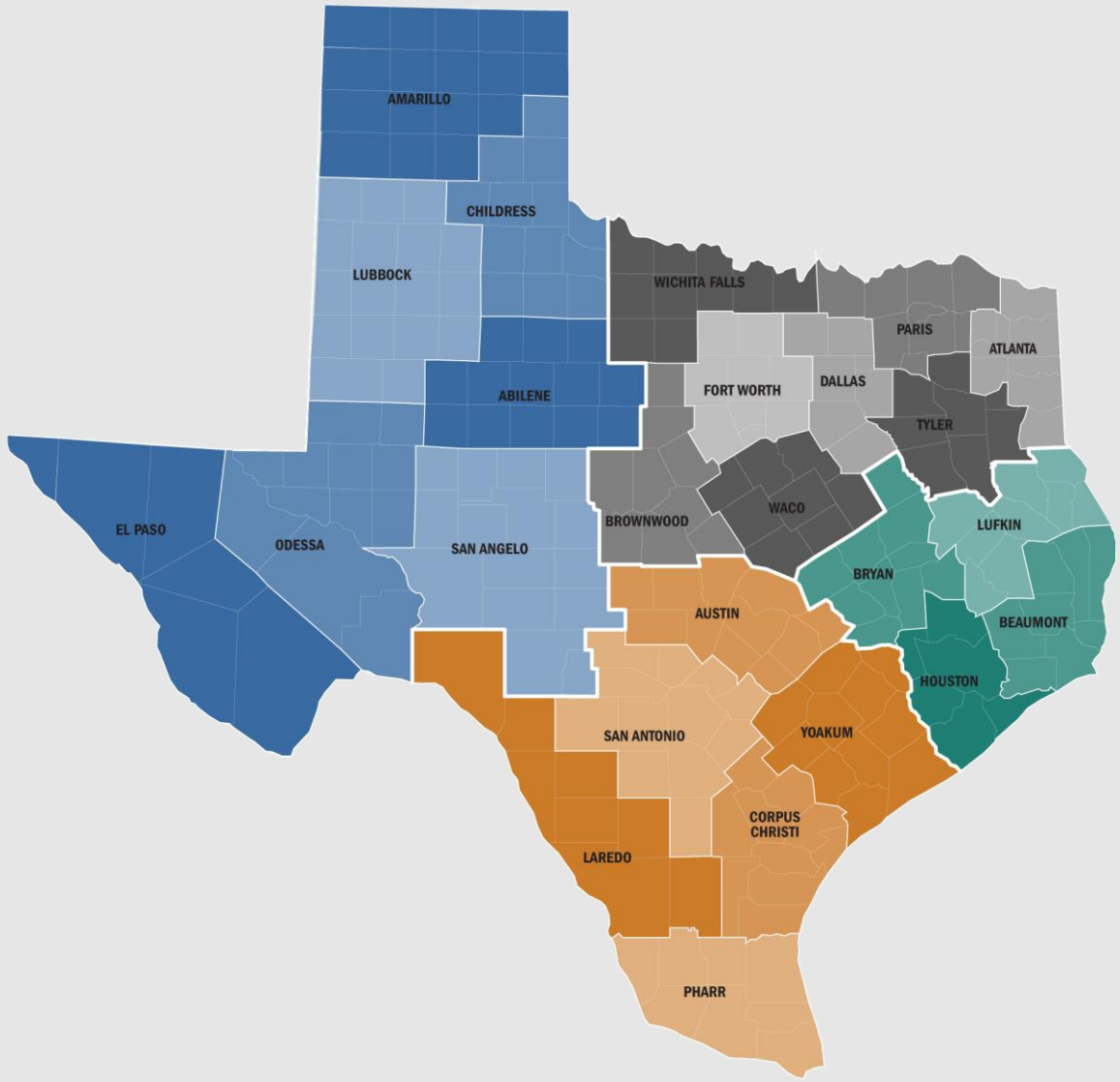
Overview on the Texas Department of Transportation (TxDOT)

TxDOT is the agency for the state of Texas responsible for construction and maintenance of the state's highway system, as well as oversight of aviation, rail, and public transportation systems in the state

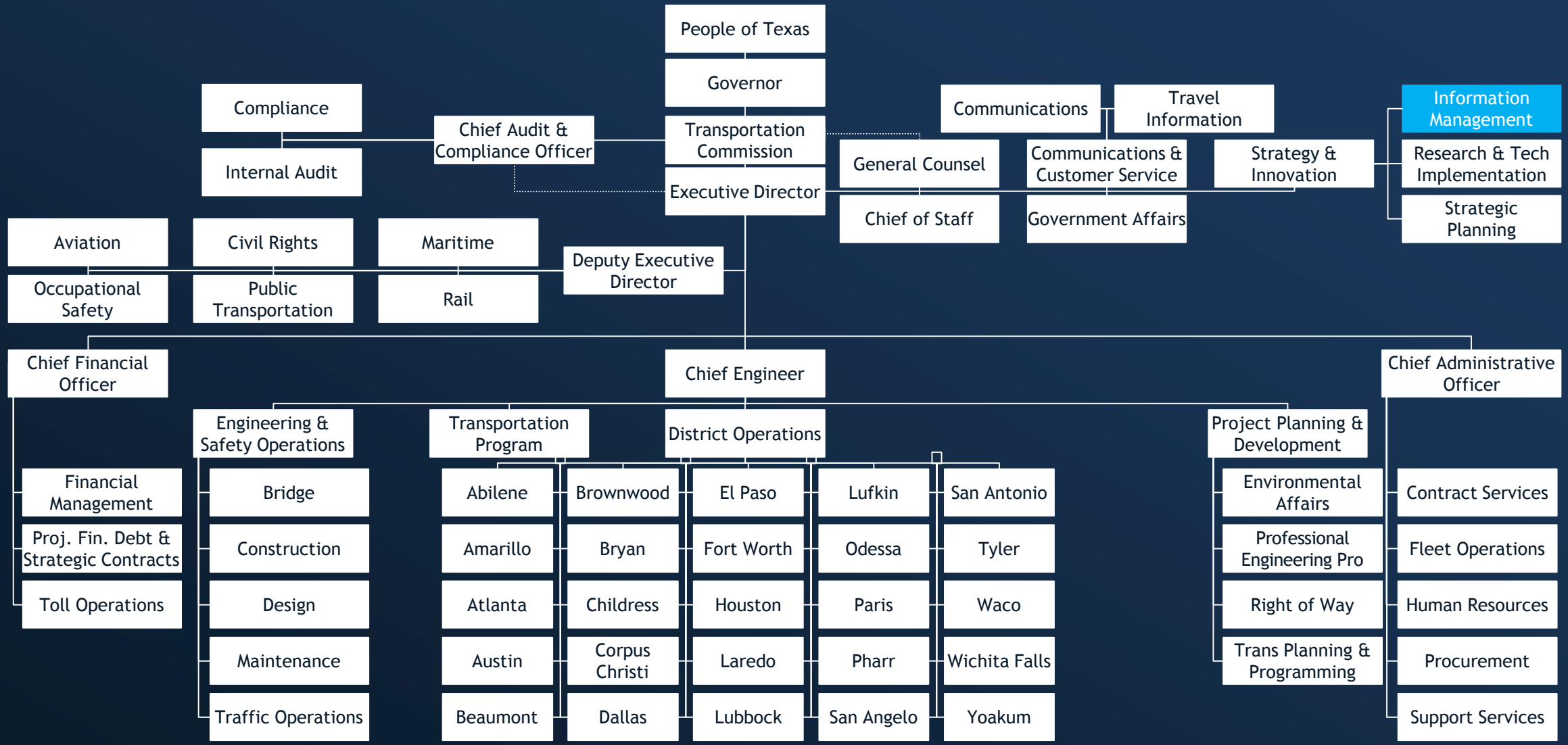
TxDOT consists of:

- **25 districts**, which are regional teams serving all 254 counties across the state of Texas to oversee the construction and maintenance of state highways
- **32 divisions**, which are teams that handle a diverse range of services, including environmental affairs, government affairs, toll operations, and traffic operations
- **Headquarters location**, which is situated in Austin, TX and is the administrative seat of the agency

TxDOT employs approximately **12,000 individuals in over 340 locations** across Texas, including engineers, designers, architects, sign makers, accountants, and other positions



Texas Department of Transportation



We have ambitious technology goals, including but not limited to ...

- Distributed work from anywhere
- Advanced engineering technologies
- Open data and sharing data across cities and counties
- Connected and self-driving cars
- Smart city
- Automated business processes
- Business intelligence and big data analytics
- Predictive analytics
- Cyber security
- Technology in the field
- Freight mobility

The Vision and Mission of IMD

Vision

- A forward-thinking business partner that enables TxDOT to effectively use information and technology to deliver mobility, enable economic opportunity, and enhance quality of life for all Texans

Mission

- Provide a reliable and secure environment and data management program to transform agency capabilities and enhance decision-making by providing accurate, integrated, and timely information

Develop our People

- Safety first!
- Individual & team performance
- Training
- Certifications

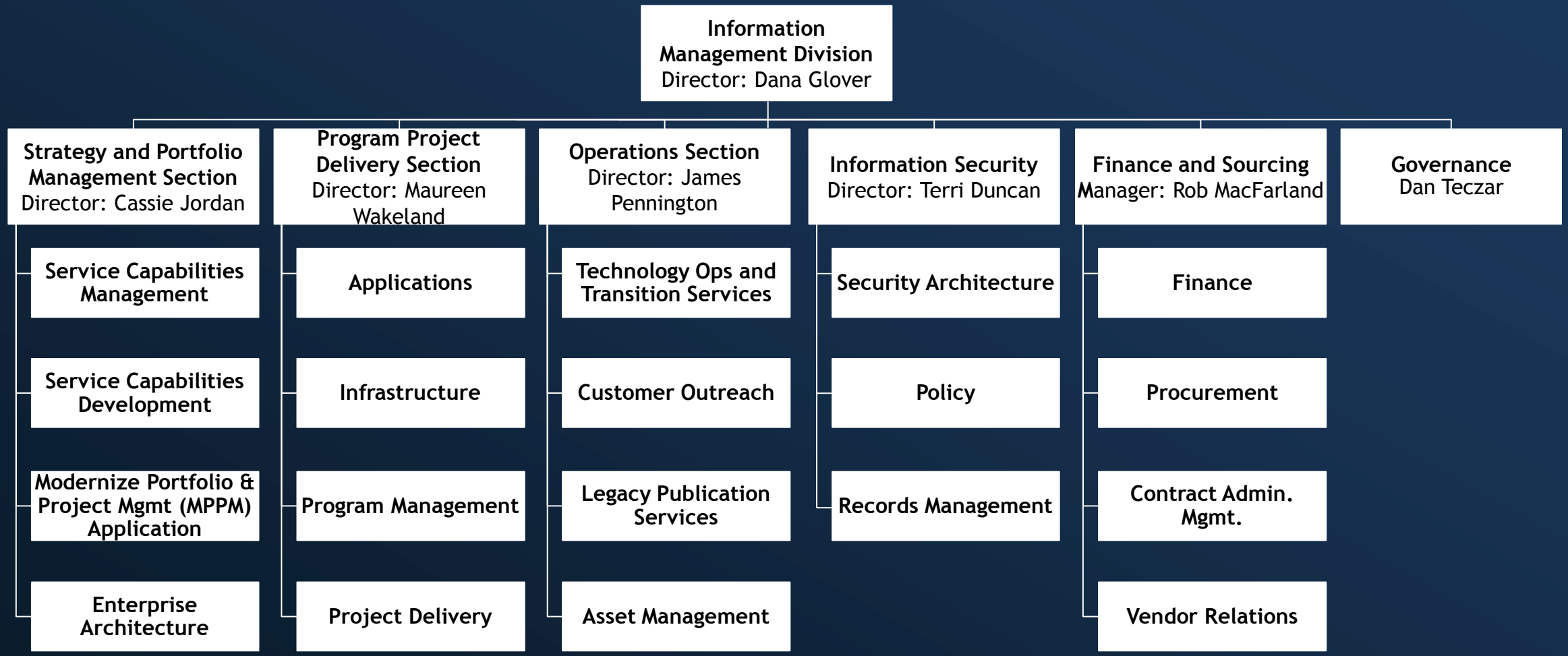
Align to TxDOT Mission

- Enterprise Architecture
- Portfolio Management
- Reduce risk through security, governance and policy

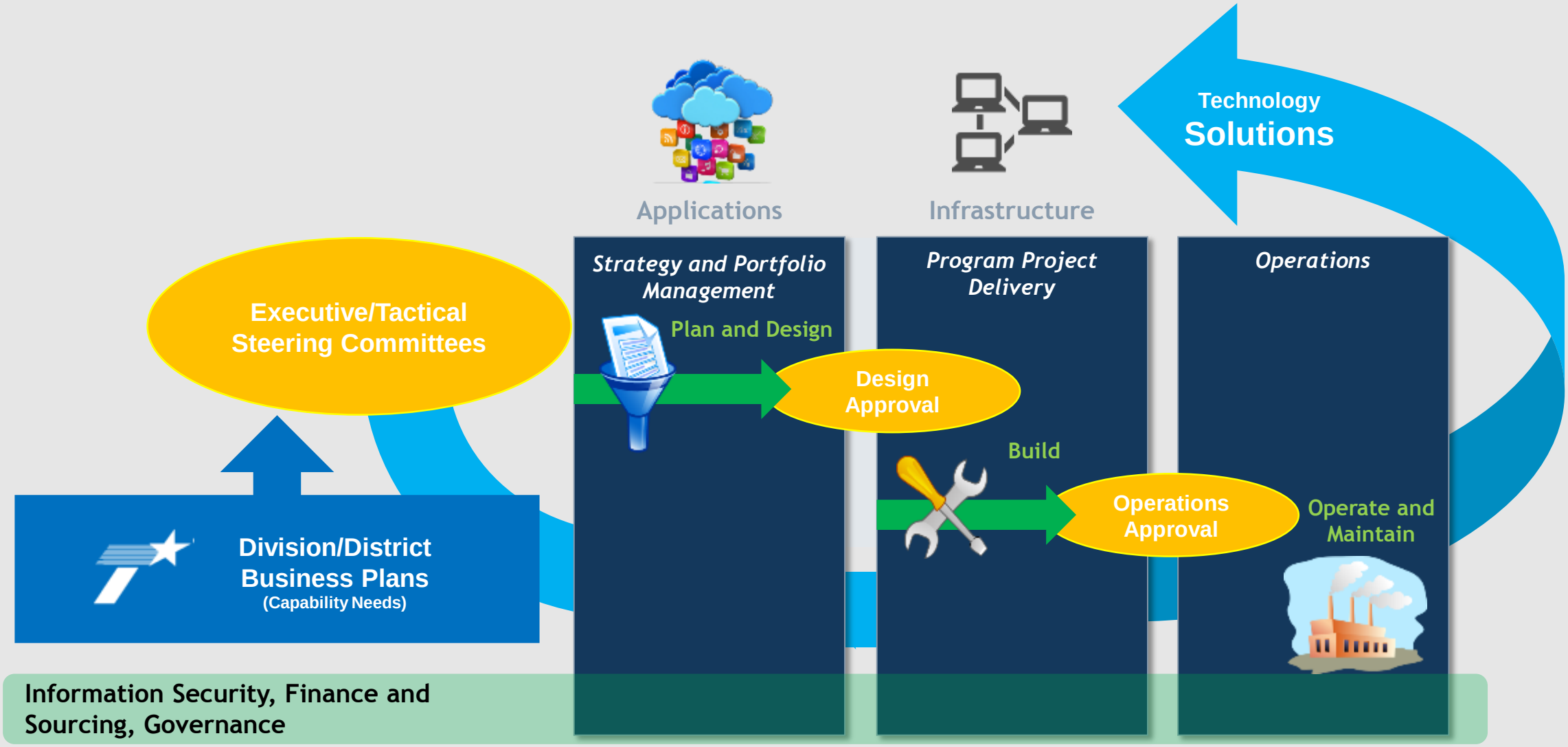
Delivery of Services

- Operational efficiency
- Return on investment
- Provide the right capabilities at the right time

IMD is composed of 5 "sections" with an additional team focused on governance



The different sections in IMD collaborate to deploy technology solutions serving Division / District needs



Context and background: TxDOT IT in 2012

- Outdated infrastructure

- Undefined service levels

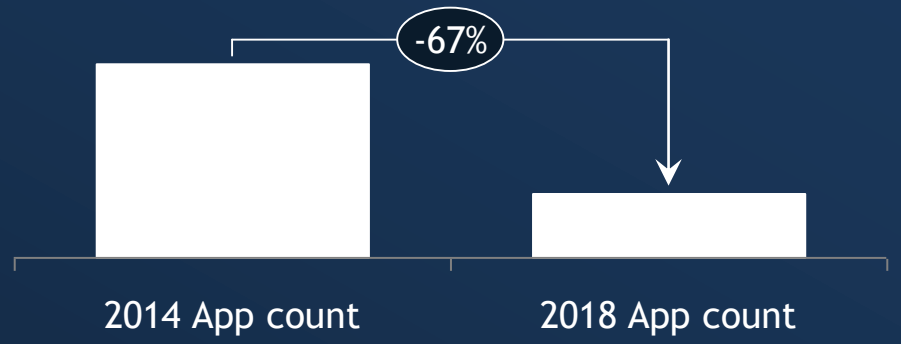
TxDOT has made significant progress

TxDOT set out on a mandate to transform its IT environment through a set of goals

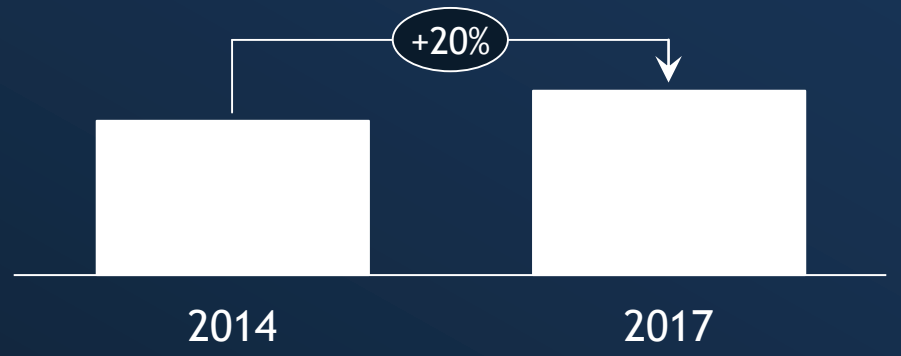
- **Stabilize:** Reduce risk in IT infrastructure management and improve stability and security of the TxDOT technology environment
- **Standardize:** Conduct enterprise-wide technology standardization, reduce the number of one-off/non-standard applications, and roll out standardized end-user devices to all employees
- **Solve:** Support business operations of the agency by focusing on solutions that address the most critical agency-wide needs

In the last five years, significant progress has been made in achieving the initial goals

App count down 67% since 2014



Overall IT satisfaction up by 20%



Going forward, our technology goals are summarized in three key areas

- Enable customer productivity
- Enhance customer service through technology
- Increase security capabilities

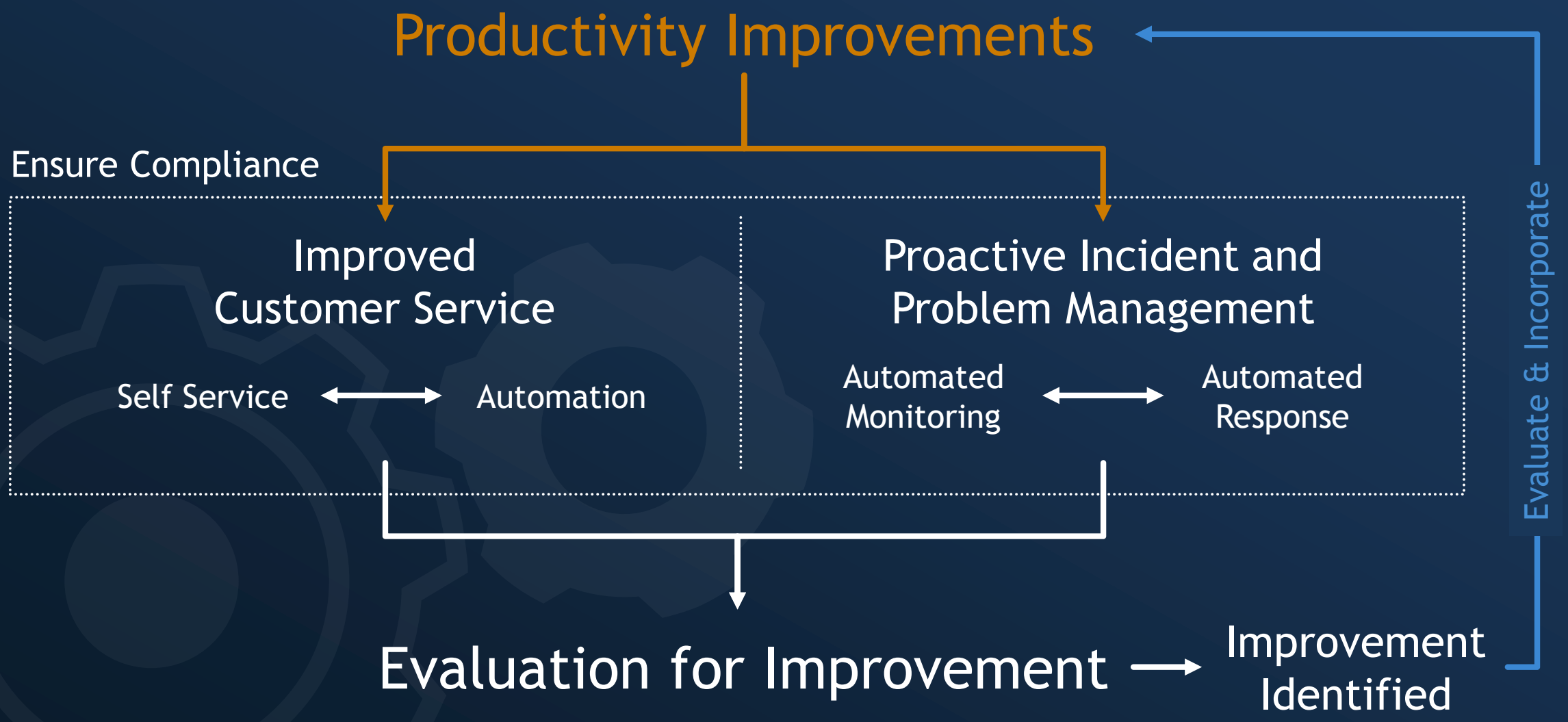
Expected outsourcing approach

Service Cluster	# vendors	RFP section
Infrastructure IT	1	B1
Information Security	1	B2
Business Network	1	B3
Traffic Network	1	B4
Program and Project Execution and Management	Multiple, project-by-project basis	B5
Enterprise Architecture	1	B6
Engineering Services	1	B7
Web Design	1	B8

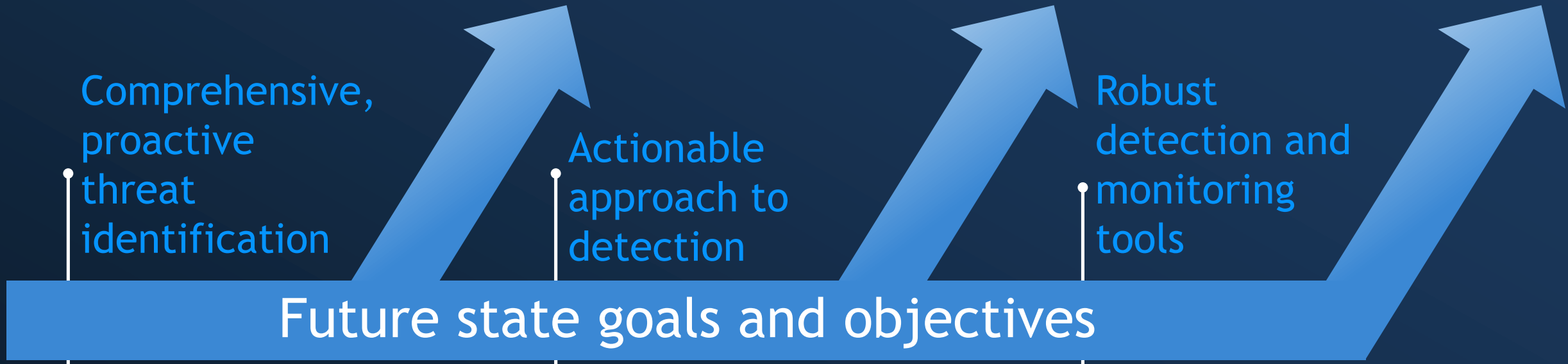
Scope of solicitation

1. Eight clusters out for bid – TxDOT encourages respondents to submit responses for one or more service clusters based on experience and capabilities
2. TxDOT expects to select no more than one vendor per service cluster, **except** for Program & Project Management & Execution
3. TxDOT intends to select multiple vendors for Program & Project Management & Execution
4. TxDOT expects the respondent to provide proof of qualifications and experience in each service cluster for which a response is submitted

Infrastructure IT: Future state goals and objectives

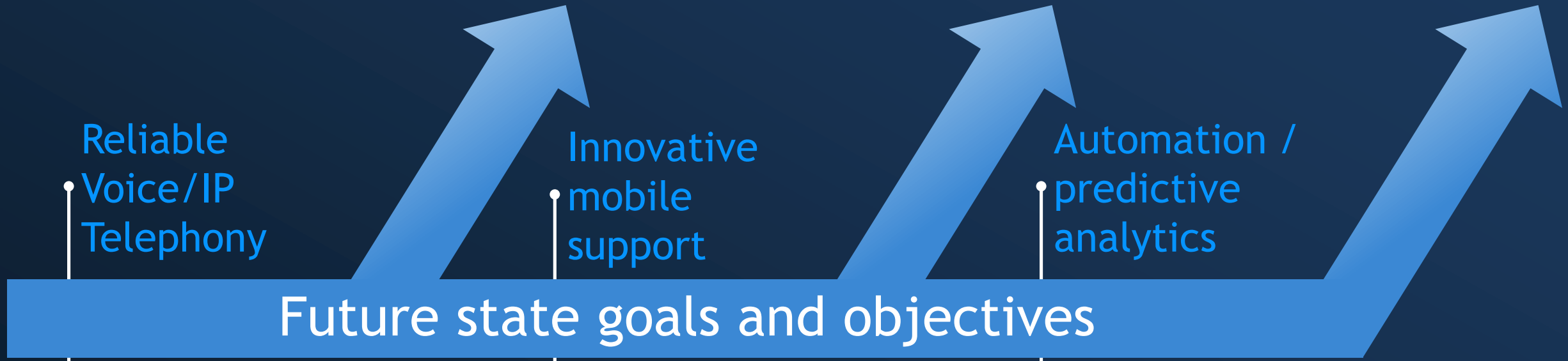


Information Security



- Enable risk assessments (i.e., covering network, applications, identity/ access, security architecture, etc.) that are comprehensive to identify vulnerabilities
- Ensure risks that are detected are promptly addressed or incorporated into continuous improvement plans
- Support direct access to live feed of security data as well as detailed SOC report to enable decision making

Business Network



- Continue to drive transformation and mitigate risk of system breakdown by building in greater redundancy

- Deploy new approaches to support, distribution and collection of over 5,000 (and growing) mobile devices

- Enhanced visibility into network and device performance
- Ongoing preventative maintenance to predict and address potential issues

Traffic Network

- Ensure real time, comprehensive monitoring of the Traffic Management network
- Continue to expand monitoring, using lessons learned from pilot programs
- Support districts to prioritize and shift focus from responsive to preventative maintenance
- Ensure uptime for TxDOT's >12,000 traffic network devices

- Further develop plans, processes and procedures for more consistent response to incidents
- Implement 24/7 Traffic NOC to receive alerts, diagnose and remotely remediate problems
- Collaborate with 3rd-party stake-holders to resolve issues across boundaries and ensure a seamless experience for TxDOT staff and customers

- Complete integration of monitoring and management across range of traffic devices:
  - Automated issue detection with workflow-driven fixes
  - Automated ticketing
  - Automated update of asset work summary
  - …

Program and Project Execution & Management: Future state goals and objectives

Advanced planning support

- Enable faster delivery and improved predictability, with a clear understanding of the pipeline and data-driven prioritization of Agency needs

Enhanced cross-functional engagement

- Work closely with agency partners to identify requirements
- Integrate agile and non-agile methodologies based on business requirements

Customer focused implementation

- Facilitate clear and iterative user acceptance testing with tactical KPIs
- Provide post implement-ation support, including training documentation & required tools

Enablement of robust project management discipline

- Support development of comprehensive and standardized spend plans and schedules relative to budgets & baselines
- Deliver automated tools to track and analyze project performance and mitigate risks

Program and Project Execution & Management:

Example projects

- Application development, enhancement, and deployment
- Application testing and maintenance
- Application decommissioning
- Infrastructure updates, upgrades, migrations
- Infrastructure decommissioning
- Network updates, upgrades, expansions, maintenance, decommissioning
- Security enhancements, updates, upgrades
- Process automation
- Agile project execution
- Agile training
- Waterfall and Agile Project Management
- ....

Enterprise Architecture

- Improved definition & documentation of standards for EA design
- Framework for technical standards to inform both tactical and strategic decision-making

- Detailed but dynamic roadmap to articulate strategy for enterprise applications, data, portfolio development and governance

- Forward-thinking collaboration to identify and evaluate opportunities & implications of evolutions in technology

Engineering Services

- Proactive guidance and support of the overall growth and development of geomatics experience at TxDOT

- Ongoing research, development and planning of new technologies as appropriate to support the continued growth and development of TxDOT geomatics capabilities

Web Design

- As TxDOT's web presence continues to grow, enablement of accessibility across all potential users

- Coordination with all TxDOT stakeholders ensure all web content is streamlined and up-to-date
- Proactive support for requirements to archive and maintain de-prioritized content

- Clearly defined process to ensure high visibility of important content
- Development of processes and procedures to understand and incorporate the "voice of the customer"

Responses will be evaluated across set of qualitative and quantitative criteria

Qualitative criteria

Proposed solution & delivery approach

Vendor experience & past performance

Personnel qualifications

Transition plan

Innovation & transformation

80% of overall score

Quantitative

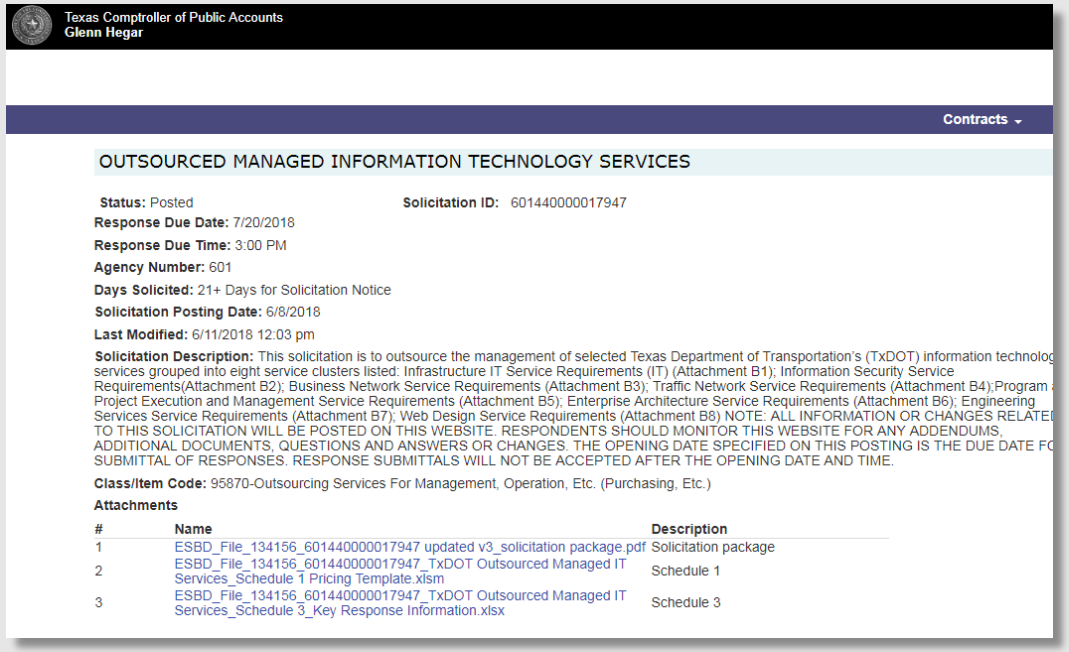
Commercial considerations

20% of overall score

We have included a set of case studies as opportunity for respondents to demonstrate capabilities across four key areas…

We've shared important information across two websites

Texas Comptroller website (txsmartbuy.com)



Texas Comptroller of Public Accounts
Glenn Hegar

Contracts

OUTSOURCED MANAGED INFORMATION TECHNOLOGY SERVICES

Status: Posted **Solicitation ID:** 601440000017947
Response Due Date: 7/20/2018
Response Due Time: 3:00 PM
Agency Number: 601
Days Solicited: 21+ Days for Solicitation Notice
Solicitation Posting Date: 6/8/2018
Last Modified: 6/11/2018 12:03 pm
Solicitation Description: This solicitation is to outsource the management of selected Texas Department of Transportation's (TxDOT) information technolog services grouped into eight service clusters listed: Infrastructure IT Service Requirements (IT) (Attachment B1); Information Security Service Requirements(Attachment B2); Business Network Service Requirements (Attachment B3); Traffic Network Service Requirements (Attachment B4);Program Project Execution and Management Service Requirements (Attachment B5); Enterprise Architecture Service Requirements (Attachment B6); Engineering Services Service Requirements (Attachment B7); Web Design Service Requirements (Attachment B8) NOTE: ALL INFORMATION OR CHANGES RELATE TO THIS SOLICITATION WILL BE POSTED ON THIS WEBSITE. RESPONDENTS SHOULD MONITOR THIS WEBSITE FOR ANY ADDENDUMS, ADDITIONAL DOCUMENTS, QUESTIONS AND ANSWERS OR CHANGES. THE OPENING DATE SPECIFIED ON THIS POSTING IS THE DUE DATE FO SUBMITTAL OF RESPONSES. RESPONSE SUBMITTALS WILL NOT BE ACCEPTED AFTER THE OPENING DATE AND TIME.
Class/Item Code: 95870-Outsourcing Services For Management, Operation, Etc. (Purchasing, Etc.)
Attachments

#	Name	Description
1	ESBD_File_134156_601440000017947 updated v3_solicitation package.pdf	Solicitation package
2	ESBD_File_134156_601440000017947_TxDOT Outsourced Managed IT Services_Schedule 1 Pricing Template.xlsm	Schedule 1
3	ESBD_File_134156_601440000017947_TxDOT Outsourced Managed IT Services_Schedule 3_Key Response Information.xlsx	Schedule 3

TxDOT's FTP website (ftp.dot.state.tx.us)

Index of /pub/txdot-info/imd

Name	Last modified	Size	Description
Parent Directory		-	
TxDOT_IT_Services_Pre-RFP_Information_Session/	08-Jun-2018 14:34	-	
TxDOT_IT_Services_RFP_Supplement_Information/	11-Jun-2018 13:11	-	

HUB Participation

TEXAS DEPARTMENT OF TRANSPORTATION

HISTORICALLY UNDERUTILIZED BUSINESS (HUB) SUBCONTRACTING PLAN (HSP) COMPLETION

TxDOT HUB Program

Revised: March 2017

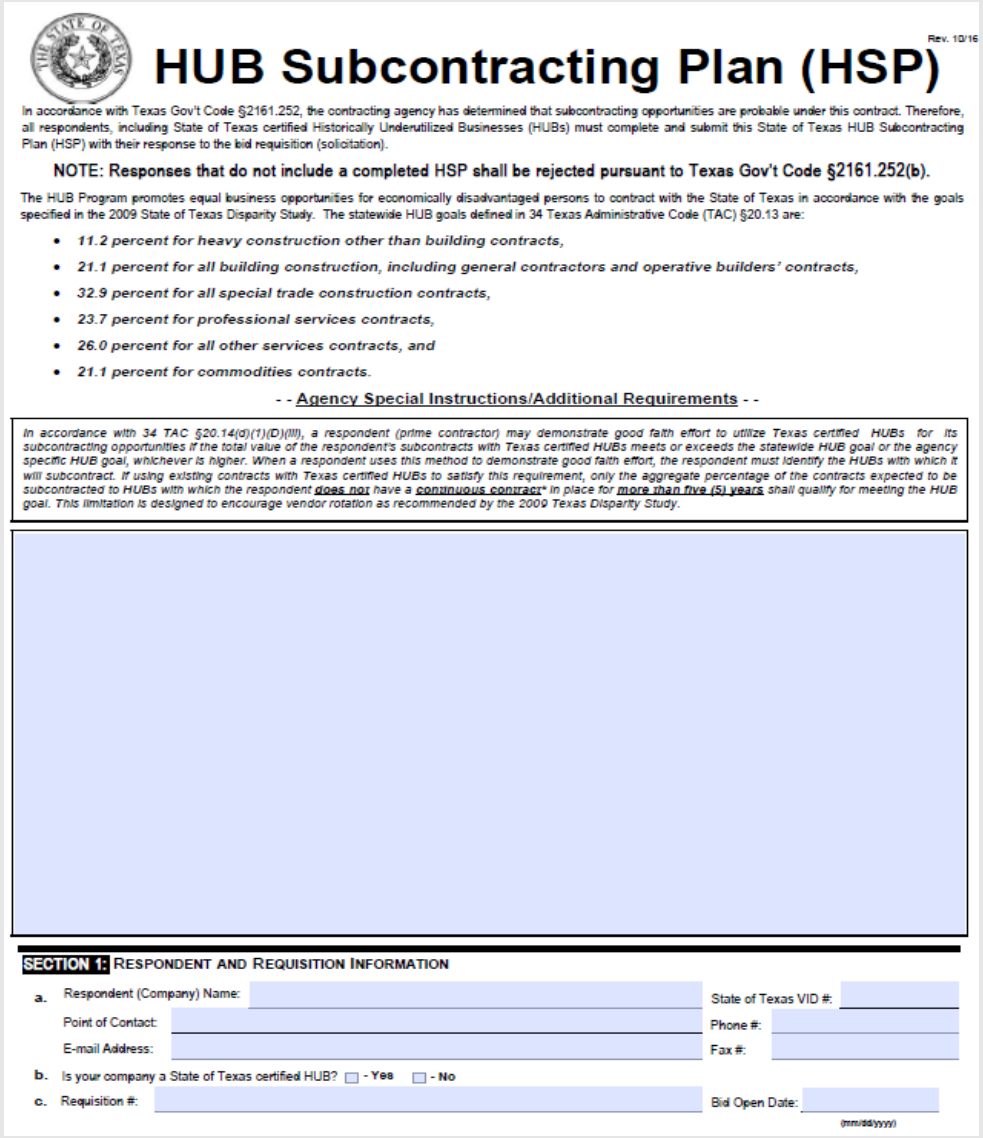
HSP Completion: Method A - Using only HUBs

If all (100%) of your subcontracting opportunities will be performed using only HUB vendors, complete the following :

- Section 1 – Respondent and Requisition Information (Page 1);
- Section 2a – Yes, I will be subcontracting portions of the contract (Page 2);
- Section 2b – List all the portions of work you will subcontract, and indicate the percentage of the contract you expect to award to HUB vendors (Page 2 and the continuation sheet as needed);
- Section 2c – Yes, I will be using **only** Texas certified HUBs to perform **all** of the subcontracting opportunities listed (Page 2);
- Section 4 – Affirmation that all information and supporting documentation submitted is true and correct (Page 3); and
- HSP GFE Method A (Attachment A) – Complete this attachment for each subcontracting opportunity listed in Section 2b (Page 1 of 1).

HSP Completion: Method A - Using only HUBs

Page 1



Rev. 10/16

HUB Subcontracting Plan (HSP)

In accordance with Texas Gov't Code §2161.252, the contracting agency has determined that subcontracting opportunities are probable under this contract. Therefore, all respondents, including State of Texas certified Historically Underutilized Businesses (HUBs) must complete and submit this State of Texas HUB Subcontracting Plan (HSP) with their response to the bid requisition (solicitation).

NOTE: Responses that do not include a completed HSP shall be rejected pursuant to Texas Gov't Code §2161.252(b).

The HUB Program promotes equal business opportunities for economically disadvantaged persons to contract with the State of Texas in accordance with the goals specified in the 2009 State of Texas Disparity Study. The statewide HUB goals defined in 34 Texas Administrative Code (TAC) §20.13 are:

- *11.2 percent for heavy construction other than building contracts,*
- *21.1 percent for all building construction, including general contractors and operative builders' contracts,*
- *32.9 percent for all special trade construction contracts,*
- *23.7 percent for professional services contracts,*
- *26.0 percent for all other services contracts, and*
- *21.1 percent for commodities contracts.*

- - Agency Special Instructions/Additional Requirements - -

In accordance with 34 TAC §20.14(d)(1)(D)(iii), a respondent (prime contractor) may demonstrate good faith effort to utilize Texas certified HUBs for its subcontracting opportunities if the total value of the respondent's subcontracts with Texas certified HUBs meets or exceeds the statewide HUB goal or the agency specific HUB goal, whichever is higher. When a respondent uses this method to demonstrate good faith effort, the respondent must identify the HUBs with which it will subcontract. If using existing contracts with Texas certified HUBs to satisfy this requirement, only the aggregate percentage of the contracts expected to be subcontracted to HUBs with which the respondent does not have a continuous contract in place for more than five (5) years shall qualify for meeting the HUB goal. This limitation is designed to encourage vendor rotation as recommended by the 2009 Texas Disparity Study.*

SECTION 1 RESPONDENT AND REQUISITION INFORMATION

a. Respondent (Company) Name: State of Texas VID #:

Point of Contact: Phone #:

E-mail Address: Fax #:

b. Is your company a State of Texas certified HUB? ☐ - Yes ☐ - No

c. Requisition #: Bid Open Date: (mm/dd/yyyy)

Section 1: Respondent and Requisition Information

Complete all information requested.

HSP Completion: Method A - Using only HUBs

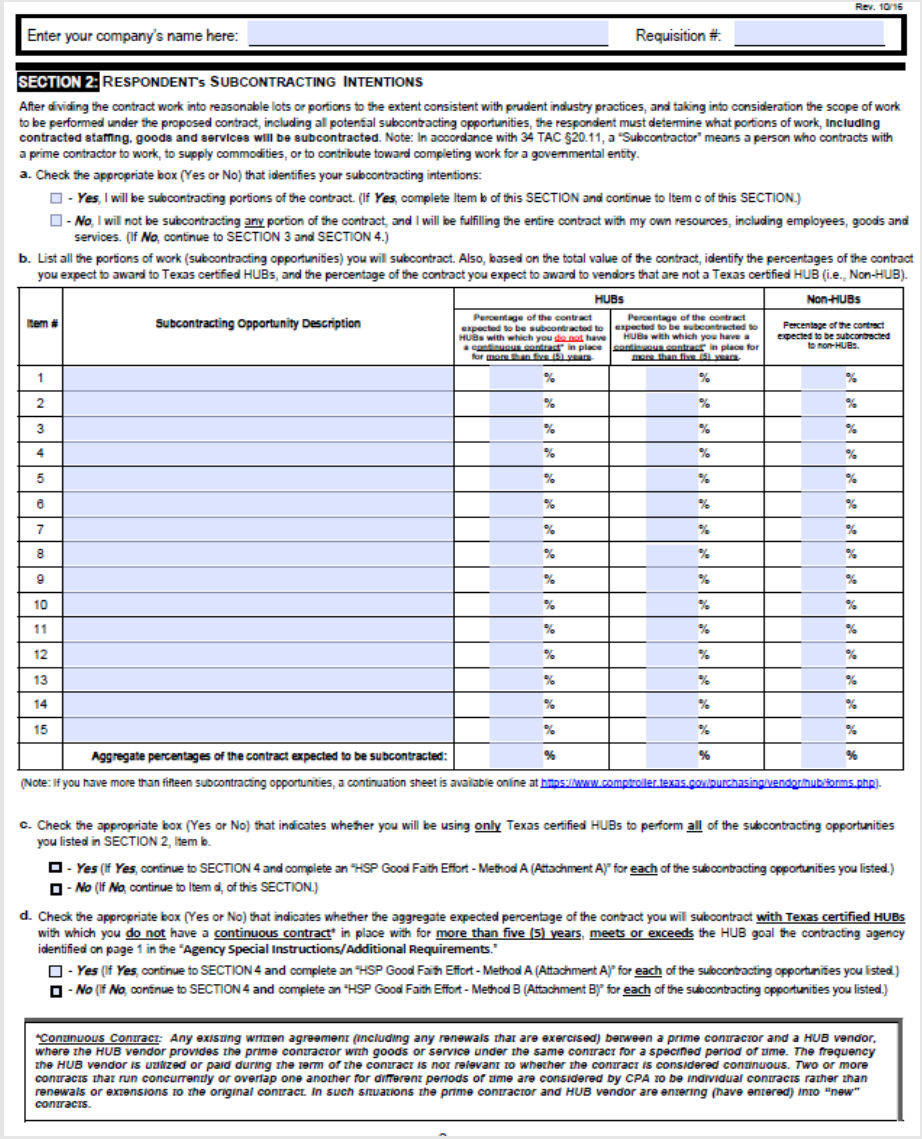
Page 2
Enter your Company's name and the requisition #.
(Enter this information on each subsequent page.)

Section 2: Respondents Subcontracting Intentions
2a: √ Yes, I will be subcontracting portions of the contract.

2b: List all the portions of work you will be subcontracting to HUBs and the % of the contract you expect to award.
(Aggregate percentage should not total 100%)

2c: √ Yes, if you will only be using HUBs to perform ALL subcontracting opportunities in 2a.

Move on to page 3, Section 4



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Enter your company's name here: _____ Requisition #: _____

SECTION 2: RESPONDENT'S SUBCONTRACTING INTENTIONS

After dividing the contract work into reasonable lots or portions to the extent consistent with prudent industry practices, and taking into consideration the scope of work to be performed under the proposed contract, including all potential subcontracting opportunities, the respondent must determine what portions of work, **including contracted staffing, goods and services will be subcontracted.** Note: In accordance with 34 TAC §20.11, a "Subcontractor" means a person who contracts with a prime contractor to work, to supply commodities, or to contribute toward completing work for a governmental entity.

a. Check the appropriate box (Yes or No) that identifies your subcontracting intentions:

☐ - ***Yes***, I will be subcontracting portions of the contract. (If ***Yes***, complete Item b of this SECTION and continue to Item c of this SECTION.)

☐ - ***No***, I will not be subcontracting any portion of the contract, and I will be fulfilling the entire contract with my own resources, including employees, goods and services. (If ***No***, continue to SECTION 3 and SECTION 4.)

b. List all the portions of work (subcontracting opportunities) you will subcontract. Also, based on the total value of the contract, identify the percentages of the contract you expect to award to Texas certified HUBs, and the percentage of the contract you expect to award to vendors that are not a Texas certified HUB (i.e., Non-HUB).

Item #	Subcontracting Opportunity Description	HUBs		Non-HUBs
		Percentage of the contract expected to be subcontracted to HUBs with which you do not have a continuous contract* in place for more than five (5) years.	Percentage of the contract expected to be subcontracted to HUBs with which you have a continuous contract* in place for more than five (5) years.	Percentage of the contract expected to be subcontracted to non-HUBs.
1		%	%	%
2		%	%	%
3		%	%	%
4		%	%	%
5		%	%	%
6		%	%	%
7		%	%	%
8		%	%	%
9		%	%	%
10		%	%	%
11		%	%	%
12		%	%	%
13		%	%	%
14		%	%	%
15		%	%	%
	Aggregate percentages of the contract expected to be subcontracted:	%	%	%

(Note: If you have more than fifteen subcontracting opportunities, a continuation sheet is available online at https://www.comptroller.texas.gov/purchasing/vendor/hub/forms.php).

c. Check the appropriate box (Yes or No) that indicates whether you will be using **only** Texas certified HUBs to perform **all** of the subcontracting opportunities you listed in SECTION 2, Item b.

☐ - ***Yes*** (If ***Yes***, continue to SECTION 4 and complete an "HSP Good Faith Effort - Method A (Attachment A)" for **each** of the subcontracting opportunities you listed.)

☐ - ***No*** (If ***No***, continue to Item d, of this SECTION.)

d. Check the appropriate box (Yes or No) that indicates whether the aggregate expected percentage of the contract you will subcontract **with Texas certified HUBs** with which you **do not** have a **continuous contract*** in place with for **more than five (5) years**, **meets or exceeds** the HUB goal the contracting agency identified on page 1 in the "**Agency Special Instructions/Additional Requirements.**"

☐ - ***Yes*** (If ***Yes***, continue to SECTION 4 and complete an "HSP Good Faith Effort - Method A (Attachment A)" for **each** of the subcontracting opportunities you listed.)

☐ - ***No*** (If ***No***, continue to SECTION 4 and complete an "HSP Good Faith Effort - Method B (Attachment B)" for **each** of the subcontracting opportunities you listed.)

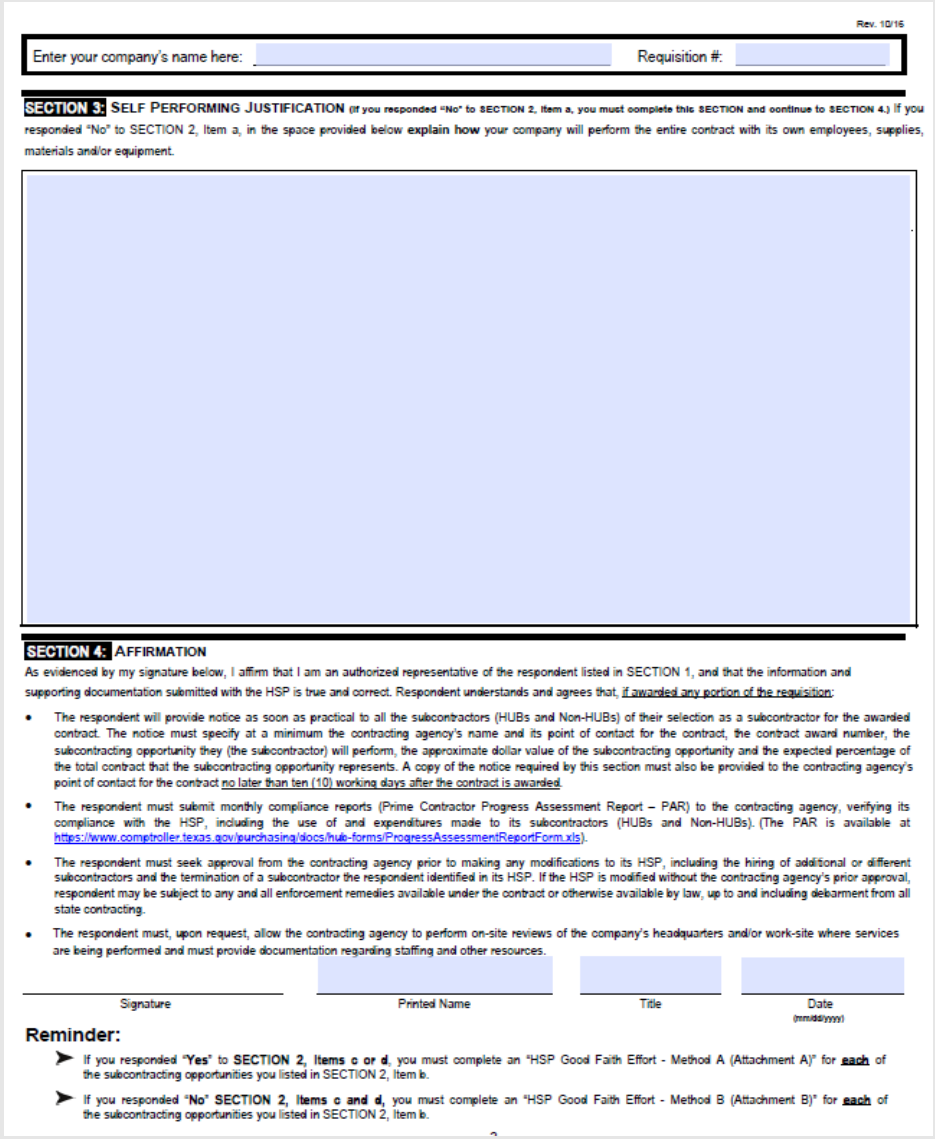
*Continuous Contract: Any existing written agreement (including any renewals that are exercised) between a prime contractor and a HUB vendor, where the HUB vendor provides the prime contractor with goods or service under the same contract for a specified period of time. The frequency the HUB vendor is utilized or paid during the term of the contract is not relevant to whether the contract is considered continuous. Two or more contracts that run concurrently or overlap one another for different periods of time are considered by CPA to be individual contracts rather than renewals or extensions to the original contract. In such situations the prime contractor and HUB vendor are entering (have entered) into "new" contracts.

HSP Completion: Method A - Using only HUBs

Page 3

Section 4: Affirmation
Read, sign and date to affirm the information you provided is true and correct.

Move on to "HSP Good Faith Effort - Method A (Attachment A)"



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Enter your company's name here: _____ Requisition #: _____

SECTION 3: SELF PERFORMING JUSTIFICATION (If you responded "No" to SECTION 2, Item a, you must complete this SECTION and continue to SECTION 4.) If you responded "No" to SECTION 2, Item a, in the space provided below **explain how** your company will perform the entire contract with its own employees, supplies, materials and/or equipment.

SECTION 4: AFFIRMATION

As evidenced by my signature below, I affirm that I am an authorized representative of the respondent listed in SECTION 1, and that the information and supporting documentation submitted with the HSP is true and correct. Respondent understands and agrees that, if awarded any portion of the requisition:

- The respondent will provide notice as soon as practical to all the subcontractors (HUBs and Non-HUBs) of their selection as a subcontractor for the awarded contract. The notice must specify at a minimum the contracting agency's name and its point of contact for the contract, the contract award number, the subcontracting opportunity they (the subcontractor) will perform, the approximate dollar value of the subcontracting opportunity and the expected percentage of the total contract that the subcontracting opportunity represents. A copy of the notice required by this section must also be provided to the contracting agency's point of contact for the contract no later than ten (10) working days after the contract is awarded.
- The respondent must submit monthly compliance reports (Prime Contractor Progress Assessment Report – PAR) to the contracting agency, verifying its compliance with the HSP, including the use of and expenditures made to its subcontractors (HUBs and Non-HUBs). (The PAR is available at https://www.comptroller.texas.gov/purchasing/docs/hub-forms/ProgressAssessmentReportForm.xls).
- The respondent must seek approval from the contracting agency prior to making any modifications to its HSP, including the hiring of additional or different subcontractors and the termination of a subcontractor the respondent identified in its HSP. If the HSP is modified without the contracting agency's prior approval, respondent may be subject to any and all enforcement remedies available under the contract or otherwise available by law, up to and including debarment from all state contracting.
- The respondent must, upon request, allow the contracting agency to perform on-site reviews of the company's headquarters and/or work-site where services are being performed and must provide documentation regarding staffing and other resources.

Signature | Printed Name | Title | Date (mm/dd/yyyy)

Reminder:

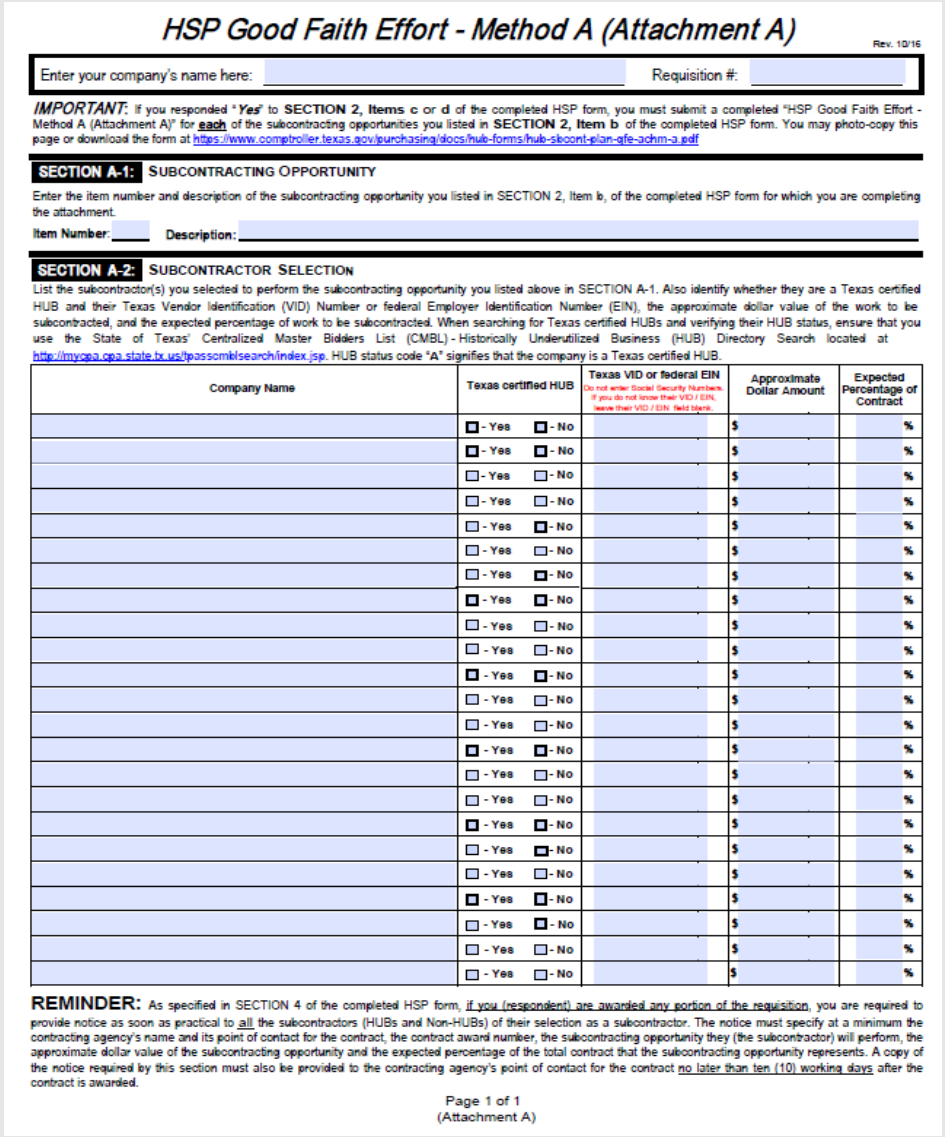
- If you responded **"Yes"** to **SECTION 2, Items c or d**, you must complete an "HSP Good Faith Effort - Method A (Attachment A)" for **each** of the subcontracting opportunities you listed in SECTION 2, Item b.
- If you responded **"No" SECTION 2, Items c and d**, you must complete an "HSP Good Faith Effort - Method B (Attachment B)" for **each** of the subcontracting opportunities you listed in SECTION 2, Item b.

HSP Completion: Method A - Using only HUBs

HSP Good Faith Effort – Method A (Attachment A)

Section A-1
List the information requested for the subcontracting opportunity.

Section A-2
Provide all information requested.



HSP Good Faith Effort - Method A (Attachment A)

Rev. 10/16

Enter your company's name here: _____ Requisition #: _____

IMPORTANT: If you responded "***Yes***" to **SECTION 2, Items c** or **d** of the completed HSP form, you must submit a completed "HSP Good Faith Effort - Method A (Attachment A)" for **each** of the subcontracting opportunities you listed in **SECTION 2, Item b** of the completed HSP form. You may photo-copy this page or download the form at https://www.comptroller.texas.gov/purchasing/docs/hub-forms/hub-sbcont-plan-gfe-achm-a.pdf

SECTION A-1: SUBCONTRACTING OPPORTUNITY

Enter the item number and description of the subcontracting opportunity you listed in SECTION 2, Item b, of the completed HSP form for which you are completing the attachment.

Item Number: ____ **Description:** _____

SECTION A-2: SUBCONTRACTOR SELECTION

List the subcontractor(s) you selected to perform the subcontracting opportunity you listed above in SECTION A-1. Also identify whether they are a Texas certified HUB and their Texas Vendor Identification (VID) Number or federal Employer Identification Number (EIN), the approximate dollar value of the work to be subcontracted, and the expected percentage of work to be subcontracted. When searching for Texas certified HUBs and verifying their HUB status, ensure that you use the State of Texas' Centralized Master Bidders List (CMBL) - Historically Underutilized Business (HUB) Directory Search located at http://mycpa.cpa.state.tx.us/tpasscmblsearch/index.jsp. HUB status code "A" signifies that the company is a Texas certified HUB.

Company Name	Texas certified HUB	Texas VID or federal EIN (Do not enter Social Security Numbers. If you do not know their VID / EIN, leave their VID / EIN field blank.)	Approximate Dollar Amount	Expected Percentage of Contract
	☐ - Yes ☐ - No		$	%
	☐ - Yes ☐ - No		$	%
	☐ - Yes ☐ - No		$	%
	☐ - Yes ☐ - No		$	%
	☐ - Yes ☐ - No		$	%
	☐ - Yes ☐ - No		$	%
	☐ - Yes ☐ - No		$	%
	☐ - Yes ☐ - No		$	%
	☐ - Yes ☐ - No		$	%
	☐ - Yes ☐ - No		$	%
	☐ - Yes ☐ - No		$	%
	☐ - Yes ☐ - No		$	%
	☐ - Yes ☐ - No		$	%
	☐ - Yes ☐ - No		$	%
	☐ - Yes ☐ - No		$	%
	☐ - Yes ☐ - No		$	%
	☐ - Yes ☐ - No		$	%
	☐ - Yes ☐ - No		$	%
	☐ - Yes ☐ - No		$	%
	☐ - Yes ☐ - No		$	%
	☐ - Yes ☐ - No		$	%
	☐ - Yes ☐ - No		$	%
	☐ - Yes ☐ - No		$	%

REMINDER: As specified in SECTION 4 of the completed HSP form, if you (respondent) are awarded any portion of the requisition, you are required to provide notice as soon as practical to all the subcontractors (HUBs and Non-HUBs) of their selection as a subcontractor. The notice must specify at a minimum the contracting agency's name and its point of contact for the contract, the contract award number, the subcontracting opportunity they (the subcontractor) will perform, the approximate dollar value of the subcontracting opportunity and the expected percentage of the total contract that the subcontracting opportunity represents. A copy of the notice required by this section must also be provided to the contracting agency's point of contact for the contract no later than ten (10) working days after the contract is awarded.

Page 1 of 1
(Attachment A)

HSP Completion: Method A - Meeting TxDOT's HUB Goal

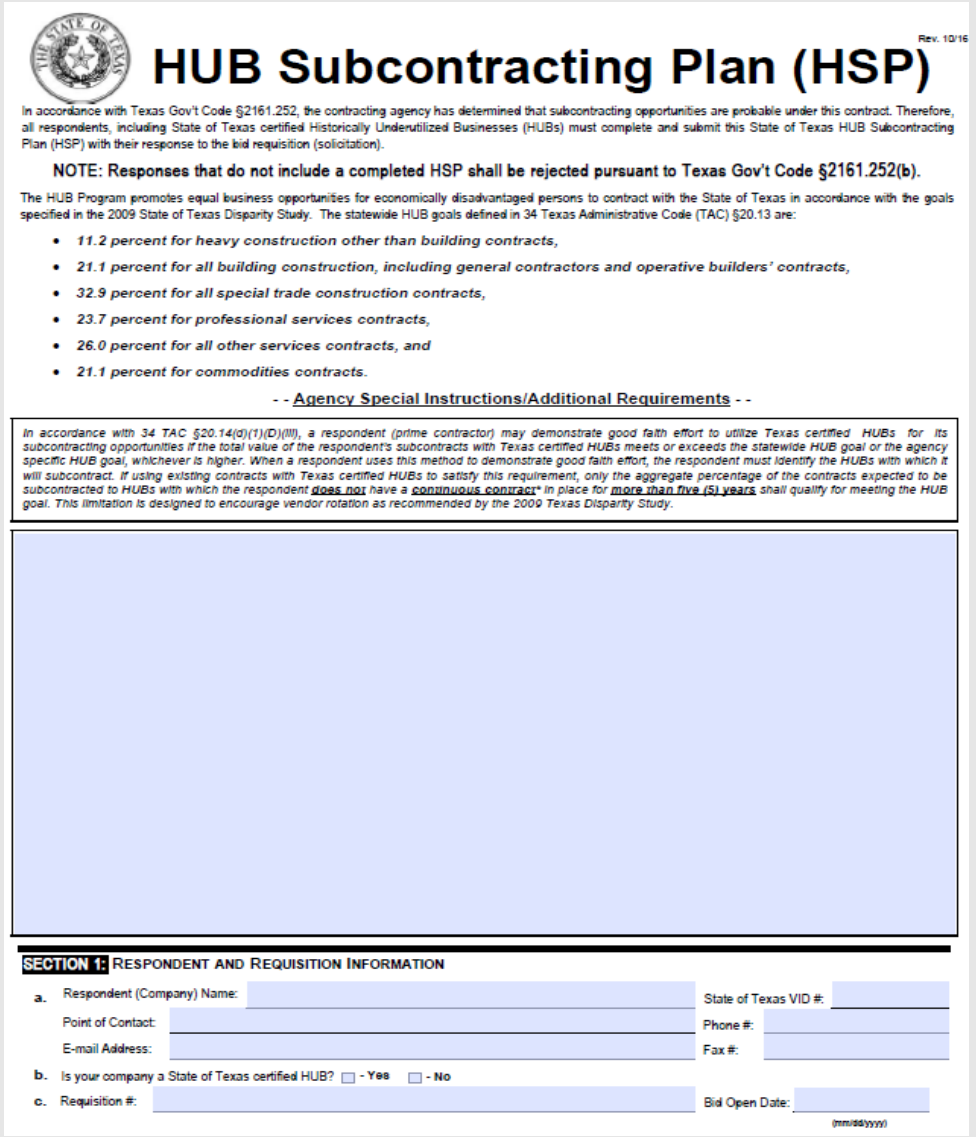
If you are subcontracting with HUBs and Non-HUBs, and you meet or exceed the aggregate percentage (HUB Goal) of subcontracting with HUBs in which you do not have a continuous contract in place for more than five (5) years, complete the following:

- Section 1 – Respondent and Requisition Information (Page 1);
- Section 2a – Yes, I will be subcontracting portions of the contract (Page 2);
- Section 2b – List all the portions of work you will subcontract, and indicate the percentage of the contract you expect to award to HUB vendors (Page 2 and the continuation sheet as needed);
- Section 2c – No, I will not be using **only** Texas certified HUBs to perform **all** of the subcontracting opportunities listed (Page 2);
- Section 2d – Yes, the aggregate expected percentage of the contract you will subcontract with Texas certified HUBs, which you have do NOT have a continuous contract in place for five (5) years or more, meets or exceeds the HUB goal in the solicitation (Page 2)
- Section 4 – Affirmation that all information and supporting documentation submitted is true and correct (Page 3); and
- HSP GFE Method A (Attachment A) – Complete this attachment for each subcontracting opportunity listed in 2b (Page 1 of 1).

HSP Completion: Method A - Meeting TxDOT's HUB Goal

Page 1

Section 1: Respondent and Requisition Information
Complete all information requested.



Rev. 10/16

HUB Subcontracting Plan (HSP)

In accordance with Texas Gov't Code §2161.252, the contracting agency has determined that subcontracting opportunities are probable under this contract. Therefore, all respondents, including State of Texas certified Historically Underutilized Businesses (HUBs) must complete and submit this State of Texas HUB Subcontracting Plan (HSP) with their response to the bid requisition (solicitation).

NOTE: Responses that do not include a completed HSP shall be rejected pursuant to Texas Gov't Code §2161.252(b).

The HUB Program promotes equal business opportunities for economically disadvantaged persons to contract with the State of Texas in accordance with the goals specified in the 2009 State of Texas Disparity Study. The statewide HUB goals defined in 34 Texas Administrative Code (TAC) §20.13 are:

- *11.2 percent for heavy construction other than building contracts,*
- *21.1 percent for all building construction, including general contractors and operative builders' contracts,*
- *32.9 percent for all special trade construction contracts,*
- *23.7 percent for professional services contracts,*
- *26.0 percent for all other services contracts, and*
- *21.1 percent for commodities contracts.*

- - Agency Special Instructions/Additional Requirements - -

*In accordance with 34 TAC §20.14(d)(1)(D)(iii), a respondent (prime contractor) may demonstrate good faith effort to utilize Texas certified HUBs for its subcontracting opportunities if the total value of the respondent's subcontracts with Texas certified HUBs meets or exceeds the statewide HUB goal or the agency specific HUB goal, whichever is higher. When a respondent uses this method to demonstrate good faith effort, the respondent must identify the HUBs with which it will subcontract. If using existing contracts with Texas certified HUBs to satisfy this requirement, only the aggregate percentage of the contracts expected to be subcontracted to HUBs with which the respondent **does not** have a **continuous contract*** in place for **more than five (5) years** shall qualify for meeting the HUB goal. This limitation is designed to encourage vendor rotation as recommended by the 2009 Texas Disparity Study.*

SECTION 1: RESPONDENT AND REQUISITION INFORMATION

a. Respondent (Company) Name: State of Texas VID #:
Point of Contact: Phone #:
E-mail Address: Fax #:

b. Is your company a State of Texas certified HUB? ☐ - Yes ☐ - No

c. Requisition #: Bid Open Date: (mm/dd/yyyy)

HSP Completion: Method A - Meeting TxDOT's HUB Goal

Page 2
Enter your Company's name and the requisition #.
(*Enter this information on each subsequent page*.)

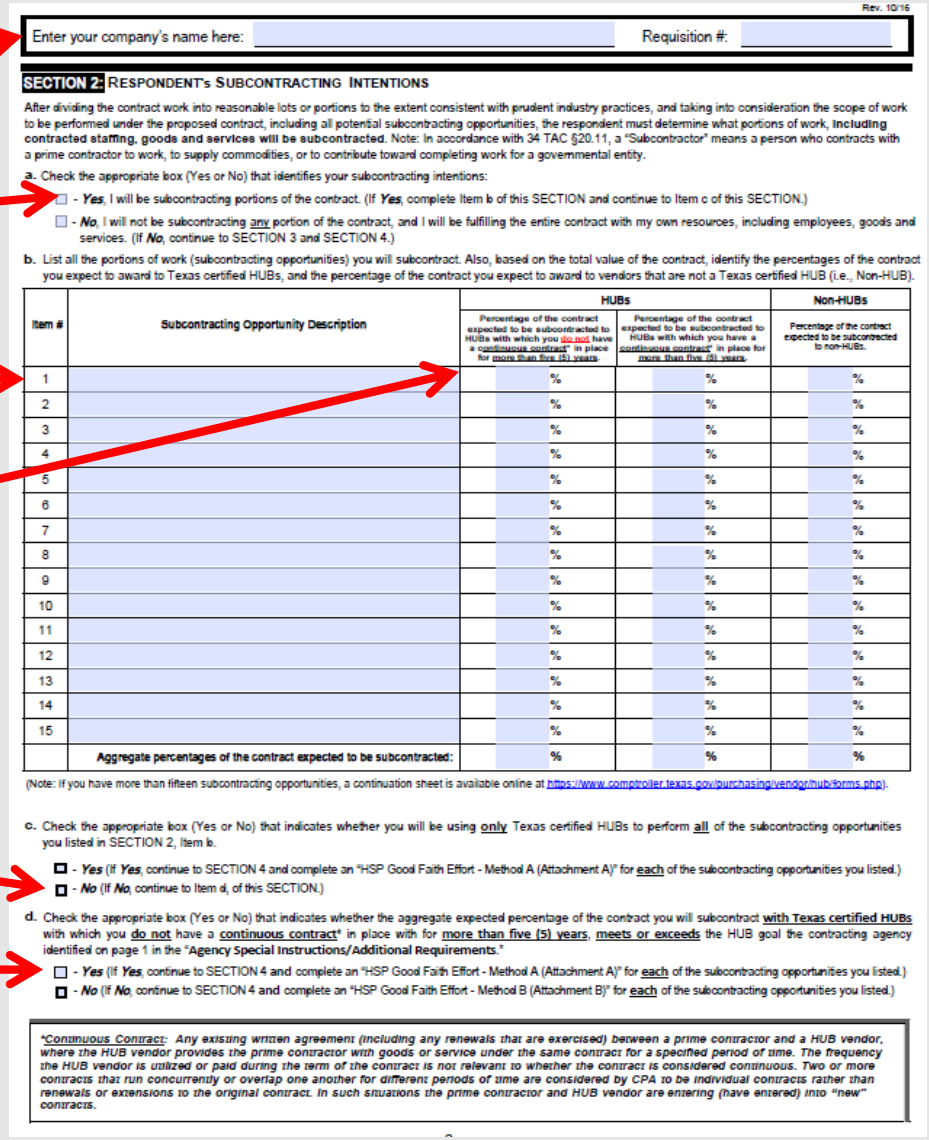
Section 2: Respondent Subcontracting Intentions
2a: √ Yes, I will be subcontracting portions of the contract.

2b: List all the portions of work you will be subcontracting to HUBs and the Non-HUBs % of the contract you expect to award.

NOTE: Must meet or exceed HUB goal using HUBs with which you **do not** have a **continuous contract** in place for **more than five (5) years**.

2c: √ No, to indicate you will NOT be only using HUBs.

2d: √ Yes, indicating you do NOT have a continuous contract in place for 5 or more years and will meet or exceed the HUB Goal.



Rev. 10/16

Enter your company's name here: _____ Requisition #: _____

SECTION 2: RESPONDENT'S SUBCONTRACTING INTENTIONS

After dividing the contract work into reasonable lots or portions to the extent consistent with prudent industry practices, and taking into consideration the scope of work to be performed under the proposed contract, including all potential subcontracting opportunities, the respondent must determine what portions of work, **including contracted staffing, goods and services will be subcontracted.** Note: In accordance with 34 TAC §20.11, a "Subcontractor" means a person who contracts with a prime contractor to work, to supply commodities, or to contribute toward completing work for a governmental entity.

a. Check the appropriate box (Yes or No) that identifies your subcontracting intentions:

☐ - ***Yes***, I will be subcontracting portions of the contract. (If ***Yes***, complete Item b of this SECTION and continue to Item c of this SECTION.)

☐ - ***No***, I will not be subcontracting any portion of the contract, and I will be fulfilling the entire contract with my own resources, including employees, goods and services. (If ***No***, continue to SECTION 3 and SECTION 4.)

b. List all the portions of work (subcontracting opportunities) you will subcontract. Also, based on the total value of the contract, identify the percentages of the contract you expect to award to Texas certified HUBs, and the percentage of the contract you expect to award to vendors that are not a Texas certified HUB (i.e., Non-HUB).

Item #	Subcontracting Opportunity Description	HUBs		Non-HUBs
		Percentage of the contract expected to be subcontracted to HUBs with which you do not have a continuous contract* in place for more than five (5) years.	Percentage of the contract expected to be subcontracted to HUBs with which you have a continuous contract* in place for more than five (5) years.	Percentage of the contract expected to be subcontracted to non-HUBs.
1		%	%	%
2		%	%	%
3		%	%	%
4		%	%	%
5		%	%	%
6		%	%	%
7		%	%	%
8		%	%	%
9		%	%	%
10		%	%	%
11		%	%	%
12		%	%	%
13		%	%	%
14		%	%	%
15		%	%	%
	Aggregate percentages of the contract expected to be subcontracted:	%	%	%

(Note: If you have more than fifteen subcontracting opportunities, a continuation sheet is available online at https://www.comptroller.texas.gov/purchasing/vendor/hub/forms.php).

c. Check the appropriate box (Yes or No) that indicates whether you will be using **only** Texas certified HUBs to perform **all** of the subcontracting opportunities you listed in SECTION 2, Item b.

☐ - ***Yes*** (If ***Yes***, continue to SECTION 4 and complete an "HSP Good Faith Effort - Method A (Attachment A)" for **each** of the subcontracting opportunities you listed.)

☐ - ***No*** (If ***No***, continue to Item d, of this SECTION.)

d. Check the appropriate box (Yes or No) that indicates whether the aggregate expected percentage of the contract you will subcontract **with Texas certified HUBs** with which you **do not** have a **continuous contract*** in place with for **more than five (5) years**, **meets or exceeds** the HUB goal the contracting agency identified on page 1 in the "**Agency Special Instructions/Additional Requirements.**"

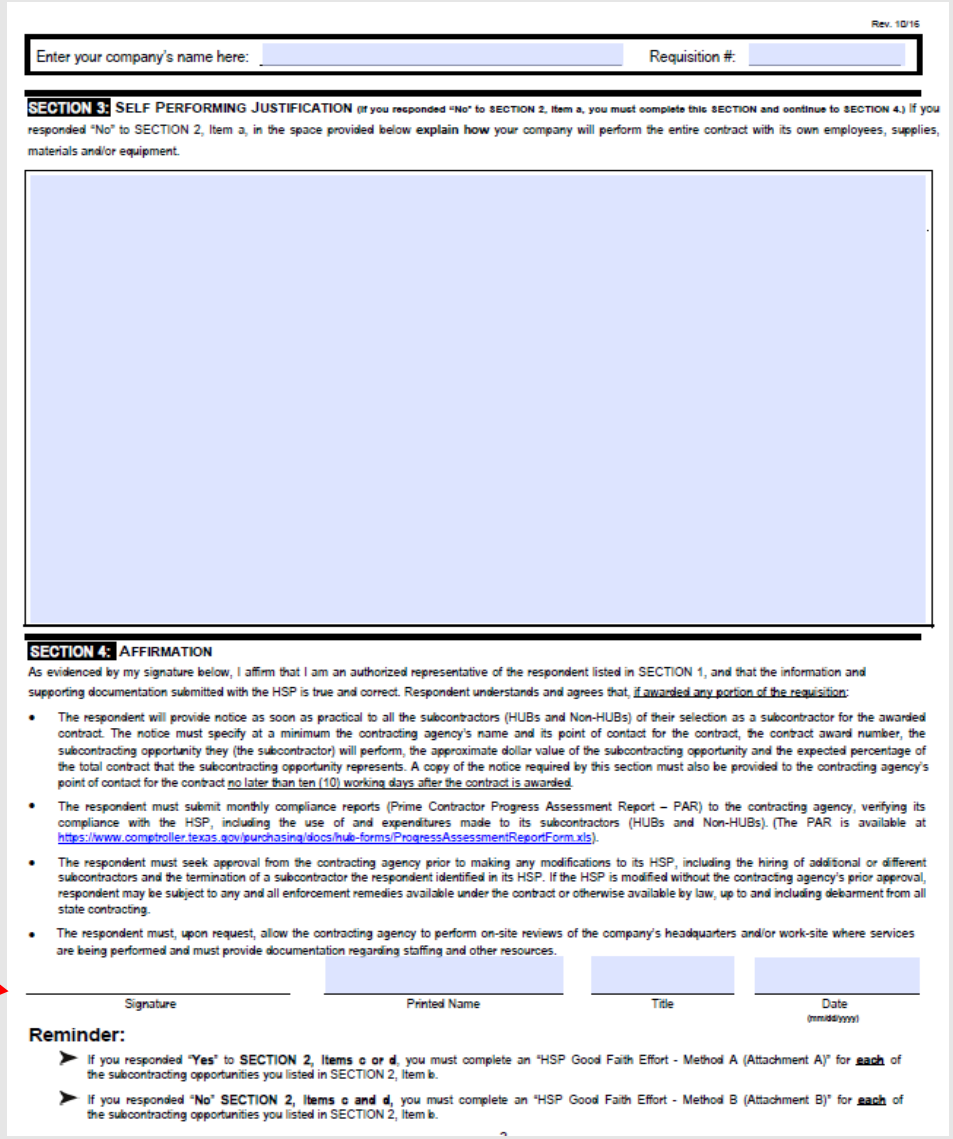
☐ - ***Yes*** (If ***Yes***, continue to SECTION 4 and complete an "HSP Good Faith Effort - Method A (Attachment A)" for **each** of the subcontracting opportunities you listed.)

☐ - ***No*** (If ***No***, continue to SECTION 4 and complete an "HSP Good Faith Effort - Method B (Attachment B)" for **each** of the subcontracting opportunities you listed.)

*Continuous Contract: Any existing written agreement (including any renewals that are exercised) between a prime contractor and a HUB vendor, where the HUB vendor provides the prime contractor with goods or service under the same contract for a specified period of time. The frequency the HUB vendor is utilized or paid during the term of the contract is not relevant to whether the contract is considered continuous. Two or more contracts that run concurrently or overlap one another for different periods of time are considered by CPA to be individual contracts rather than renewals or extensions to the original contract. In such situations the prime contractor and HUB vendor are entering (have entered) into "new" contracts.

HSP Completion: Method A - Meeting TxDOT's HUB Goal

Page 3



Rev. 10/15

Enter your company's name here: _____ Requisition #: _____

SECTION 3: SELF PERFORMING JUSTIFICATION (If you responded "No" to SECTION 2, item a, you must complete this SECTION and continue to SECTION 4.) If you responded "No" to SECTION 2, item a, in the space provided below **explain how** your company will perform the entire contract with its own employees, supplies, materials and/or equipment.

SECTION 4: AFFIRMATION

As evidenced by my signature below, I affirm that I am an authorized representative of the respondent listed in SECTION 1, and that the information and supporting documentation submitted with the HSP is true and correct. Respondent understands and agrees that, if awarded any portion of the requisition:

- The respondent will provide notice as soon as practical to all the subcontractors (HUBs and Non-HUBs) of their selection as a subcontractor for the awarded contract. The notice must specify at a minimum the contracting agency's name and its point of contact for the contract, the contract award number, the subcontracting opportunity they (the subcontractor) will perform, the approximate dollar value of the subcontracting opportunity and the expected percentage of the total contract that the subcontracting opportunity represents. A copy of the notice required by this section must also be provided to the contracting agency's point of contact for the contract no later than ten (10) working days after the contract is awarded.
- The respondent must submit monthly compliance reports (Prime Contractor Progress Assessment Report – PAR) to the contracting agency, verifying its compliance with the HSP, including the use of and expenditures made to its subcontractors (HUBs and Non-HUBs). (The PAR is available at https://www.comptroller.texas.gov/purchasing/docs/hub-forms/ProgressAssessmentReportForm.xls).
- The respondent must seek approval from the contracting agency prior to making any modifications to its HSP, including the hiring of additional or different subcontractors and the termination of a subcontractor the respondent identified in its HSP. If the HSP is modified without the contracting agency's prior approval, respondent may be subject to any and all enforcement remedies available under the contract or otherwise available by law, up to and including debarment from all state contracting.
- The respondent must, upon request, allow the contracting agency to perform on-site reviews of the company's headquarters and/or work-site where services are being performed and must provide documentation regarding staffing and other resources.

Signature | Printed Name | Title | Date (mm/dd/yyyy)

Reminder:

- If you responded "**Yes**" to **SECTION 2, Items c or d**, you must complete an "HSP Good Faith Effort - Method A (Attachment A)" for **each** of the subcontracting opportunities you listed in SECTION 2, Item b.
- If you responded "**No**" **SECTION 2, Items c and d**, you must complete an "HSP Good Faith Effort - Method B (Attachment B)" for **each** of the subcontracting opportunities you listed in SECTION 2, Item b.

Section 4: Affirmation

Read, sign and date to affirm the information you provided is true and correct.

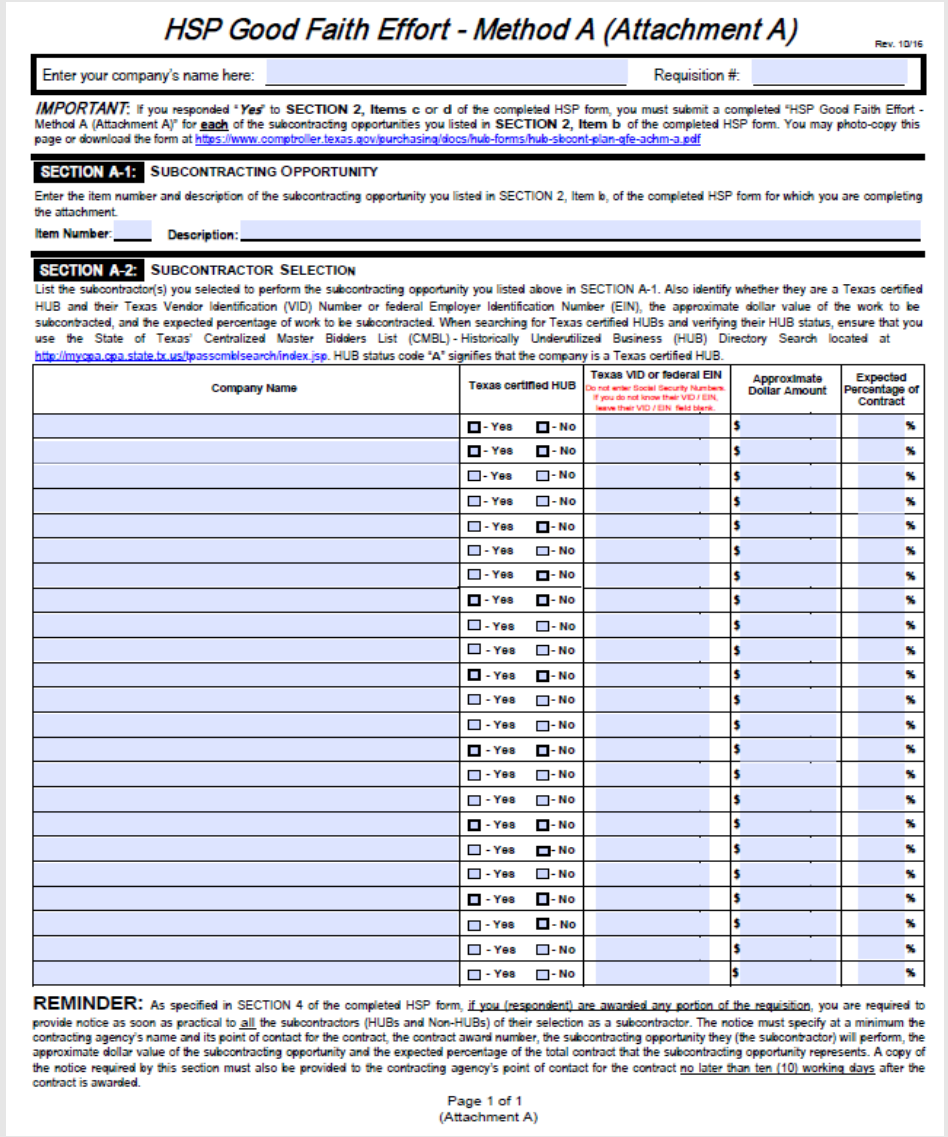
Move on to "HSP Good Faith Effort - Method A (Attachment A)"

HSP Completion: Method A - Meeting TxDOT's HUB Goal

HSP Good Faith Effort - Method A (Attachment A)

Section A-1
List the information requested for the subcontracting opportunity.

Section A-2
Provide all information requested.



HSP Good Faith Effort - Method A (Attachment A)

Rev. 10/16

Enter your company's name here: _____ Requisition #: _____

IMPORTANT: If you responded "*Yes*" to **SECTION 2, Items c** or **d** of the completed HSP form, you must submit a completed "HSP Good Faith Effort - Method A (Attachment A)" for **each** of the subcontracting opportunities you listed in **SECTION 2, Item b** of the completed HSP form. You may photo-copy this page or download the form at https://www.comptroller.texas.gov/purchasing/docs/hub-forms/hub-sbcont-plan-gfe-achm-a.pdf

SECTION A-1: SUBCONTRACTING OPPORTUNITY

Enter the item number and description of the subcontracting opportunity you listed in SECTION 2, Item b, of the completed HSP form for which you are completing the attachment.

Item Number: ____ **Description:** _____

SECTION A-2: SUBCONTRACTOR SELECTION

List the subcontractor(s) you selected to perform the subcontracting opportunity you listed above in SECTION A-1. Also identify whether they are a Texas certified HUB and their Texas Vendor Identification (VID) Number or federal Employer Identification Number (EIN), the approximate dollar value of the work to be subcontracted, and the expected percentage of work to be subcontracted. When searching for Texas certified HUBs and verifying their HUB status, ensure that you use the State of Texas' Centralized Master Bidders List (CMBL) - Historically Underutilized Business (HUB) Directory Search located at http://mycpa.cpa.state.tx.us/tpasscmblsearch/index.jsp. HUB status code "A" signifies that the company is a Texas certified HUB.

Company Name	Texas certified HUB	Texas VID or federal EIN (Do not enter Social Security Numbers. If you do not know their VID / EIN, leave their VID / EIN field blank.)	Approximate Dollar Amount	Expected Percentage of Contract
	☐ - Yes ☐ - No		$	%
	☐ - Yes ☐ - No		$	%
	☐ - Yes ☐ - No		$	%
	☐ - Yes ☐ - No		$	%
	☐ - Yes ☐ - No		$	%
	☐ - Yes ☐ - No		$	%
	☐ - Yes ☐ - No		$	%
	☐ - Yes ☐ - No		$	%
	☐ - Yes ☐ - No		$	%
	☐ - Yes ☐ - No		$	%
	☐ - Yes ☐ - No		$	%
	☐ - Yes ☐ - No		$	%
	☐ - Yes ☐ - No		$	%
	☐ - Yes ☐ - No		$	%
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	☐ - Yes ☐ - No		$	%
	☐ - Yes ☐ - No		$	%
	☐ - Yes ☐ - No		$	%
	☐ - Yes ☐ - No		$	%
	☐ - Yes ☐ - No		$	%

REMINDER: As specified in SECTION 4 of the completed HSP form, if you (respondent) are awarded any portion of the requisition, you are required to provide notice as soon as practical to all the subcontractors (HUBs and Non-HUBs) of their selection as a subcontractor. The notice must specify at a minimum the contracting agency's name and its point of contact for the contract, the contract award number, the subcontracting opportunity they (the subcontractor) will perform, the approximate dollar value of the subcontracting opportunity and the expected percentage of the total contract that the subcontracting opportunity represents. A copy of the notice required by this section must also be provided to the contracting agency's point of contact for the contract no later than ten (10) working days after the contract is awarded.

Page 1 of 1
(Attachment A)

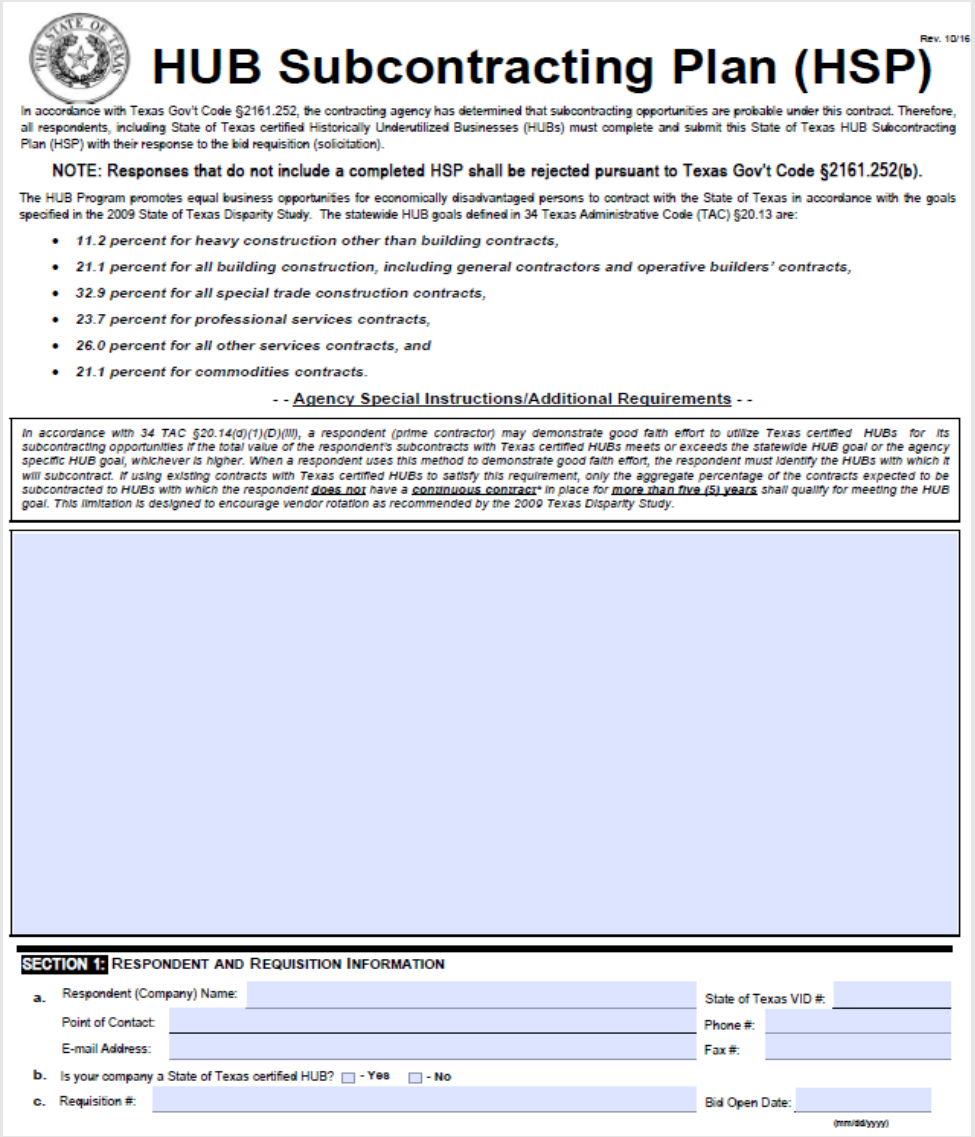
Method B - HSP Completion by Solicitation/Notification

If you are subcontracting with HUBs and Non-HUBs, and you do not meet or exceed the aggregate percentage (HUB Goal) of subcontracting with HUBs, complete the following :

- Section 1 – Respondent and Requisition Information (Page 1);
- Section 2a – Yes, I will be subcontracting portions of the contract (Page 2);
- Section 2b – List all the portions of work you will subcontract, and indicate the percentage of the contract you expect to award to HUB vendors (Page 2 and the continuation sheet as needed);
- Section 2c – No, I will not be using only Texas certified HUBs to perform **all** of the subcontracting opportunities listed (Page 2);
- Section 2d – No, the aggregate expected percentage of the contract you will subcontract with Texas certified HUBs, which you have a continuous contract in place for five (5) years or less, does not meet or exceed the HUB goal in the solicitation (Page 2)
- Section 4 – Affirmation that all information and supporting documentation submitted is true and correct (Page 3); and,
- HSP GFE Method B (Attachment B) – Complete this attachment for each subcontracting opportunity (Page 1 of 1).

Method B - HSP Completion by Solicitation/Notification

Page 1



Rev. 10/16

HUB Subcontracting Plan (HSP)

In accordance with Texas Gov't Code §2161.252, the contracting agency has determined that subcontracting opportunities are probable under this contract. Therefore, all respondents, including State of Texas certified Historically Underutilized Businesses (HUBs) must complete and submit this State of Texas HUB Subcontracting Plan (HSP) with their response to the bid requisition (solicitation).

NOTE: Responses that do not include a completed HSP shall be rejected pursuant to Texas Gov't Code §2161.252(b).

The HUB Program promotes equal business opportunities for economically disadvantaged persons to contract with the State of Texas in accordance with the goals specified in the 2009 State of Texas Disparity Study. The statewide HUB goals defined in 34 Texas Administrative Code (TAC) §20.13 are:

- *11.2 percent for heavy construction other than building contracts,*
- *21.1 percent for all building construction, including general contractors and operative builders' contracts,*
- *32.9 percent for all special trade construction contracts,*
- *23.7 percent for professional services contracts,*
- *26.0 percent for all other services contracts, and*
- *21.1 percent for commodities contracts.*

- - Agency Special Instructions/Additional Requirements - -

In accordance with 34 TAC §20.14(d)(1)(D)(iii), a respondent (prime contractor) may demonstrate good faith effort to utilize Texas certified HUBs for its subcontracting opportunities if the total value of the respondent's subcontracts with Texas certified HUBs meets or exceeds the statewide HUB goal or the agency specific HUB goal, whichever is higher. When a respondent uses this method to demonstrate good faith effort, the respondent must identify the HUBs with which it will subcontract. If using existing contracts with Texas certified HUBs to satisfy this requirement, only the aggregate percentage of the contracts expected to be subcontracted to HUBs with which the respondent does not have a continuous contract in place for more than five (5) years shall qualify for meeting the HUB goal. This limitation is designed to encourage vendor rotation as recommended by the 2009 Texas Disparity Study.*

SECTION 1: RESPONDENT AND REQUISITION INFORMATION

a. Respondent (Company) Name: State of Texas VID #:
Point of Contact: Phone #:
E-mail Address: Fax #:

b. Is your company a State of Texas certified HUB? ☐ - Yes ☐ - No

c. Requisition #: Bid Open Date: (mm/dd/yyyy)

Section 1: Respondent and Requisition Information
Complete all information requested.

Method B - HSP Completion by Solicitation/Notification

Page 2
Enter your Company's name and the requisition #.
(*Enter this information on each subsequent page.*)

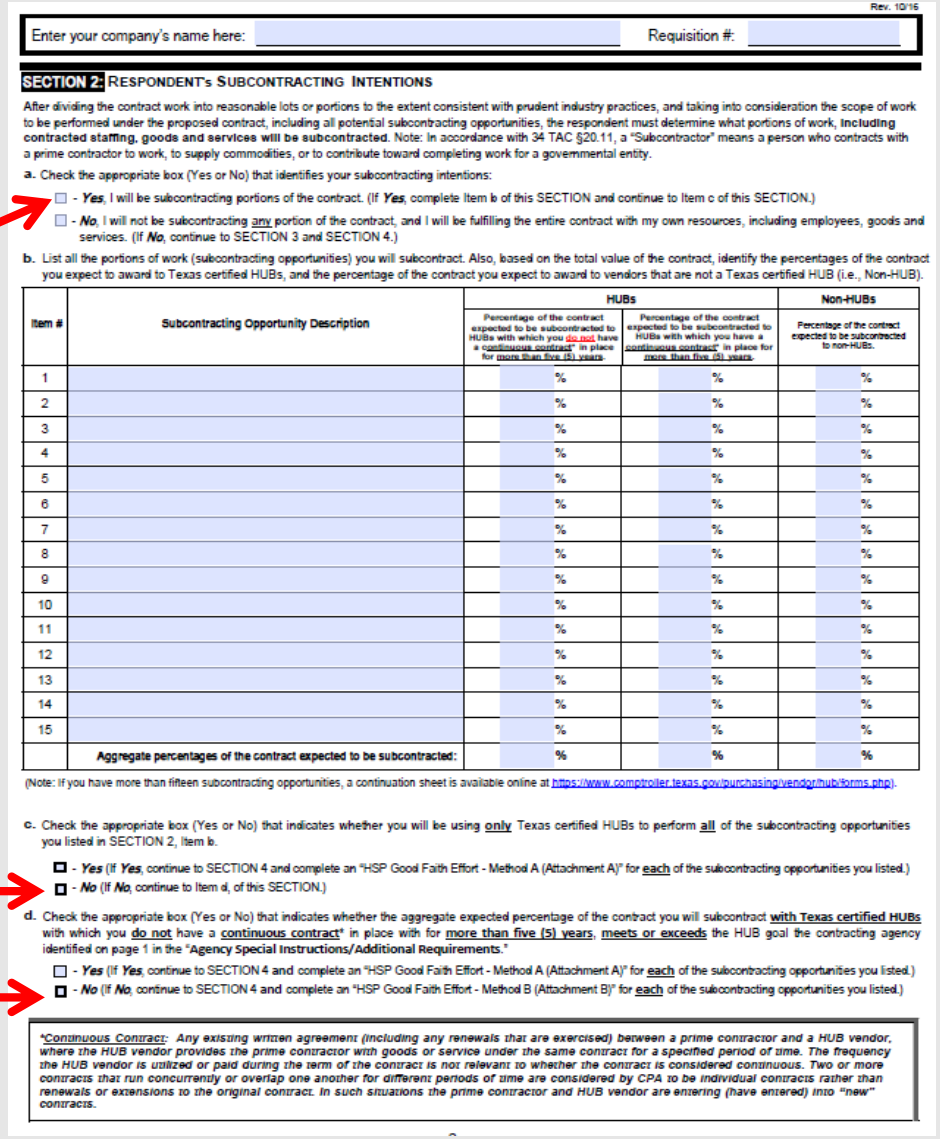
Section 2: Respondents Subcontracting Intentions

2a: √ Yes, I will be subcontracting portions of the contract.

2b: List all the portions of work you will be subcontracting to HUBs and Non-HUBs and the % of the contract you expect to award.

2c: √ No, to indicate you will NOT be only using HUBs.

2d: √ No, you will not meet or exceed the HUB Goal.



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Enter your company's name here: _____ Requisition #: _____

SECTION 2: RESPONDENT'S SUBCONTRACTING INTENTIONS

After dividing the contract work into reasonable lots or portions to the extent consistent with prudent industry practices, and taking into consideration the scope of work to be performed under the proposed contract, including all potential subcontracting opportunities, the respondent must determine what portions of work, **including contracted staffing, goods and services will be subcontracted**. Note: In accordance with 34 TAC §20.11, a "Subcontractor" means a person who contracts with a prime contractor to work, to supply commodities, or to contribute toward completing work for a governmental entity.

a. Check the appropriate box (Yes or No) that identifies your subcontracting intentions:

☐ - ***Yes***, I will be subcontracting portions of the contract. (If ***Yes***, complete Item b of this SECTION and continue to Item c of this SECTION.)

☐ - ***No***, I will not be subcontracting any portion of the contract, and I will be fulfilling the entire contract with my own resources, including employees, goods and services. (If ***No***, continue to SECTION 3 and SECTION 4.)

b. List all the portions of work (subcontracting opportunities) you will subcontract. Also, based on the total value of the contract, identify the percentages of the contract you expect to award to Texas certified HUBs, and the percentage of the contract you expect to award to vendors that are not a Texas certified HUB (i.e., Non-HUB).

Item #	Subcontracting Opportunity Description	HUBs		Non-HUBs
		Percentage of the contract expected to be subcontracted to HUBs with which you do not have a "continuous contract" in place for more than five (5) years.	Percentage of the contract expected to be subcontracted to HUBs with which you have a "continuous contract" in place for more than five (5) years.	Percentage of the contract expected to be subcontracted to non-HUBs.
1		%	%	%
2		%	%	%
3		%	%	%
4		%	%	%
5		%	%	%
6		%	%	%
7		%	%	%
8		%	%	%
9		%	%	%
10		%	%	%
11		%	%	%
12		%	%	%
13		%	%	%
14		%	%	%
15		%	%	%
	Aggregate percentages of the contract expected to be subcontracted:	%	%	%

(Note: If you have more than fifteen subcontracting opportunities, a continuation sheet is available online at https://www.comptroller.texas.gov/purchasing/vendor/hub/forms.php).

c. Check the appropriate box (Yes or No) that indicates whether you will be using only Texas certified HUBs to perform all of the subcontracting opportunities you listed in SECTION 2, Item b.

☐ - ***Yes*** (If ***Yes***, continue to SECTION 4 and complete an "HSP Good Faith Effort - Method A (Attachment A)" for each of the subcontracting opportunities you listed.)

☐ - ***No*** (If ***No***, continue to Item d, of this SECTION.)

d. Check the appropriate box (Yes or No) that indicates whether the aggregate expected percentage of the contract you will subcontract with Texas certified HUBs with which you do not have a continuous contract* in place with for more than five (5) years, meets or exceeds the HUB goal the contracting agency identified on page 1 in the "**Agency Special Instructions/Additional Requirements.**"

☐ - ***Yes*** (If ***Yes***, continue to SECTION 4 and complete an "HSP Good Faith Effort - Method A (Attachment A)" for each of the subcontracting opportunities you listed.)

☐ - ***No*** (If ***No***, continue to SECTION 4 and complete an "HSP Good Faith Effort - Method B (Attachment B)" for each of the subcontracting opportunities you listed.)

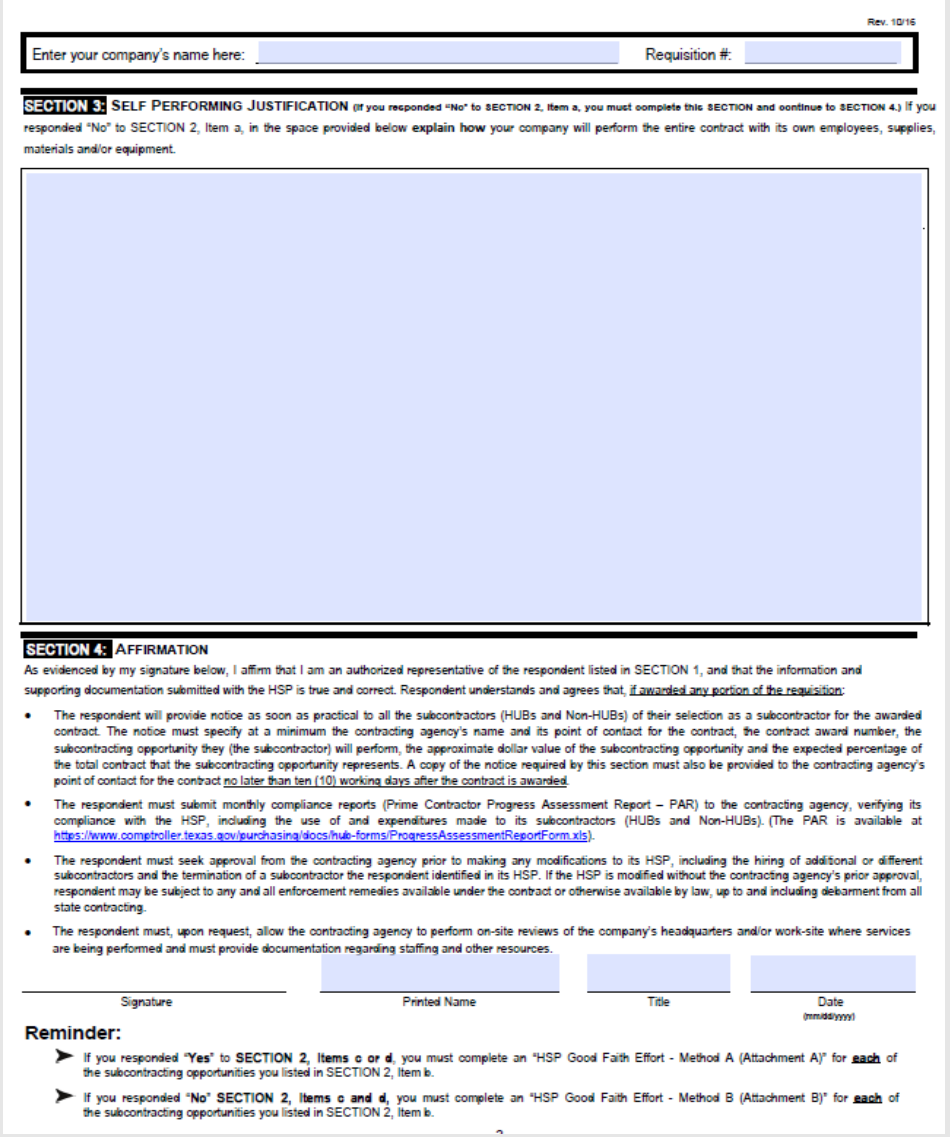
*Continuous Contract: Any existing written agreement (including any renewals that are exercised) between a prime contractor and a HUB vendor, where the HUB vendor provides the prime contractor with goods or service under the same contract for a specified period of time. The frequency the HUB vendor is utilized or paid during the term of the contract is not relevant to whether the contract is considered continuous. Two or more contracts that run concurrently or overlap one another for different periods of time are considered by CPA to be individual contracts rather than renewals or extensions to the original contract. In such situations the prime contractor and HUB vendor are entering (have entered) into "new" contracts.

Method B - HSP Completion by Solicitation/Notification

Affirmation
Page 3, Section 4

Read, sign and date to affirm the information you provided is true and correct.

Move on to "HSP Good Faith Effort - Method B (Attachment B)"



Rev. 10/16

Enter your company's name here: _____ Requisition #: _____

SECTION 3: SELF PERFORMING JUSTIFICATION (If you responded "No" to SECTION 2, Item a, you must complete this SECTION and continue to SECTION 4.) If you responded "No" to SECTION 2, Item a, in the space provided below **explain how** your company will perform the entire contract with its own employees, supplies, materials and/or equipment.

SECTION 4: AFFIRMATION

As evidenced by my signature below, I affirm that I am an authorized representative of the respondent listed in SECTION 1, and that the information and supporting documentation submitted with the HSP is true and correct. Respondent understands and agrees that, if awarded any portion of the requisition:

- The respondent will provide notice as soon as practical to all the subcontractors (HUBs and Non-HUBs) of their selection as a subcontractor for the awarded contract. The notice must specify at a minimum the contracting agency's name and its point of contact for the contract, the contract award number, the subcontracting opportunity they (the subcontractor) will perform, the approximate dollar value of the subcontracting opportunity and the expected percentage of the total contract that the subcontracting opportunity represents. A copy of the notice required by this section must also be provided to the contracting agency's point of contact for the contract no later than ten (10) working days after the contract is awarded.
- The respondent must submit monthly compliance reports (Prime Contractor Progress Assessment Report – PAR) to the contracting agency, verifying its compliance with the HSP, including the use of and expenditures made to its subcontractors (HUBs and Non-HUBs). (The PAR is available at https://www.comptroller.texas.gov/purchasing/docs/hub-forms/ProgressAssessmentReportForm.xls).
- The respondent must seek approval from the contracting agency prior to making any modifications to its HSP, including the hiring of additional or different subcontractors and the termination of a subcontractor the respondent identified in its HSP. If the HSP is modified without the contracting agency's prior approval, respondent may be subject to any and all enforcement remedies available under the contract or otherwise available by law, up to and including debarment from all state contracting.
- The respondent must, upon request, allow the contracting agency to perform on-site reviews of the company's headquarters and/or work-site where services are being performed and must provide documentation regarding staffing and other resources.

Signature | Printed Name | Title | Date (mm/dd/yyyy)

Reminder:

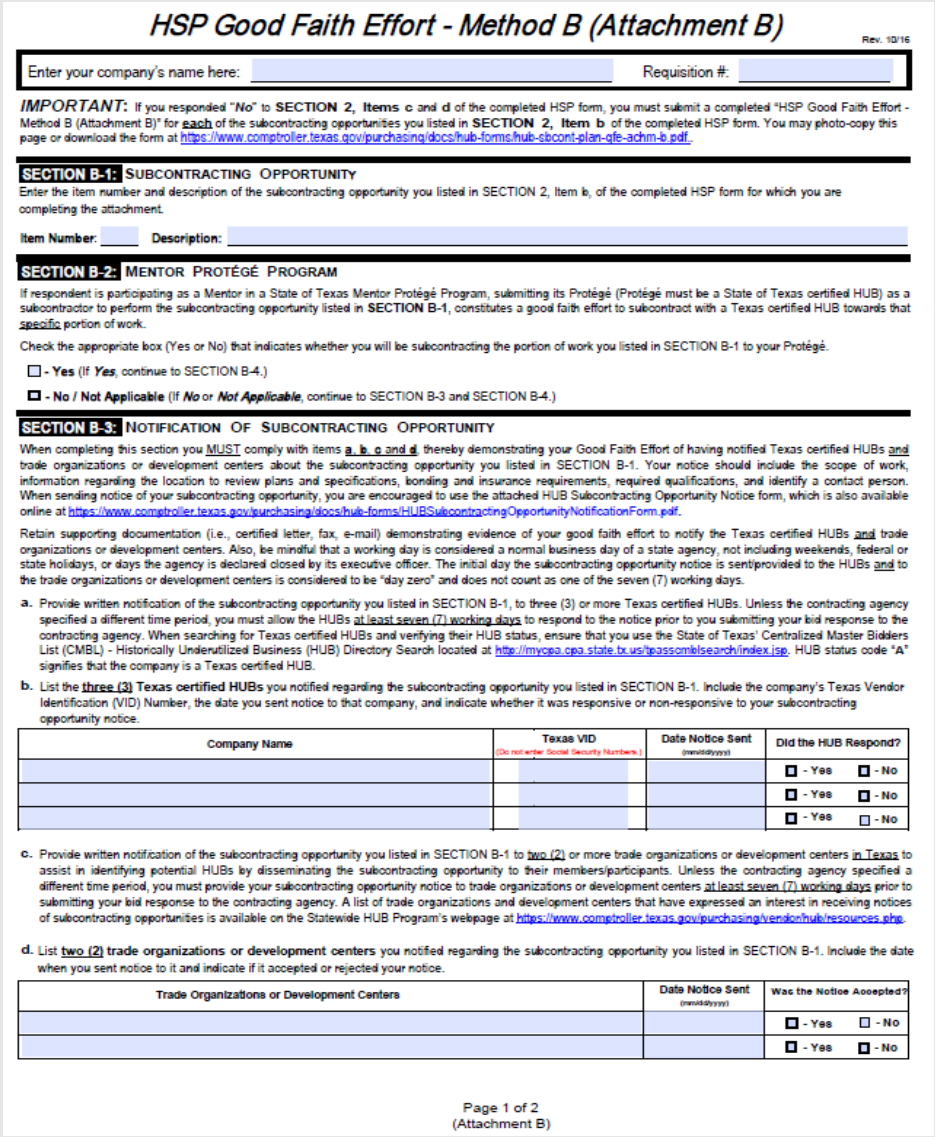
- If you responded "**Yes**" to **SECTION 2, Items c or d**, you must complete an "HSP Good Faith Effort - Method A (Attachment A)" for **each** of the subcontracting opportunities you listed in SECTION 2, Item b.
- If you responded "**No**" **SECTION 2, Items c and d**, you must complete an "HSP Good Faith Effort - Method B (Attachment B)" for **each** of the subcontracting opportunities you listed in SECTION 2, Item b.

Method B - HSP Completion by Solicitation/Notification

HSP Good Faith Effort – Method B (Attachment B), Page 1 of 2

Section B-1: Subcontracting Opportunity
Complete the information requested.

Section B-2 : Mentor Protégé Program : If you are using your HUB Protégé, mark Yes and continue to Section B-4. *HSP God Faith Effort – Method B (Attachment B), Page 2 of 2* *IF YOU MARK NO, CONTINUE TO SECTION B-3 and SECTION B-4*



HSP Good Faith Effort - Method B (Attachment B)

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Enter your company's name here: _____ Requisition #: _____

IMPORTANT: If you responded "***No***" to **SECTION 2, Items c** and **d** of the completed HSP form, you must submit a completed "HSP Good Faith Effort - Method B (Attachment B)" for **each** of the subcontracting opportunities you listed in **SECTION 2, Item b** of the completed HSP form. You may photo-copy this page or download the form at https://www.comptroller.texas.gov/purchasing/docs/hub-forms/hub-sbcont-plan-gfe-achm-b.pdf.

SECTION B-1: SUBCONTRACTING OPPORTUNITY

Enter the item number and description of the subcontracting opportunity you listed in SECTION 2, Item b, of the completed HSP form for which you are completing the attachment.

Item Number: ____ **Description:** _____

SECTION B-2: MENTOR PROTÉGÉ PROGRAM

If respondent is participating as a Mentor in a State of Texas Mentor Protégé Program, submitting its Protégé (Protégé must be a State of Texas certified HUB) as a subcontractor to perform the subcontracting opportunity listed in **SECTION B-1**, constitutes a good faith effort to subcontract with a Texas certified HUB towards that specific portion of work.

Check the appropriate box (Yes or No) that indicates whether you will be subcontracting the portion of work you listed in SECTION B-1 to your Protégé.

☐ - **Yes** (If ***Yes***, continue to SECTION B-4.)

☐ - **No / Not Applicable** (If ***No*** or ***Not Applicable***, continue to SECTION B-3 and SECTION B-4.)

SECTION B-3: NOTIFICATION OF SUBCONTRACTING OPPORTUNITY

When completing this section you MUST comply with items **a, b, c and d**, thereby demonstrating your Good Faith Effort of having notified Texas certified HUBs and trade organizations or development centers about the subcontracting opportunity you listed in SECTION B-1. Your notice should include the scope of work, information regarding the location to review plans and specifications, bonding and insurance requirements, required qualifications, and identify a contact person. When sending notice of your subcontracting opportunity, you are encouraged to use the attached HUB Subcontracting Opportunity Notice form, which is also available online at https://www.comptroller.texas.gov/purchasing/docs/hub-forms/HUBSubcontractingOpportunityNotificationForm.pdf.

Retain supporting documentation (i.e., certified letter, fax, e-mail) demonstrating evidence of your good faith effort to notify the Texas certified HUBs and trade organizations or development centers. Also, be mindful that a working day is considered a normal business day of a state agency, not including weekends, federal or state holidays, or days the agency is declared closed by its executive officer. The initial day the subcontracting opportunity notice is sent/provided to the HUBs and to the trade organizations or development centers is considered to be "day zero" and does not count as one of the seven (7) working days.

a. Provide written notification of the subcontracting opportunity you listed in SECTION B-1, to three (3) or more Texas certified HUBs. Unless the contracting agency specified a different time period, you must allow the HUBs at least seven (7) working days to respond to the notice prior to you submitting your bid response to the contracting agency. When searching for Texas certified HUBs and verifying their HUB status, ensure that you use the State of Texas' Centralized Master Bidders List (CMBL) - Historically Underutilized Business (HUB) Directory Search located at http://mycpa.cpa.state.tx.us/tpasscmblsearch/index.jsp. HUB status code "A" signifies that the company is a Texas certified HUB.

b. List the **three (3) Texas certified HUBs** you notified regarding the subcontracting opportunity you listed in SECTION B-1. Include the company's Texas Vendor Identification (VID) Number, the date you sent notice to that company, and indicate whether it was responsive or non-responsive to your subcontracting opportunity notice.

Company Name	Texas VID (Do not enter Social Security Numbers.)	Date Notice Sent (mm/dd/yyyy)	Did the HUB Respond?
			☐ - Yes ☐ - No
			☐ - Yes ☐ - No
			☐ - Yes ☐ - No

c. Provide written notification of the subcontracting opportunity you listed in SECTION B-1 to two (2) or more trade organizations or development centers in Texas to assist in identifying potential HUBs by disseminating the subcontracting opportunity to their members/participants. Unless the contracting agency specified a different time period, you must provide your subcontracting opportunity notice to trade organizations or development centers at least seven (7) working days prior to submitting your bid response to the contracting agency. A list of trade organizations and development centers that have expressed an interest in receiving notices of subcontracting opportunities is available on the Statewide HUB Program's webpage at https://www.comptroller.texas.gov/purchasing/vendor/hub/resources.php.

d. List **two (2) trade organizations or development centers** you notified regarding the subcontracting opportunity you listed in SECTION B-1. Include the date when you sent notice to it and indicate if it accepted or rejected your notice.

Trade Organizations or Development Centers	Date Notice Sent (mm/dd/yyyy)	Was the Notice Accepted?
		☐ - Yes ☐ - No
		☐ - Yes ☐ - No

Page 1 of 2
(Attachment B)

Method B - HSP Completion by Solicitation/Notification

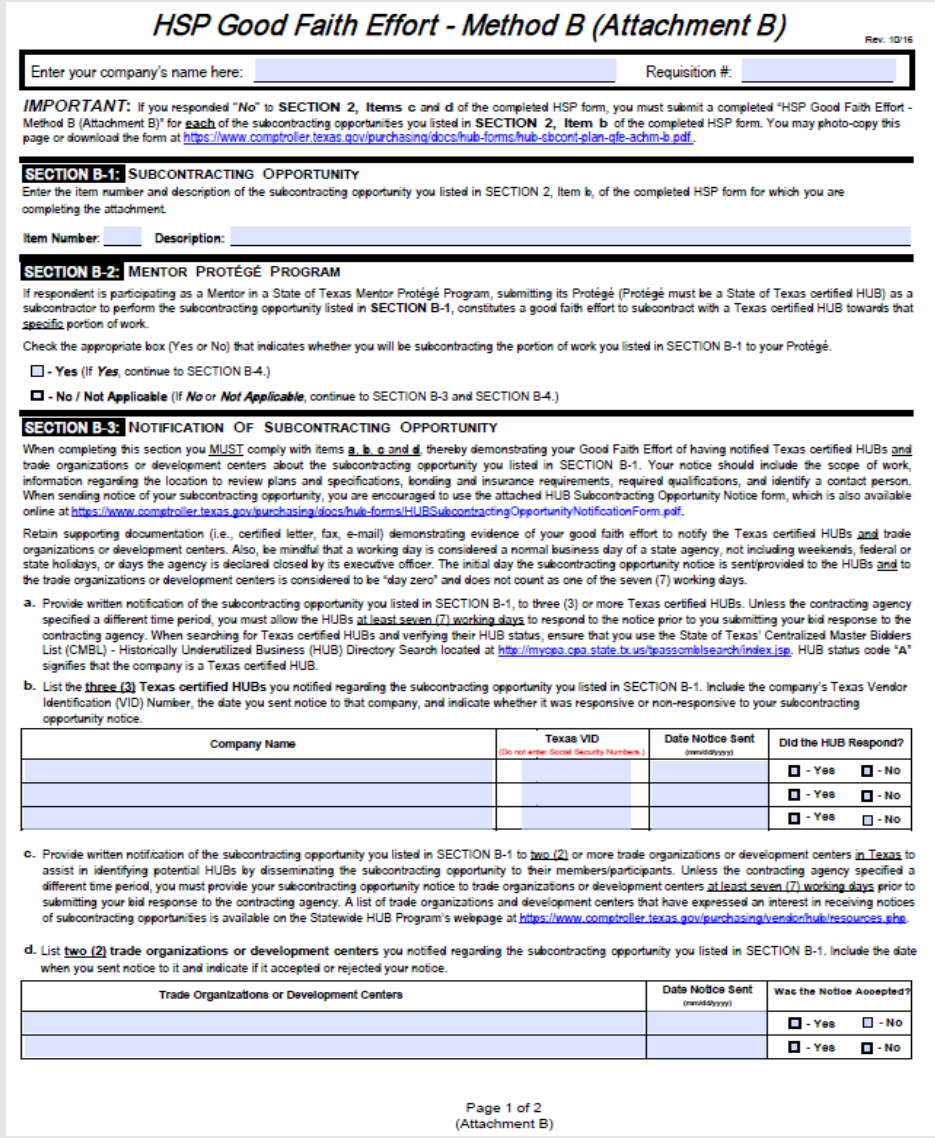
Section B-3: Notification of Subcontracting Opportunity
You must comply with Items a, b, c and d. Retain documentation demonstrating evidence of your good faith effort. You are encouraged to use the Notification Form located at the link provided or included.

a. Allow the HUBs at least seven (7) working days to respond. The initial day notice is sent is considered “day zero” and does not count as one of the seven (7) working days.

b. List 3 HUBs contacted for subcontracting opportunities.

c. provide your subcontracting opportunity notice to trade organizations or development centers at least seven (7) working days prior to submitting your bid response

d. List two trade organizations contacted for these subcontracting opportunities



HSP Good Faith Effort - Method B (Attachment B)

Rev. 10/16

Enter your company's name here: _____ Requisition #: _____

IMPORTANT: If you responded "***No***" to **SECTION 2, Items c** and **d** of the completed HSP form, you must submit a completed "HSP Good Faith Effort - Method B (Attachment B)" for **each** of the subcontracting opportunities you listed in **SECTION 2, Item b** of the completed HSP form. You may photo-copy this page or download the form at https://www.comptroller.texas.gov/purchasing/docs/hub-forms/hub-sbcont-plan-gfe-achm-b.pdf.

SECTION B-1: SUBCONTRACTING OPPORTUNITY

Enter the item number and description of the subcontracting opportunity you listed in SECTION 2, Item b, of the completed HSP form for which you are completing the attachment.

Item Number: ____ **Description:** _____

SECTION B-2: MENTOR PROTÉGÉ PROGRAM

If respondent is participating as a Mentor in a State of Texas Mentor Protégé Program, submitting its Protégé (Protégé must be a State of Texas certified HUB) as a subcontractor to perform the subcontracting opportunity listed in **SECTION B-1**, constitutes a good faith effort to subcontract with a Texas certified HUB towards that specific portion of work.

Check the appropriate box (Yes or No) that indicates whether you will be subcontracting the portion of work you listed in SECTION B-1 to your Protégé.

☐ - **Yes** (If ***Yes***, continue to SECTION B-4.)

☐ - **No / Not Applicable** (If ***No*** or ***Not Applicable***, continue to SECTION B-3 and SECTION B-4.)

SECTION B-3: NOTIFICATION OF SUBCONTRACTING OPPORTUNITY

When completing this section you MUST comply with items **a, b, c and d**, thereby demonstrating your Good Faith Effort of having notified Texas certified HUBs and trade organizations or development centers about the subcontracting opportunity you listed in SECTION B-1. Your notice should include the scope of work, information regarding the location to review plans and specifications, bonding and insurance requirements, required qualifications, and identify a contact person. When sending notice of your subcontracting opportunity, you are encouraged to use the attached HUB Subcontracting Opportunity Notice form, which is also available online at https://www.comptroller.texas.gov/purchasing/docs/hub-forms/HUBSubcontractingOpportunityNotificationForm.pdf.

Retain supporting documentation (i.e., certified letter, fax, e-mail) demonstrating evidence of your good faith effort to notify the Texas certified HUBs and trade organizations or development centers. Also, be mindful that a working day is considered a normal business day of a state agency, not including weekends, federal or state holidays, or days the agency is declared closed by its executive officer. The initial day the subcontracting opportunity notice is sent/provided to the HUBs and to the trade organizations or development centers is considered to be "day zero" and does not count as one of the seven (7) working days.

a. Provide written notification of the subcontracting opportunity you listed in SECTION B-1, to three (3) or more Texas certified HUBs. Unless the contracting agency specified a different time period, you must allow the HUBs at least seven (7) working days to respond to the notice prior to you submitting your bid response to the contracting agency. When searching for Texas certified HUBs and verifying their HUB status, ensure that you use the State of Texas' Centralized Master Bidders List (CMBL) - Historically Underutilized Business (HUB) Directory Search located at http://mycpa.cpa.state.tx.us/tpasscmblsearch/index.jsp. HUB status code "A" signifies that the company is a Texas certified HUB.

b. List the **three (3) Texas certified HUBs** you notified regarding the subcontracting opportunity you listed in SECTION B-1. Include the company's Texas Vendor Identification (VID) Number, the date you sent notice to that company, and indicate whether it was responsive or non-responsive to your subcontracting opportunity notice.

Company Name	Texas VID (Do not enter Social Security Numbers.)	Date Notice Sent (mm/dd/yyyy)	Did the HUB Respond?
			☐ - Yes ☐ - No
			☐ - Yes ☐ - No
			☐ - Yes ☐ - No

c. Provide written notification of the subcontracting opportunity you listed in SECTION B-1 to two (2) or more trade organizations or development centers in Texas to assist in identifying potential HUBs by disseminating the subcontracting opportunity to their members/participants. Unless the contracting agency specified a different time period, you must provide your subcontracting opportunity notice to trade organizations or development centers at least seven (7) working days prior to submitting your bid response to the contracting agency. A list of trade organizations and development centers that have expressed an interest in receiving notices of subcontracting opportunities is available on the Statewide HUB Program's webpage at https://www.comptroller.texas.gov/purchasing/vendor/hub/resources.php.

d. List **two (2) trade organizations or development centers** you notified regarding the subcontracting opportunity you listed in SECTION B-1. Include the date when you sent notice to it and indicate if it accepted or rejected your notice.

Trade Organizations or Development Centers	Date Notice Sent (mm/dd/yyyy)	Was the Notice Accepted?
		☐ - Yes ☐ - No
		☐ - Yes ☐ - No

Page 1 of 2
(Attachment B)

Method B - HSP Completion by Solicitation/Notification

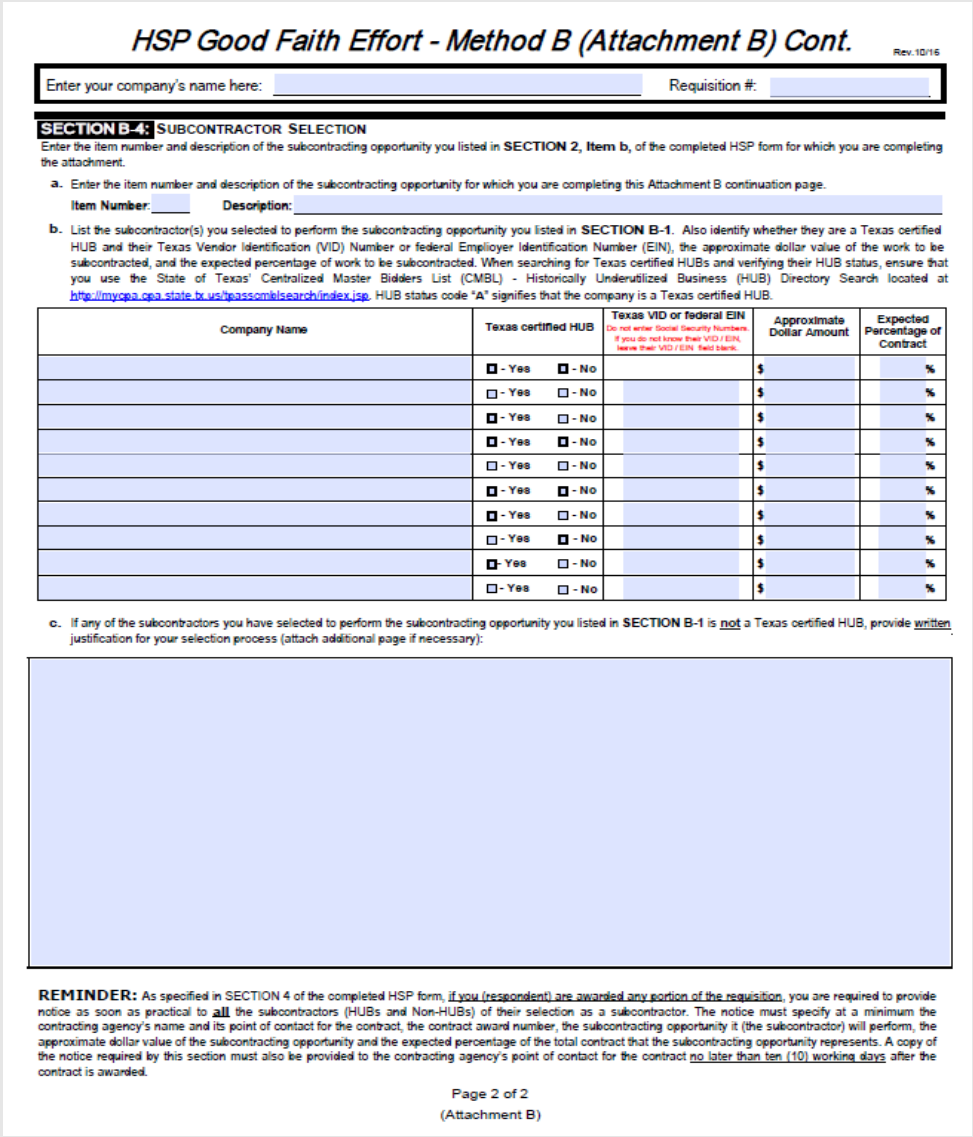
HSP God Faith Effort – Method B (Attachment B), Page 2 of 2

Section B-4: Subcontractor Selection

a. Subcontracting opportunity information

b. Enter each selected subcontractor and provide all the information requested.

c. Provide written justification as to why a HUB was not selected for this subcontracting opportunity.



HSP Good Faith Effort - Method B (Attachment B) Cont. Rev.10/15

Enter your company's name here: _____ Requisition #: _____

SECTION B-4: SUBCONTRACTOR SELECTION

Enter the item number and description of the subcontracting opportunity you listed in **SECTION 2, Item b,** of the completed HSP form for which you are completing the attachment.

a. Enter the item number and description of the subcontracting opportunity for which you are completing this Attachment B continuation page.

Item Number: ____ **Description:** _____

b. List the subcontractor(s) you selected to perform the subcontracting opportunity you listed in **SECTION B-1**. Also identify whether they are a Texas certified HUB and their Texas Vendor Identification (VID) Number or federal Employer Identification Number (EIN), the approximate dollar value of the work to be subcontracted, and the expected percentage of work to be subcontracted. When searching for Texas certified HUBs and verifying their HUB status, ensure that you use the State of Texas' Centralized Master Bidders List (CMBL) - Historically Underutilized Business (HUB) Directory Search located at http://mycpa.cpa.state.tx.us/tpasscmblsearch/index.jsp. HUB status code "A" signifies that the company is a Texas certified HUB.

Company Name	Texas certified HUB	Texas VID or federal EIN (Do not enter Social Security Numbers. If you do not know their VID / EIN, leave their VID / EIN field blank.)	Approximate Dollar Amount	Expected Percentage of Contract
	☐ - Yes ☐ - No		$	%
	☐ - Yes ☐ - No		$	%
	☐ - Yes ☐ - No		$	%
	☐ - Yes ☐ - No		$	%
	☐ - Yes ☐ - No		$	%
	☐ - Yes ☐ - No		$	%
	☐ - Yes ☐ - No		$	%
	☐ - Yes ☐ - No		$	%
	☐ - Yes ☐ - No		$	%
	☐ - Yes ☐ - No		$	%

c. If any of the subcontractors you have selected to perform the subcontracting opportunity you listed in **SECTION B-1** is not a Texas certified HUB, provide written justification for your selection process (attach additional page if necessary):

REMINDER: As specified in SECTION 4 of the completed HSP form, if you (respondent) are awarded any portion of the requisition, you are required to provide notice as soon as practical to **all** the subcontractors (HUBs and Non-HUBs) of their selection as a subcontractor. The notice must specify at a minimum the contracting agency's name and its point of contact for the contract, the contract award number, the subcontracting opportunity it (the subcontractor) will perform, the approximate dollar value of the subcontracting opportunity and the expected percentage of the total contract that the subcontracting opportunity represents. A copy of the notice required by this section must also be provided to the contracting agency's point of contact for the contract no later than ten (10) working days after the contract is awarded.

Page 2 of 2
(Attachment B)

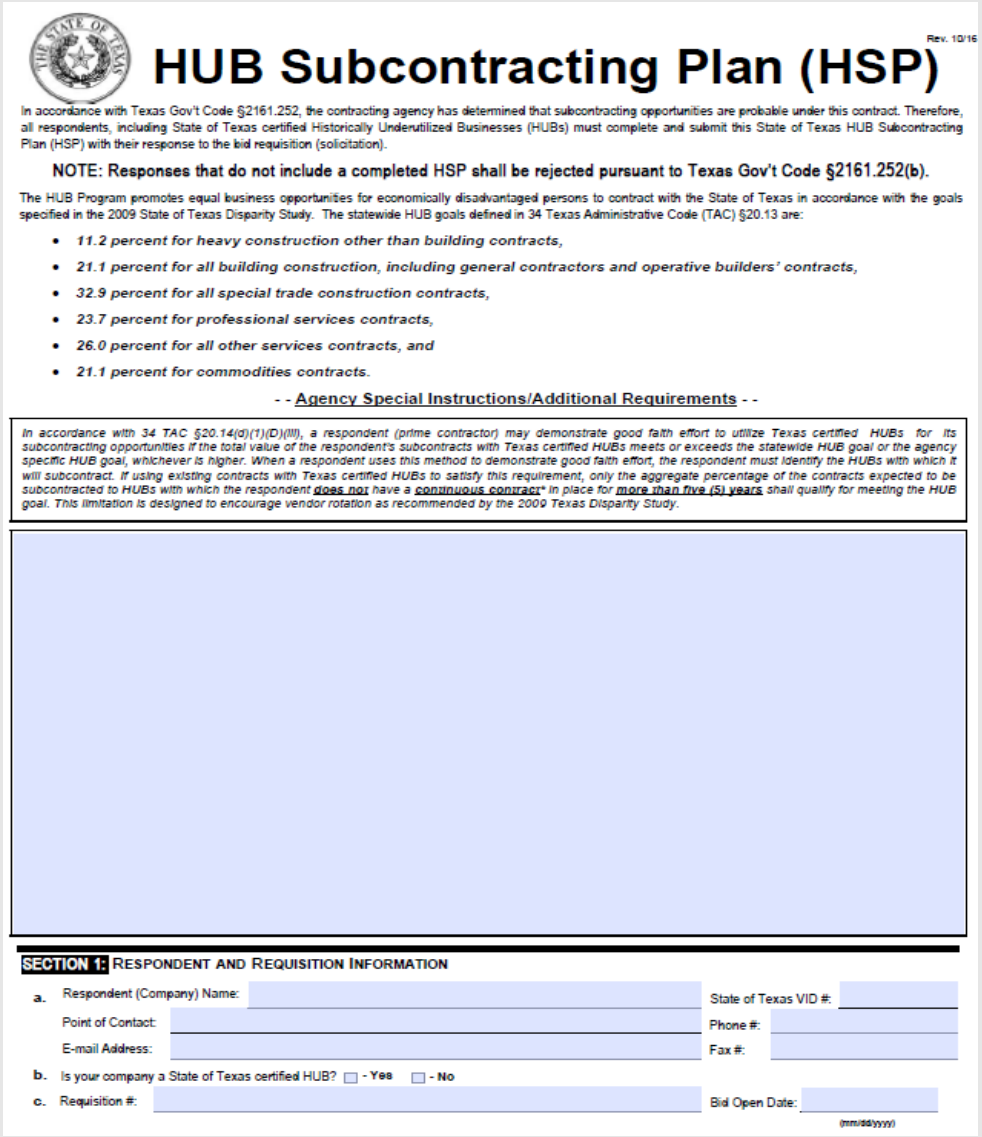
HSP Completion: Self-Performing

If you are not subcontracting any portion of the contract and will be fulfilling the entire contract with your own resources (i.e., equipment, supplies, materials, and/or employees), complete the following in the HSP:

- Section 1 – Respondent and Requisition Information (Page 1);
- Section 2 a – No, I will not be subcontracting any portion of the contract, and I will be fulfilling the entire contract with my own resources (Page 2);
- Section 3 – Self Performing Justification that explains how your company will fulfill the entire contract with its own resources (Page 3); and,
- Section 4 – Affirmation that all information and supporting documentation submitted is true and correct (Page 3).

HSP Completion: Self-Performing

Page 1



Rev. 10/16

HUB Subcontracting Plan (HSP)

In accordance with Texas Gov't Code §2161.252, the contracting agency has determined that subcontracting opportunities are probable under this contract. Therefore, all respondents, including State of Texas certified Historically Underutilized Businesses (HUBs) must complete and submit this State of Texas HUB Subcontracting Plan (HSP) with their response to the bid requisition (solicitation).

NOTE: Responses that do not include a completed HSP shall be rejected pursuant to Texas Gov't Code §2161.252(b).

The HUB Program promotes equal business opportunities for economically disadvantaged persons to contract with the State of Texas in accordance with the goals specified in the 2009 State of Texas Disparity Study. The statewide HUB goals defined in 34 Texas Administrative Code (TAC) §20.13 are:

- *11.2 percent for heavy construction other than building contracts,*
- *21.1 percent for all building construction, including general contractors and operative builders' contracts,*
- *32.9 percent for all special trade construction contracts,*
- *23.7 percent for professional services contracts,*
- *26.0 percent for all other services contracts, and*
- *21.1 percent for commodities contracts.*

- - Agency Special Instructions/Additional Requirements - -

In accordance with 34 TAC §20.14(d)(1)(D)(iii), a respondent (prime contractor) may demonstrate good faith effort to utilize Texas certified HUBs for its subcontracting opportunities if the total value of the respondent's subcontracts with Texas certified HUBs meets or exceeds the statewide HUB goal or the agency specific HUB goal, whichever is higher. When a respondent uses this method to demonstrate good faith effort, the respondent must identify the HUBs with which it will subcontract. If using existing contracts with Texas certified HUBs to satisfy this requirement, only the aggregate percentage of the contracts expected to be subcontracted to HUBs with which the respondent does not have a continuous contract in place for more than five (5) years shall qualify for meeting the HUB goal. This limitation is designed to encourage vendor rotation as recommended by the 2009 Texas Disparity Study.*

SECTION 1: RESPONDENT AND REQUISITION INFORMATION

a. Respondent (Company) Name: _____ State of Texas VID #: _____

Point of Contact: _____ Phone #: _____

E-mail Address: _____ Fax #: _____

b. Is your company a State of Texas certified HUB? ☐ - Yes ☐ - No

c. Requisition #: _____ Bid Open Date: _____ (mm/dd/yyyy)

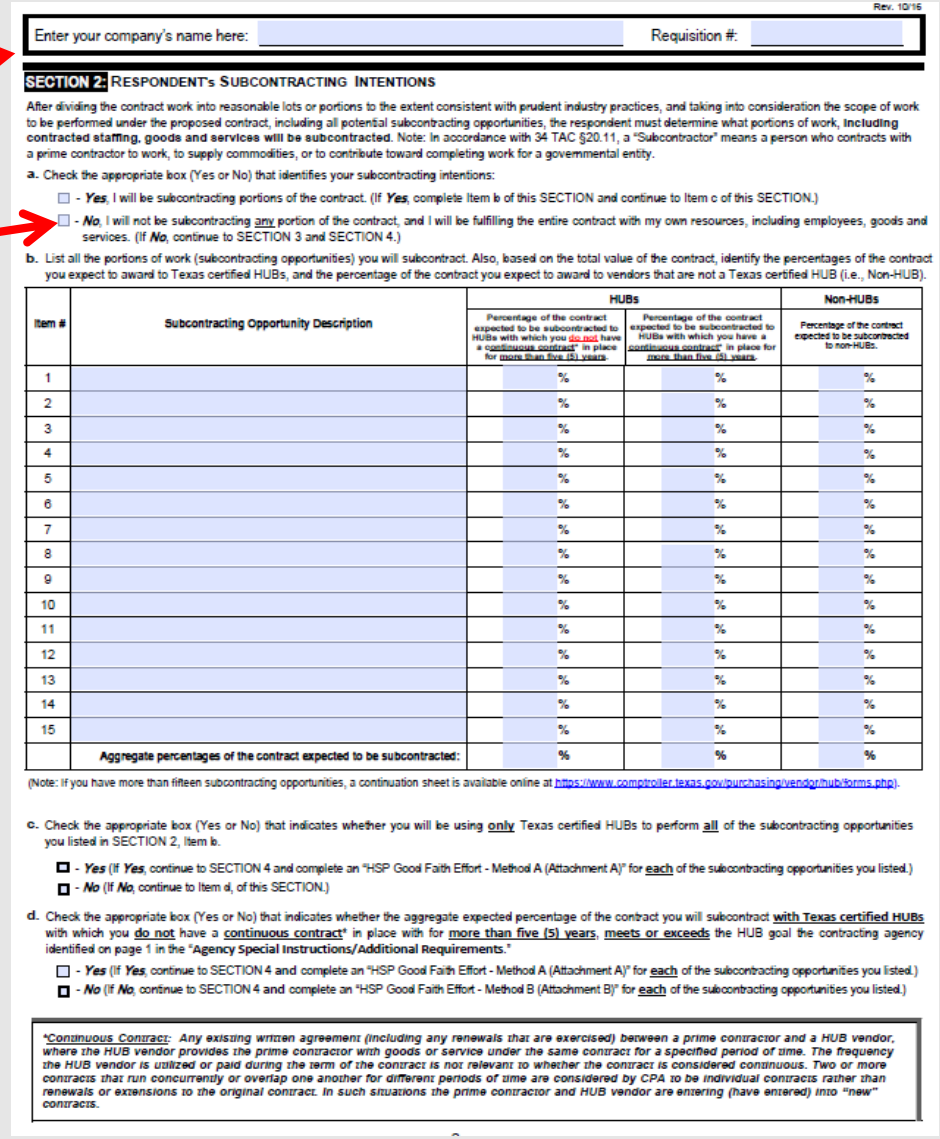
Section 1: Respondent and Requisition Information
Complete all information requested.

HSP Completion: Self-Performing

Page 2
Enter your Company's name and the requisition #.
(*Enter this information on each subsequent page*.)

Respondents Subcontracting Intentions
Section 2a: √ No, I will not be subcontracting any portion of the contract.

Move on to Page 3, Section 3



Rev. 10/16

Enter your company's name here: _____ Requisition #: _____

SECTION 2: RESPONDENT'S SUBCONTRACTING INTENTIONS

After dividing the contract work into reasonable lots or portions to the extent consistent with prudent industry practices, and taking into consideration the scope of work to be performed under the proposed contract, including all potential subcontracting opportunities, the respondent must determine what portions of work, **including contracted staffing, goods and services will be subcontracted**. Note: In accordance with 34 TAC §20.11, a "Subcontractor" means a person who contracts with a prime contractor to work, to supply commodities, or to contribute toward completing work for a governmental entity.

a. Check the appropriate box (Yes or No) that identifies your subcontracting intentions:

☐ - ***Yes***, I will be subcontracting portions of the contract. (If ***Yes***, complete Item b of this SECTION and continue to Item c of this SECTION.)

☐ - ***No***, I will not be subcontracting any portion of the contract, and I will be fulfilling the entire contract with my own resources, including employees, goods and services. (If ***No***, continue to SECTION 3 and SECTION 4.)

b. List all the portions of work (subcontracting opportunities) you will subcontract. Also, based on the total value of the contract, identify the percentages of the contract you expect to award to Texas certified HUBs, and the percentage of the contract you expect to award to vendors that are not a Texas certified HUB (i.e., Non-HUB).

Item #	Subcontracting Opportunity Description	HUBs		Non-HUBs
		Percentage of the contract expected to be subcontracted to HUBs with which you do not have a "continuous contract" in place for more than five (5) years.	Percentage of the contract expected to be subcontracted to HUBs with which you have a "continuous contract" in place for more than five (5) years.	Percentage of the contract expected to be subcontracted to non-HUBs.
1		%	%	%
2		%	%	%
3		%	%	%
4		%	%	%
5		%	%	%
6		%	%	%
7		%	%	%
8		%	%	%
9		%	%	%
10		%	%	%
11		%	%	%
12		%	%	%
13		%	%	%
14		%	%	%
15		%	%	%
	Aggregate percentages of the contract expected to be subcontracted:	%	%	%

(Note: If you have more than fifteen subcontracting opportunities, a continuation sheet is available online at https://www.comptroller.texas.gov/purchasing/vendor/hub/forms.php).

c. Check the appropriate box (Yes or No) that indicates whether you will be using **only** Texas certified HUBs to perform **all** of the subcontracting opportunities you listed in SECTION 2, Item b.

☐ - ***Yes*** (If ***Yes***, continue to SECTION 4 and complete an "HSP Good Faith Effort - Method A (Attachment A)" for **each** of the subcontracting opportunities you listed.)

☐ - ***No*** (If ***No***, continue to Item d, of this SECTION.)

d. Check the appropriate box (Yes or No) that indicates whether the aggregate expected percentage of the contract you will subcontract **with Texas certified HUBs** with which you **do not** have a **continuous contract*** in place with for **more than five (5) years**, **meets or exceeds** the HUB goal the contracting agency identified on page 1 in the "**Agency Special Instructions/Additional Requirements.**"

☐ - ***Yes*** (If ***Yes***, continue to SECTION 4 and complete an "HSP Good Faith Effort - Method A (Attachment A)" for **each** of the subcontracting opportunities you listed.)

☐ - ***No*** (If ***No***, continue to SECTION 4 and complete an "HSP Good Faith Effort - Method B (Attachment B)" for **each** of the subcontracting opportunities you listed.)

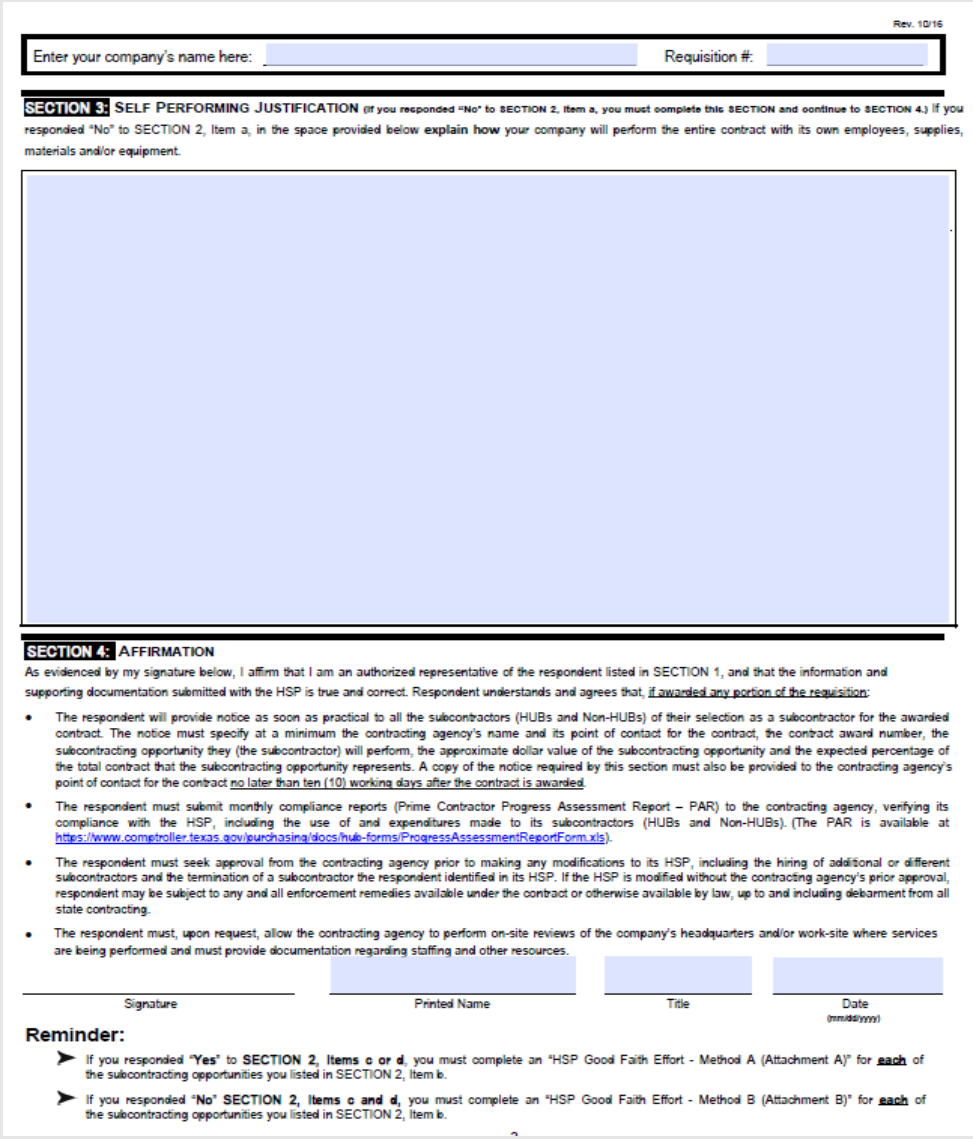
*Continuous Contract: Any existing written agreement (including any renewals that are exercised) between a prime contractor and a HUB vendor, where the HUB vendor provides the prime contractor with goods or service under the same contract for a specified period of time. The frequency the HUB vendor is utilized or paid during the term of the contract is not relevant to whether the contract is considered continuous. Two or more contracts that run concurrently or overlap one another for different periods of time are considered by CPA to be individual contracts rather than renewals or extensions to the original contract. In such situations the prime contractor and HUB vendor are entering (have entered) into "new" contracts.

HSP Completion: Self-Performing

Page 3

Section 3: Self Performing Justification
In the space provided, list the specific page(s)/section(s) of your proposal response, which explains how your company will perform the entire contract with its own equipment, supplies, materials and/or employees.

Section 4: Affirmation
Read, sign and date to affirm the information you provided is true and correct.



Rev. 10/16

Enter your company's name here: _____ Requisition #: _____

SECTION 3: SELF PERFORMING JUSTIFICATION (If you responded "No" to SECTION 2, Item a, you must complete this SECTION and continue to SECTION 4.) If you responded "No" to SECTION 2, Item a, in the space provided below **explain how** your company will perform the entire contract with its own employees, supplies, materials and/or equipment.

SECTION 4: AFFIRMATION

As evidenced by my signature below, I affirm that I am an authorized representative of the respondent listed in SECTION 1, and that the information and supporting documentation submitted with the HSP is true and correct. Respondent understands and agrees that, if awarded any portion of the requisition:

- The respondent will provide notice as soon as practical to all the subcontractors (HUBs and Non-HUBs) of their selection as a subcontractor for the awarded contract. The notice must specify at a minimum the contracting agency's name and its point of contact for the contract, the contract award number, the subcontracting opportunity they (the subcontractor) will perform, the approximate dollar value of the subcontracting opportunity and the expected percentage of the total contract that the subcontracting opportunity represents. A copy of the notice required by this section must also be provided to the contracting agency's point of contact for the contract no later than ten (10) working days after the contract is awarded.
- The respondent must submit monthly compliance reports (Prime Contractor Progress Assessment Report – PAR) to the contracting agency, verifying its compliance with the HSP, including the use of and expenditures made to its subcontractors (HUBs and Non-HUBs). (The PAR is available at https://www.comptroller.texas.gov/purchasing/docs/hub-forms/ProgressAssessmentReportForm.xls).
- The respondent must seek approval from the contracting agency prior to making any modifications to its HSP, including the hiring of additional or different subcontractors and the termination of a subcontractor the respondent identified in its HSP. If the HSP is modified without the contracting agency's prior approval, respondent may be subject to any and all enforcement remedies available under the contract or otherwise available by law, up to and including debarment from all state contracting.
- The respondent must, upon request, allow the contracting agency to perform on-site reviews of the company's headquarters and/or work-site where services are being performed and must provide documentation regarding staffing and other resources.

Signature | Printed Name | Title | Date (mm/dd/yyyy)

Reminder:

- If you responded "**Yes**" to **SECTION 2, Items c or d**, you must complete an "HSP Good Faith Effort - Method A (Attachment A)" for **each** of the subcontracting opportunities you listed in SECTION 2, Item b.
- If you responded "**No**" **SECTION 2, Items c and d**, you must complete an "HSP Good Faith Effort - Method B (Attachment B)" for **each** of the subcontracting opportunities you listed in SECTION 2, Item b.

HUB SUBCONTRACTING PLAN

For the most current HSP go to:

https://www.comptroller.texas.gov/purchasing/docs/hub-forms/hub-sbcont-plan-allfms.pdf

CONTACT INFORMATION

Texas Department of Transportation

Civil Rights Division

125 East 11th St.

Austin, TX 78701

(512) 416-4700

CIV_HUB@txdot.gov

www.txdot.gov

Lunch

Lunch options

Note: Submit questions to question box

A click deeper into key sections of the RFP document…

We're going to walk through key documents on both websites

Texas Comptroller website

RFP document	Instructions
	Statement of Work
	Attachment A: Current Environment
	Attachments B1-8: Service Requirements
	Attachment C: Case Studies
	Attachment D: Reference Documents
	Attachment E: Confidentiality Agreement
	Schedule 2: Execution of Proposal
	Schedule 4: Texas Family Code
	Terms and Conditions
	Attachment E: HUB Participation
Schedule 1	Pricing template
Schedule 3	Key Response Information

TxDOT's FTP website

Pre-RFP Information Session	Pre-RFP Information Session recording
	Pre-RFP Information Session attendance list
RFP Supplement Information	Information Resources Security Compliance and Confidentiality Agreement
	Attachment D (exe)
	Attachment D (zip)
	FAQ
	Intent to Bid form
	Pre-Response Conference Information Sheet

RFP response sections, format & guidelines

Section	Format	Max. page count allowed
Section 1: Schedule 1 – Pricing	Excel template	• Not applicable
Section 2: Schedule 2 – Original, signed and dated Execution of proposal	PDF template	• Not applicable
Section 3: HUB Subcontracting Plan	PDF template	• Not applicable
Section 4: Delivery Plan	Word	• For 1 service cluster submission: – 1-pg. executive summary – 5-pg. roadmap – 2-pg. organization chart • For 2+ service clusters submission: – 2-pg. executive summary – 5-pg. roadmap for Infra IT (if applicable) – 3-pg. roadmap per non-Infra IT cluster – 4-pg. organization chart
Section 5: Service Cluster Capabilities	Word	• For Infra IT service cluster: – 4-pg. response for Infra IT • For non-Infra IT service clusters: – 2-pg. response per cluster
Section 6: Schedule 3 – Key Response Information	Excel template	• Not applicable
Section 7: Case Studies	PowerPoint	• 5 pgs. per case study
Section 8: Business Continuity & Disaster Recovery Plan	Word	• 2 pgs. per response
Section 9: Quality Assurance Plan	Word	• 2 pgs. per response
Section 10: Financial Standing	Respondent discretion	• Not applicable • Must include most recent 3 years statements
Section 11: Certifications, Permits & Licenses	Respondent discretion	• Not applicable • May include only relevant documents

Overall response guidelines

Respondent shall submit…

1. One (1) original hard copy (marked "Original"), tab-indexed in a binder
2. One (1) original on a flash drive
3. One (1) copy (marked "Copy) on a flash drive, containing only Sections 4-9

For Sections 4, 5, 7, 8 and 9, page limits are determined by service clusters for which a respondent is submitting a response

If a respondent is providing a response across all service clusters, the total page count for these sections may NOT exceed 74 pages

Important dates to have in mind…

Deadline to submit initial questions	June 15, 2018
Deadline to RSVP to Pre-Response Conference	June 15, 2018
Date of Pre-Response Conference	June 20, 2018
Deadline to submit Intent to Bid form	June 22, 2018
Deadline to submit subsequent questions	June 22, 2018
TxDOT response to all questions posted	June 27, 2018
Deadline to submit response	July 20, 2018

Pricing

Today we'd like to:

1. Review frequently asked questions regarding schedule 1 & 3
2. Provide an explanation of each major section
3. Demonstrate how to accurately complete schedule 1 & 3

Schedule 1: Pricing Template

Important takeaways

1. We are asking for pricing information now because this is the only opportunity for respondents to submit pricing
2. We are asking for baseline and transformation pricing across transition and service delivery phases

Respondent is expected to …

1. Provide pricing for each service cluster assuming the respondent is awarded *only* that service cluster; there is an opportunity to indicate discount pricing contingent upon award of multiple service clusters
2. Complete the template in its entirety to ensure accurate scoring
3. Do not alter the template in any way

Some key FAQs around the pricing template (I)

1. Why is TxDOT collecting so much pricing information?
   - Given state regulations for the purchase of services, TxDOT is only allowed to request pricing once – the response submission is the only opportunity for respondents to submit pricing prior to negotiations
2. How does a respondent indicate which service clusters they would like to submit a response for?
   - On the response (2 Resp) tab – select from the drop down menu (YES / NO) to indicate which service clusters a respondent would like to submit a response for
3. What is the difference between the Baseline (4 Bpric) and Transformation (7 Tpric)?
   - Baseline pricing (4 Bpric) and transformation pricing (7 Tpric) are two scenarios
   - Baseline pricing (4 Bpric) requires pricing inputs across all quarters of the 5-year range based on the predetermined baseline volumes (5 Bvol)
   - Transformation pricing (7 Tpric) requires pricing inputs across all quarters of the 5-year range that reflect the impact of any proposed transformation/innovation initiatives as well as any expected productivity gains due to increased familiarity with the environment
4. What if a respondent does not have transformation (7 Tpric) pricing?
   - Respondent should copy over their responses from the baseline pricing (4 Bpric) and baseline volumes (5 Bvol) tabs
5. What is the difference between transition (9 Trans) and transformation (10 transform)?
   - Transition (9 trans) pricing should include the cost associated with successfully transitioning from the current operating model to a state of managed IT outsourced services, using a Walk-In, Take-Over (WITO) approach
   - Transformation (10 transform) includes potential initiatives and the associated cost needed to reach the target future state for each service cluster and associated environment to drive cost savings and performance improvements

Some key FAQs around the pricing template (II)

6 What if a respondent is bidding on multiple service clusters and that impacts their pricing?

- Values should reflect respondent's proposed pricing for each discrete service cluster; baseline, transition & transformation pricing should not reflect any discount that might be associated with being awarded multiple service clusters

7 How will a respondent's pricing submission be evaluated?

- Pricing submissions will be evaluated at the resource unit level by service cluster
- Pricing evaluation makes up 20% of each service clusters overall evaluation

8 What does each resource unit/service mean for B1. Infrastructure IT?

- As an addendum, we will share an Infrastructure IT Service matrix to align the pricing units used in the pricing template with the service activities outlined in the RFP (Attachment B1)

9 How can a respondent reflect a discount if awarded multiple service clusters?

- On the Discount (12 Disc) tab respondents who are submitting responses for multiple service clusters have the opportunity to enter a service delivery volume discount range given increased economies of scale and potential enterprise revenue

10 Where does a respondent price in their overhead or fixed cost?

- Respondent's pricing should be all-inclusive across each resource unit, including any and all associated cost

Tab requiring vendor input
Tab requiring review but **NOT** input

Outline of pricing template

Once respondent has entered their company name on the 1 Inst tab, it will flow throughout the rest of the template

Category	Tab	Description
Reference for respondents	1 Inst	Overview of the templates instructions
	2 Resp	Outline of which service clusters a respondent is bidding on
Baseline pricing response	3 BSum	Summarizes respondents annual baseline pricing responses
	4 BPric	Respondents submit their Unit Based Billing (UBB) rates
	5 BVol	Contains fixed volumes for baseline comparison
Transformation pricing response	6 TSum	Summarizes respondents annual transformation pricing response
	7 TPric	Respondents submit their transformation UBB rates based on their projected transformation volumes
	8 TVol	Respondents submit their projected transformation volumes
Additional pricing responses	9 Trans	Respondents submit their estimated transition cost per service cluster
	10 Transform	Respondents propose transformation initiatives and provide cost estimates
	11 RC	Respondents submit rates per role on the rate card
	12 Disc	Respondents submit a service delivery discount range
	13 Assump	Respondents submit any additional assumptions
Definitions	Rate card definitions	Defines each role within the rate card

Total cost calculation methodologies

Baseline summary (3 Bsum)

To calculate the Total baseline price we will complete the following at the line item level:

(4 Bpric) x (5 Bvol) + (9 Trans)

- 4 Bpric = Baseline Pricing
- 5 Bvol = Baseline Volumes
- 9 Trans = Transition Pricing

Transformation summary (6 Tsum)

To calculate the Total transformation price we will complete the following at the line item level:

(7 Tpric) x (8 Tvol) + (9 Trans) + (10 Transform)

- 7 Tpric = Transformation Pricing
- 8 Tvol = Transformation Volumes
- 9 Trans = Transition Pricing
- 10 Transform = Transformation Initiatives Pricing

Total cost calculation methodologies

Baseline summary (3 Bsum)

To calculate the Total baseline price we will complete the following at the line item level:

(4 Bpric) x (5 Bvol) + (9 Trans)

- 4 Bpric = Baseline Pricing
- 5 Bvol = Baseline Volumes
- 9 Trans = Transition Pricing

Transformation summary (6 Tsum)

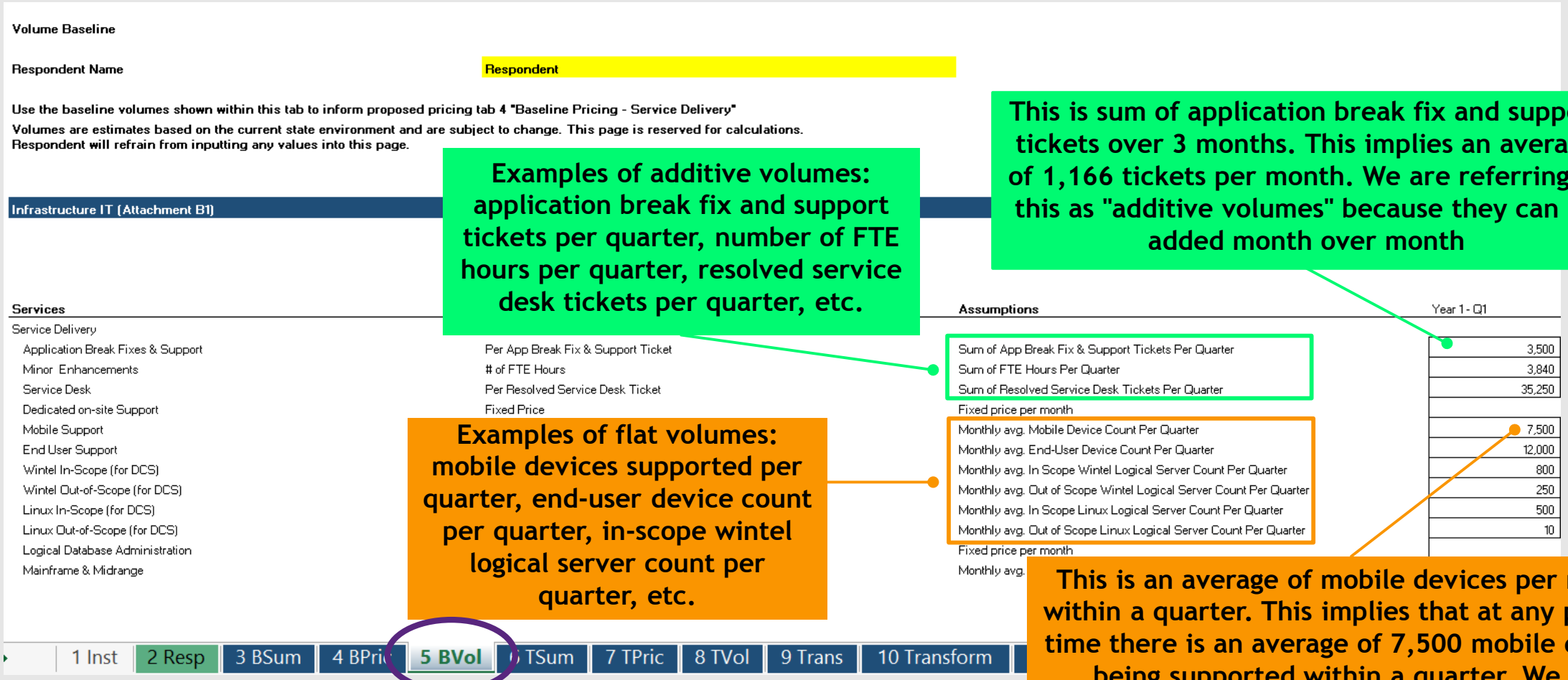
To calculate the Total transformation price we will complete the following at the line item level:

(7 Tpric) x (8 Tvol) + (9 Trans) + (10 Transform)

- 7 Tpric = Transformation Pricing
- 8 Tvol = Transformation Volumes
- 9 Trans = Transition Pricing
- 10 Transform = Transformation Initiatives Pricing

In the next few pages, we are going to discuss how both volume and total cost are calculated

Quarterly volumes are provided in two unique ways: additive and flat



Volume Baseline

Respondent Name: Respondent

Use the baseline volumes shown within this tab to inform proposed pricing tab 4 "Baseline Pricing - Service Delivery"
Volumes are estimates based on the current state environment and are subject to change. This page is reserved for calculations.
Respondent will refrain from inputting any values into this page.

Infrastructure IT (Attachment B1)

Services		Assumptions	Year 1 - Q1
Service Delivery			
Application Break Fixes & Support	Per App Break Fix & Support Ticket	Sum of App Break Fix & Support Tickets Per Quarter	3,500
Minor Enhancements	# of FTE Hours	Sum of FTE Hours Per Quarter	3,840
Service Desk	Per Resolved Service Desk Ticket	Sum of Resolved Service Desk Tickets Per Quarter	35,250
Dedicated on-site Support	Fixed Price	Fixed price per month	
Mobile Support		Monthly avg. Mobile Device Count Per Quarter	7,500
End User Support		Monthly avg. End-User Device Count Per Quarter	12,000
Wintel In-Scope (for DCS)		Monthly avg. In Scope Wintel Logical Server Count Per Quarter	800
Wintel Out-of-Scope (for DCS)		Monthly avg. Out of Scope Wintel Logical Server Count Per Quarter	250
Linux In-Scope (for DCS)		Monthly avg. In Scope Linux Logical Server Count Per Quarter	500
Linux Out-of-Scope (for DCS)		Monthly avg. Out of Scope Linux Logical Server Count Per Quarter	10
Logical Database Administration		Fixed price per month	
Mainframe & Midrange		Monthly avg.	

1 Inst | 2 Resp | 3 BSum | 4 BPric | 5 BVol | 6 TSum | 7 TPric | 8 TVol | 9 Trans | 10 Transform

Examples of additive volumes: application break fix and support tickets per quarter, number of FTE hours per quarter, resolved service desk tickets per quarter, etc.

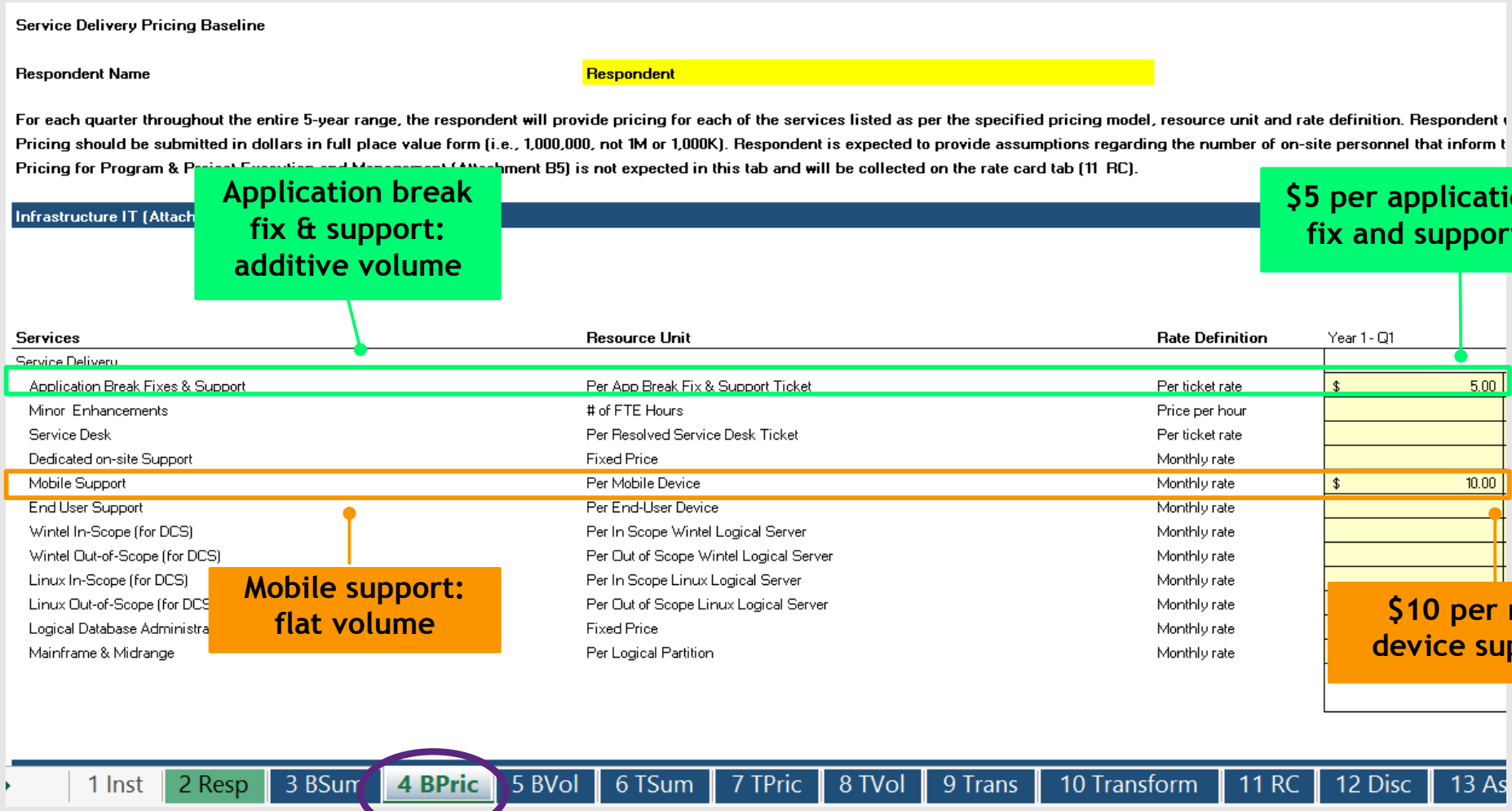
This is sum of application break fix and support tickets over 3 months. This implies an average of 1,166 tickets per month. We are referring to this as "additive volumes" because they can be added month over month

Examples of flat volumes: mobile devices supported per quarter, end-user device count per quarter, in-scope wintel logical server count per quarter, etc.

This is an average of mobile devices per month within a quarter. This implies that at any point in time there is an average of 7,500 mobile devices being supported within a quarter. We are referring to this as "flat volumes" because they cannot be added month over month

Additive volumes
Flat volumes

Rates are calculated based on volumes provided in tab 5 Bvol



Service Delivery Pricing Baseline

Respondent Name: Respondent

For each quarter throughout the entire 5-year range, the respondent will provide pricing for each of the services listed as per the specified pricing model, resource unit and rate definition. Respondent
Pricing should be submitted in dollars in full place value form (i.e., 1,000,000, not 1M or 1,000K). Respondent is expected to provide assumptions regarding the number of on-site personnel that inform t
Pricing for Program & P... ...hment B5) is not expected in this tab and will be collected on the rate card tab (11 RC).

Infrastructure IT (Attach

Application break fix & support: additive volume

$5 per application break fix and support ticket

Services	Resource Unit	Rate Definition	Year 1 - Q1
Service Delivery			
Application Break Fixes & Support	Per App Break Fix & Support Ticket	Per ticket rate	$ 5.00
Minor Enhancements	# of FTE Hours	Price per hour	
Service Desk	Per Resolved Service Desk Ticket	Per ticket rate	
Dedicated on-site Support	Fixed Price	Monthly rate	
Mobile Support	Per Mobile Device	Monthly rate	$ 10.00
End User Support	Per End-User Device	Monthly rate	
Wintel In-Scope (for DCS)	Per In Scope Wintel Logical Server	Monthly rate	
Wintel Out-of-Scope (for DCS)	Per Out of Scope Wintel Logical Server	Monthly rate	
Linux In-Scope (for DCS)	Per In Scope Linux Logical Server	Monthly rate	
Linux Out-of-Scope (for DCS	Per Out of Scope Linux Logical Server	Monthly rate	
Logical Database Administra	Fixed Price	Monthly rate	
Mainframe & Midrange	Per Logical Partition	Monthly rate	

Mobile support: flat volume

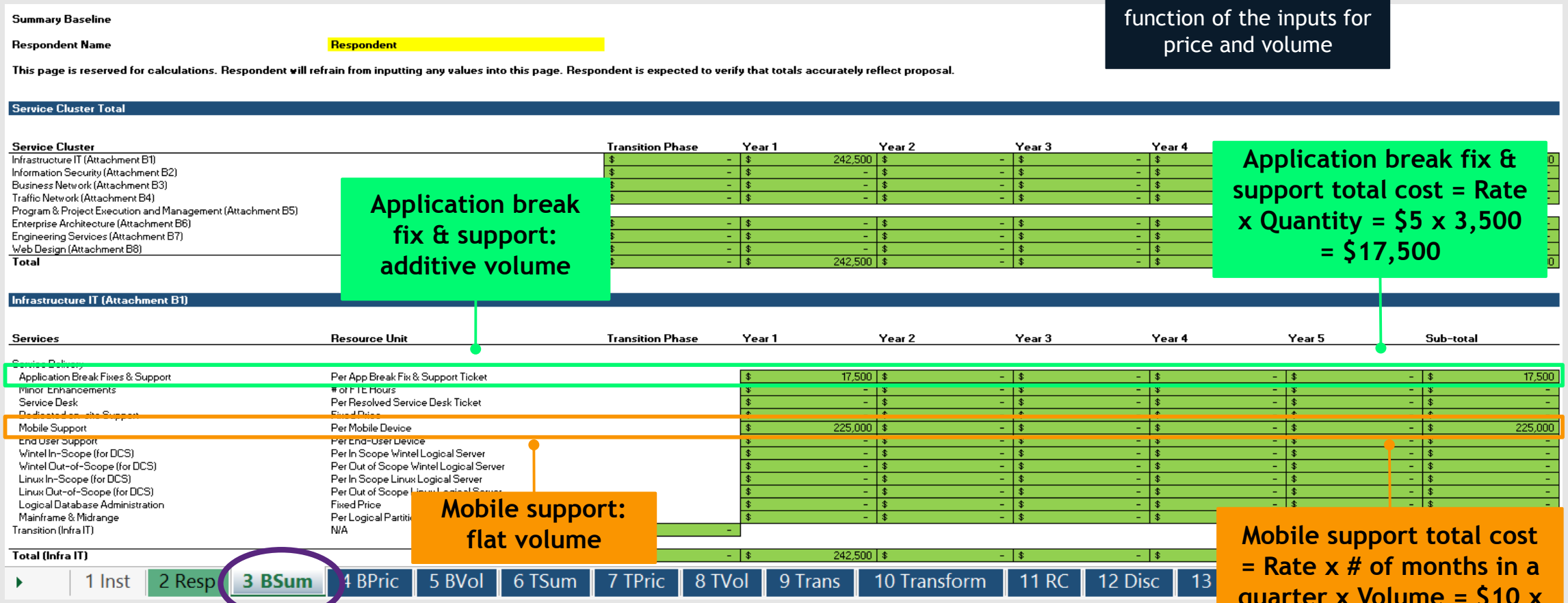
$10 per mobile device supported

1 Inst | 2 Resp | 3 BSum | 4 BPric | 5 BVol | 6 TSum | 7 TPric | 8 TVol | 9 Trans | 10 Transform | 11 RC | 12 Disc | 13 As

Additive volumes
Flat volumes

Total cost calculation method depends on reported volume type

All calculations are built into the model and are a function of the inputs for price and volume



Summary Baseline

Respondent Name: Respondent

This page is reserved for calculations. Respondent will refrain from inputting any values into this page. Respondent is expected to verify that totals accurately reflect proposal.

Service Cluster Total

Service Cluster	Transition Phase	Year 1	Year 2	Year 3	Year 4
Infrastructure IT (Attachment B1)	$ -	$ 242,500	$ -	$ -	$
Information Security (Attachment B2)	$ -	$ -	$ -	$ -	$
Business Network (Attachment B3)	$ -	$ -	$ -	$ -	$
Traffic Network (Attachment B4)	$ -	$ -	$ -	$ -	$
Program & Project Execution and Management (Attachment B5)					
Enterprise Architecture (Attachment B6)	$ -	$ -	$ -	$ -	$
Engineering Services (Attachment B7)	$ -	$ -	$ -	$ -	$
Web Design (Attachment B8)	$ -	$ -	$ -	$ -	$
Total	$ -	$ 242,500	$ -	$ -	$

Infrastructure IT (Attachment B1)

Services	Resource Unit	Transition Phase	Year 1	Year 2	Year 3	Year 4	Year 5	Sub-total
Application Break Fixes & Support	Per App Break Fix & Support Ticket		$ 17,500	$ -	$ -	$ -	$ -	$ 17,500
Minor Enhancements	# of FTE Hours		$ -	$ -	$ -	$ -	$ -	$ -
Service Desk	Per Resolved Service Desk Ticket		$ -	$ -	$ -	$ -	$ -	$ -
Mobile Support	Per Mobile Device		$ 225,000	$ -	$ -	$ -	$ -	$ 225,000
End User Support	Per End-User Device		$ -	$ -	$ -	$ -	$ -	$ -
Wintel In-Scope (for DCS)	Per In Scope Wintel Logical Server		$ -	$ -	$ -	$ -	$ -	$ -
Wintel Out-of-Scope (for DCS)	Per Out of Scope Wintel Logical Server		$ -	$ -	$ -	$ -	$ -	$ -
Linux In-Scope (for DCS)	Per In Scope Linux Logical Server		$ -	$ -	$ -	$ -	$ -	$ -
Linux Out-of-Scope (for DCS)	Per Out of Scope Linux Logical Server		$ -	$ -	$ -	$ -	$ -	$ -
Logical Database Administration	Fixed Price		$ -	$ -	$ -	$ -	$ -	$ -
Mainframe & Midrange	Per Logical Partiti		$ -	$ -	$ -	$		
Transition (Infra IT)	N/A	-						
Total (Infra IT)		-	$ 242,500	$ -	$ -	$		

1 Inst | 2 Resp | 3 BSum | 4 BPric | 5 BVol | 6 TSum | 7 TPric | 8 TVol | 9 Trans | 10 Transform | 11 RC | 12 Disc | 13

Application break fix & support: additive volume

Application break fix & support total cost = Rate x Quantity = $5 x 3,500 = $17,500

Mobile support: flat volume

Mobile support total cost = Rate x # of months in a quarter x Volume = $10 x 3 x 7,500 = $225,000

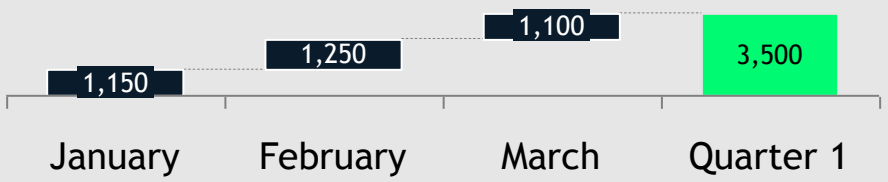
Additive volumes

Flat volumes

Total cost calculation method depends on reported volume type

Additive volumes
Flat volumes

Application break fix and support tickets (additive)

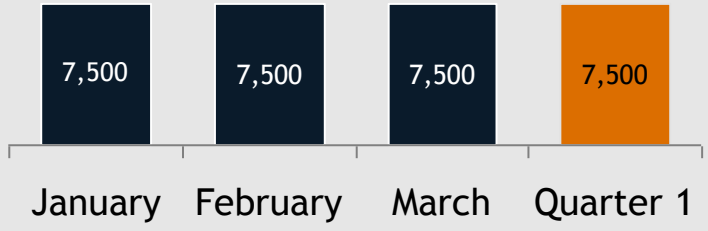


Resource unit price = $5

Application break fix and support tickets

3,500 tickets per quarter x $5 per ticket = **$17,500 per quarter**

Mobile devices supported (flat)



Resource unit price = $10

Number of months in a quarter = 3

Mobile devices supported
7,500 mobile devices x 3 months per quarter x $10 per month per device = **$225,000 per quarter**

Infrastructure IT service matrix is provided to align pricing units with the service activities outlined in RFP (Attachment B1)

TO BE SHARED AS AN ADDENDUM

Service Delivery Matrix

B1. Infrastructure IT

1. As respondent prices each service, ensure that pricing accurately reflects the cost of all required service activities. This matrix is intended to clearly align the pricing units used in the pricing template with the service activities outlined within the RFP (Attachments B1).
2. For example: within Service Cluster B1 (Infrastructure IT) - when determining the price for Application Break Fixes & Support, the respondent should refer to the following sections within Attachment B1 of the RFP as indicated by the green boxes in the Activities to RU matrix
- 1.1.2.1 Cross-lifecycle application maintenance and support
- 1.1.2.3 Application break fixes and support
- 1.5.2.2 Change request

Make sure to read, understand, and adhere to the instructions

Infrastructure IT	Application Break Fixes & Support	Minor Enhancemer	Dedicated on-site Support	Mobile Support	End User Support
	Per App Break Fix & Support Ticket	# of FTE Hours	Fixed Price	Per Mobile Device	Per End-User Device
1.1.2.1. Cross-lifecycle application maintenance and support	X				
1.1.2.2. Minor enhancements		X			
1.1.2.3. Application break fixes and support	X				
1.2.2.1. Service desk management					
1.2.2.2. Service desk execution					
1.2.2.3. Incident management					
1.2.2.4. Request fulfillment					
1.2.2.5. Customer relations support					
1.3.2.1. General end-user support					X
1.3.2.2. End-user device engineering					X
1.3.2.3. Installs moves adds changes deletions (IMACD) support					X
1.3.2.4. End-user device break-fix support					X
1.3.2.5. End-user device hardware management support and refresh					X
1.3.2.6. End-user training					X
1.3.2.7. End-user device security					X
1.3.2.8. Dedicated on-site support					
1.4.2.1. Services for both servers in scope for DCS and servers out of scope for DCS					
1.4.2.2. Support for servers out of scope for DCS					
1.4.2.3. Support for servers currently within the scope of DCS					
1.4.2.4. Disaster recovery and IT business					
1.5.2.1. Configuration management database (CMDB)					
1.5.2.2. Change requests	X	X			
1.6.2.1. Database administration					

For example: within Service Cluster B1 (Infrastructure IT) - when determining the price for Application Break Fixes & Support, the respondent should refer to the following sections within Attachment B1 of the RFP as indicated by the green boxes in the Activities to RU matrix
- 1.1.2.1 Cross-lifecycle application maintenance and support
- 1.1.2.3 Application break fixes and support
- 1.5.2.2 Change request

Cover | B1. Infra IT

Let's flip to the model

Schedule 3:
Key Response Information

Before we dive in, let's address some key FAQs (I)

1. What is the purpose of the Key Response Information Template?
   - This template allows respondents to provide greater detail on their overall submission, including: staffing plan, service level agreement metrics, respondent qualifications, personnel qualifications, assumptions and exceptions
2. How does a respondent complete the staffing plan?
   - On the staffing plan (2 Staf) tab respondents should estimate in the yellow cells the number of full time equivalent staff needed by service cluster. Additionally, respondent must estimate the percentage of on-site, off-site, and sub-contractor staff
   - The projected percentage of off-site employees outside of the US will automatically populate
3. What is the difference between a CSL and SLO?
   - Critical Service Levels (CSLs) may be tied to incentive payments, while Service Level Objectives (SLOs) should be tracked but may not be tied to incentive payments
4. Should SLAs be assumed in the baseline case?
   - Respondent's proposed service levels as provided in Schedule 3 should inform RU pricing provided across service clusters in Schedule 1
5. What if a respondent does not agree with the provided SLAs?
   - Respondent should still complete each of the rows as stipulated per the instructions and articulate disagreement with proposed alternative in the notes column

Tab requiring vendor input
Tab requiring review but **NOT** input

Outline of Key response information template

Category	Tab	Description
Key response information template	1 Inst	Overview of the templates instructions
	2 Staf	Respondents submit their staffing plan per service cluster
	3 Serv	Respondents provide projected service levels associated with their proposal
	4 Resp Qual	Respondents detail information about both the individual respondent and the respondent organization
	5 Pers Qual	Respondents detail information about the key personnel listed in the staffing plan, including personnel qualifications and references
	6 Assump	Respondents provide a comprehensive list of assumptions made during response preparation
	7 Excp	Respondents provide a comprehensive list of exceptions if the respondent is taking any exceptions to any provisions of the solicitation

Once respondent has entered their company name on the 1 Inst tab, it will flow throughout the rest of the template

Let's flip to the model

Q&A

Closing

Thank you for coming! We look forward to collaborating with you on this critical endeavor!