



TEXAS SOUTHERN UNIVERSITY

Purchasing Department
3100 Cleburne Avenue
Hannah Hall 333
Houston, Texas 77004
Office 713.313.7195
Fax 713.313.1964

Request for Qualifications

for

ERP Support & Consulting Services

RFQ # 717-10-707

Date of Issue: October 29, 2009

Deadline for Questions: November 9, 2009 12:00 PM CST

Deadline for Submittals: November 19, 2009 3:00 PM CST

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1. SUMMARY INFORMATION

- 1.1 Texas Southern University was established in 1947 for the purpose of serving the Black Population of Texas. This mission quickly broadened to encompass all citizens of Texas.

The mission of Texas Southern University as a special purpose institution for urban programming is to academically prepare and develop diverse predominately African American students to enter a dynamic and changing world as upwardly mobile, productive citizens and to contribute to academic with scholarships, research, and outreach programs to the community

Texas Southern University is a public state supported institution and the largest single campus Historically Black College University in the world. Current enrollment is almost 10,000 students. Texas Southern University is located near downtown Houston, with a campus of 45 buildings on 130 acres.

Texas Southern University recruits nationally for talented and dedicated faculty members committed to teaching professional services. Emphases on scholarly activities reflect a commitment to research and public services intended to expand human knowledge and to enhance the quality of life.

Texas Southern University offers the highest quality programs and instruction leading to baccalaureate, masters, professional, and doctoral degrees.

Texas Southern University provides services in academic and non-academic areas designed to facilitate the total development and potential of individual students.

Texas Southern University fosters quality research and the attendant building of a strong facility, state-of-the-art facilities, and learning opportunities for students as well as the provision of relevant services to the community beyond the campus.

Texas Southern University provides an environment conducive to learning for a substantial number of minorities to develop a full awareness and appreciation of their ethnic and cultural heritage while fostering a sense of self worth and pride that will help to mold quality citizens of Texas and the world.

1.2 OBJECTIVE

It is the intent of Texas Southern University through this Request for Qualifications (RFQ) to select a firm to provide ERP Support and Consulting Services in Section 3.1 herein.

The University is seeking to engage a firm that will enhance Texas Southern University's ability to provide for the multidimensional needs of the University

This RFQ contains the minimum mandatory standards that will govern this contract; however, respondents are encouraged to present creative and quality proposals that exceed minimum standards.

1.3 ISSUING OFFICE

TSU Purchasing Dept
Attn: Rhonda Carroll
3100 Cleburne Avenue
Hannah Hall, room 333
Houston, TX 77004
Carroll_rd@tsu.edu

1.4 SUBMISSION

In order to be considered, **one (1) original (with a CD version of your response) and three (3) copies** of the RFQ must arrive at the above address in a sealed envelope and clearly marked with the **RFQ number and RFQ**

name no later than **November 19, 2009, @ 3:00 p.m.** local Houston time. **This deadline will be strictly enforced.** The official time shall be taken from the receptionist's telephone digital display, located in Room 333. The names of Respondents will not be released until after the award.

Submissions received after the date and time of closing will not be accepted and will be returned to the proposer unopened. The University reserves the right to accept or reject, in part or in whole, any submission received should it be deemed in the best interest of the University.

Submissions that are unsigned, improperly signed, conditional, illegible, obscure, contain errors, erasures, alterations or irregularities of a kind may be declared non-compliant, at the discretion of the University.

No oral, telephone, faxed or emailed modifications will be considered once the date and time of closing has passed.

Should the University receive no compliant Statements of Qualifications (SOQ), the University, in its discretion, may cancel the RFQ or may negotiate a contract for the whole or any part of the Project with a proposer who has offered a noncompliant submission.

1.5 QUESTIONS AND INQUIRIES

All contact between Respondents and the University will be formally received in writing (via email) through the Issuing Office. Written questions and inquiries should be directed (via email) to the assigned buyer for this solicitation, Thomas Britt. **All such questions and inquiries must be received by 12:00 noon, local Houston time, November 9, 2009.** No questions or inquiries will be accepted after the Questions and Inquiries deadline. A response to all written inquiries (without identification of the inquirer) will be sent to all other known Respondents and/or posted on the Texas Marketplace.

1.6 DURATION OF PROPOSAL OFFER

Proposals are to be held valid for a minimum of 120 days following the closing date for this RFQ. If an award is not made during that period, all offers shall be automatically extended for another 120 days, unless the Respondent gives specific notice at least 15 days before the expiration for the then current 120-day period. Offers will be automatically renewed until such time as either an award is made or proper notice is given to the University of Respondent's intent to withdraw its proposal. By submission of a proposal each Respondent guarantees that its offer shall be firm for the period specified above.

1.7 TERMS OF CONTRACT

This contract is a one-time purchase.

1.8 EVALUATION PROCESS

A contract award will be made to the responsive and responsible Respondent whose SOQ best meets the needs of the University as authorized and set forth herein. After considering the factors set forth in this RFQ, recommendations will be made to award the contract to the Respondent whose proposal is determined to be the most advantageous to the University.

1.9 ACCEPTABLE AND UNACCEPTABLE RFQS

The University reserves the right to reject any or all proposals received. Non-acceptance of a proposal will mean that one or more others were deemed more advantageous to the University or that all proposals were rejected. Respondents judged by the Executive Director of Procurement Services not to be responsive, or Respondents whose proposals are classified as not reasonably susceptible of being selected for award, shall be so notified.

1.10 FORMATION OF AGREEMENT/CONTRACT

The Contract to be entered into as a result of this RFQ (the "Contract") shall be by and between the Respondent as contractor and the University, and shall contain substantially each material provision included in the Request for Qualifications, any amendments or changes thereto and the Standard Contract attached as Exhibit IV (AIA B727 or University Standard Contract). The contract shall incorporate substantially (1) the terms, conditions and specifications of this RFQ and any amendments, additions or changes thereto; (2) the Offerer's response to the RFQ and any amendments, additions or changes thereto; and (3) the AIA B727 or University Standard Contract along with any amendments, additions or changes thereto.

Any proposed terms and conditions, including any for contracts, which the Respondent proposes to use, must be submitted by the solicitation closing date as part of the proposal. Terms and Conditions submitted by a Respondent after the solicitation closing date shall not be accepted and will not be incorporated in the terms of the award contract.

End of section

SECTION 2

2. GENERAL INFORMATION FOR RESPONDENTS

2.1 GENERAL

The following general information is provided and should be carefully followed by all Respondents to ensure that proposals are properly prepared:

1. Qualifications will be received for the products/services specified herein or attached hereto under the Terms and Conditions of this proposal and general specifications as attached.
2. Qualifications must be made in the official name of the firm or individual under whom business is conducted (showing official business address) and must be signed by a duly authorized person.
3. Each Respondent must furnish all information required by the qualifications request. The person signing the qualifications statement must initial erasures or other changes. Qualifications signed by an agent of the corporation must be accompanied by evidence of their authority.
4. This Request for Qualifications creates no obligation on the part of the University to award the contract or to compensate Respondents for proposal preparation expenses. The University reserves the right to accept or reject any and all SOQ(s), whole or in part, received as a result of this RFQ, to waive minor irregularities, to negotiate in any manner necessary to best serve the interest of the University.
5. The University also reserves the right to conduct discussions with qualified Respondents in any manner necessary to serve the best interest of the University.
6. Before the award of a contract, Texas Southern University may require the Respondent to submit evidence of any information related to the financial, technical, and other qualifications and abilities of the Respondent.

2.2 ADDENDA TO RFQ

Proposers are required to monitor the State of Texas Bid Opportunities website <http://esbd.cpa.state.tx.us/> for all addenda to the RFQ. If an addendum is not available in PDF form, the proposer must contact the University to request a hard copy. It is the responsibility of the proposal to ensure all addenda were received and to acknowledge receipt of all addenda, with the Request for Qualification. Failure to comply may result in your proposal being rejected.

If this RFQ was received via invitation, any addenda issued during the RFQ period will be sent directly to the invitees.

2.3 INCURRED EXPENSES

Texas Southern University will not be responsible for any costs incurred by a Respondent in preparing and submitting a Statement of Qualifications.

2.4 ACCEPTANCE OF TERMS AND CONDITIONS

Respondent accepts this RFQ's terms and conditions by submitting a proposal in response to this RFQ, but no other terms and conditions are considered either offered or accepted by Respondent's submission.

2.5 PURCHASING REGULATIONS

The State of Texas Comptroller of Public Accounts and the laws of the State of Texas shall govern this RFQ and any resulting contract.

2.6 ECONOMY OF PREPARATION

Statements of Qualifications shall be prepared simply and economically, providing a straight forward, concise description of the Respondent's proposal to meet the requirements of the RFQ.

2.7 MULTIPLE / ALTERNATIVE SOLUTION STATEMENTS OF QUALIFICATIONS

Multiple SOQs will not be considered. A Respondent may submit an SOQ, which does not satisfy all the specific mandatory requirements of the RFQ by offering an alternate solution of the approach, depicted in the RFQ. Such SOQs are clearly identified by the Respondent as Alternate Solution SOQs. In all cases, to be considered responsive, Alternate Solution SOQs must clearly meet both the intent of the mandatory requirements as well as the overall objectives of the RFQ and the issuing organization's needs as stated in the Description, Section 1. Alternate Solution SOQs must be prepared in accordance with Section V of the RFQ.

2.8 EVALUATION IN ACCORDANCE WITH SPECIFICATIONS

Respondent must satisfy and explicitly respond to all the mandatory requirements, including a detailed explanation of how each mandatory specification is to be met. Responses must coincide with the order of the specifications as presented and be numbered exactly as given to permit unambiguous evaluation. Each Respondent must provide a written detailed response to each specification. Misinterpretation of specifications by the Respondent shall not relieve the contractor of responsibility to perform.

2.9 EVIDENCES OF RESPONSIBILITY

Prior to the award of a contract pursuant to this RFQ, the purchasing officer may require a Respondent to submit such additional information bearing upon the Respondent's ability to perform the contract, as the purchasing officer deems appropriate. The purchasing officer may also consider any information otherwise available concerning the financial, technical, and other qualifications of the Respondent.

2.10 OTHER CERTIFICATIONS

State Purchasing regulations require that qualifications contain certifications regarding non-collusion. The affidavit form, which should be completed by all respondents and returned with their respective response, is included as part of the Execution of Offer.

2.11 CONTRACT RESPONSIBILITIES

Texas Southern University will enter into a contractual agreement with the selected Respondent(s) only. The selected Respondent(s) shall be responsible for all products and/or services as required by this RFQ.

2.12 CONFIDENTIALITY

Respondents must specifically identify those portions of their proposals, if any, which they deem to contain confidential, proprietary information or trade secrets and must provide justification why such material should not, upon request, be disclosed. Offerers must clearly indicate each and every section that is deemed to be confidential, proprietary or a trade secret. It is not sufficient to preface your proposal with a proprietary statement.

2.13 HISTORICALLY UNDERUTILIZED BUSINESS (HUB) PARTICIPATION

There is no requirement that the selected contractor be a HUB. However, consideration in the analysis of this RFQ will be given to responsive and responsible Respondents qualifying and whose proposal is determined by the University to be economically advantageous. Submitters who wish to be considered as a HUB and non-minority offerers who utilize certified Minority Business as subcontractors for purposes of this solicitation must provide documentation with their proposal as referenced in the Attachment.

The Performing Party further agrees to obtain and provide proper and necessary HUB certification or to make a good faith effort to award at least 25% of the total value of all purchases and contracts to certified HUB's.

2.14 ARREARAGE

Submitting a response to this solicitation, a Respondent shall be deemed to represent that it is not in arrears in the payment of any obligations due and owing the State of Texas, including the payment of taxes and employee(s) benefits and child support during the term of the contract if selected for contract award.

2.15 SELECTION PROCESS

The Board of Regents for Texas Southern University has the responsibility for the selection of the Consulting firm for which this RFQ is being made. An evaluation committee has been appointed to review the SOQs and make recommendations to the President. The President shall in turn review and recommend to the Board, which in its sole judgment will select the Contractor.

2.16 NEGOTIATION

Texas Southern University has the right to accept the best SOQ as submitted, without negotiation, and may do so. Respondents should, therefore, not rely on having a chance during negotiations to change their offers.

2.17 TAXES

The State of Texas is exempt from paying certain taxes. They include:

- State and City Sales Tax – The State is exempt from all state and city sales tax. Purchases made for state use are exempt from the state sales tax – Article 20.04 (f) 3, Chapter 20, Title 122A, Taxation, General, RCS, 1925, as amended by the 57th Legislature, First Called Session, 1961 – Do not include tax in your bid.
- Federal Excise Taxes – if applicable – do not include Federal Excise tax, as this agency is exempt.

End of section

SECTION 3

3. EXECUTIVE SUMMARY

3.1. PURPOSE

This Request for Qualifications (RFQ) is seeking qualified professional consulting services to provide independent, consulting support of specific components of the SunGard SCT Banner ERP system by highly qualified and independent resources. The proposals submitted should clearly demonstrate the contractor's knowledge and experience in providing Technology Based Consulting Support of SunGard-Banner. (see "Scope of Services").

3.2. CONSULTANT SELECTION PROCESS

Interested consultant firms are requested to submit a Letter of Interest along with all required documents listed below. The Letter of Interest should identify any subset of services of special interest to the firm, and the firm's qualifications to implement those services. RFQ submittals will be analyzed and interviews may be conducted based on the evaluation of each firm's qualifications to provide the objectives described in the Scope of Services, at the sole discretion of TSU. Firms will be evaluated base upon the following criteria:

- Scope of Services 30%
- Statement of Qualifications 35%
- References 24%
- Document Format and Submission 10%

3.3. SCOPE OF SERVICES

A recently completed technology based assessment of Finance Banner Modules at TSU has identified a number of improvements required. The current scope of services covers the requirements for the Consultant to furnish all resources and services necessary and required to provide professional consulting services for SunGard's Banner ERP System inclusive but not limited to following major areas of focus: Banner HR/Payroll, Banner Finance, the Budgeting functionality therein, and the basics of the business processes these modules support, as employed at TSU.

Selected consultants will address priorities set by the ERP Steering Committee and will work with functional and technical TSU resources to develop, test and deploy improvements within the following skill sets:

- A. Extensive knowledge of Banner General Accounting including all G/L transactions, Chart of Account configuration and detail, rule codes, A/R, Balance Sheet accounts, Data entry indicators, overrides etc.
- B. Extensive knowledge of Banner HR/Payroll including NRA/1042 Windstar processing, Payroll processes and labor distribution
- C. Extensive knowledge of Banner Procurement approval queues and document management
- D. Extensive knowledge of Banner Budgeting for automated processing and use of all delivered budgeting tools
- E. Extensive knowledge of Banner Data Standards and cleanup, Duplicate ID issues and reporting methodologies
- F. Provide rapid Banner education/ training for TSU personnel
- G. Assist with TCC version review for Banner 8 upgrade

3.4. FEES.

The Proposer shall include in their RFQ response an hourly rate relevant to all costs according to the services required in this project. The hourly rate shall be inclusive of all travel expenses and any/all cost associated with the project.

3.5. STATEMENT OF QUALIFICATIONS

3.5.1 MINIMAL REQUIREMENTS:

The Respondent Organization must demonstrate a minimum of 5 years supporting Banner as a company. The primary consulting resources, the qualified respondent firm offers, must demonstrate 10 years experience implementing and supporting Banner. The primary consulting resources respondent offers must also demonstrate 15 years experience supporting administrative and business processes in the Higher Education environment.

Basic qualifications: will include, but are not limited to, extensive user-orientated best practice experience with administrative services in higher education, in-depth knowledge of SunGard SCT Banner computer systems, and no contractual or informal business relationships with this primary software vendor.

Additional qualifications: include, but are not limited to, the demonstrated breadth, depth and years of experience with Banner and in support of administrative services in Higher Education, especially in support of financial business processes, the respondent offers.

The considered responses shall be reviewed by Executive Management, with extensive technology and business backgrounds, in their entirety for final disposition. In final, what executive management wants is a candid, concise, and fully open review of their organizational use of this software system and consultative recommendations from highly qualified and experienced professionals, independent of the software providers. In final, executive will consider all factors in this process.

3.5.2 FIRM

- Firm name, date of firm's founding and current street address (post office box numbers are not acceptable).
- Background and history of firm, including any previous firm names or operating structures, i.e. partnership, corporation, etc.
- Verifiable experience on projects of similar size and complexity.
- Unique resources of your firm.
- Verifiable examples of projects completed on time and within Client-established budget.
- Statement of firm's primary business.

3.5.3 STAFFING

- Name and direct contact information for firm lead for RFQ response.
- Individuals employed by the firm who have had previous experience on projects or specialized consulting assignments similar to those identified in this RFQ.
- Firm principals and key personnel that have developed and/or worked on other TSU projects.
- Provide resumes of personnel to be assigned to proposed TSU project.

3.5.4 GENERAL

Qualifications - Indicate the reasons that make your firm well qualified to perform this work. Include formal education degrees related to services to be provided as well as other training(s) received by the members of the organization.

Experience - List the experience of your company's principals; including, number of years in the ERP Consulting business and areas of recognized expertise in their respective fields. Describe your company's staff and their abilities to manage and analyze the complexities of this project.

Work Plan - Describe in detail the procedures your company will use to achieve the objectives listed in the Scope of Services. Include the following:

- List the deliverables your firm will provide according to the objectives listed in the Scope of Services.
- Describe in detail how your company will measure and monitor project deliverables.
- Provide examples of reports.
- Provide timeline for delivery of services.
- Describe your firm's customer support services and policies.
- Describe to what extent TSU will be obligated to accept and/or order the recommendations submitted by your firm.
- Describe what involvement from TSU will be necessary to have your company perform these services.

3.6. REFERENCES

Present detailed case studies of three customers, at least 2 of these being organizations of similar size and scope. Include names, positions, and contact information for customer verification. Include: addresses, telephone numbers, and e-mail addresses.

3.7. DOCUMENT FORMAT AND SUBMISSIONS

Qualification Statements should be limited to 20-pages, in the form of a bound 8-1/2 inch by 11-inch report with a Letter of Interest, Table of Contents and all pages numbered in sequence. Binding must allow reports to lay flat when open, and may be either wire or spiral bound. Format of the report may be either "portrait" or "landscape" with binding on the left side.

Your document response should contain the following information, tabbed in the following order:

Table of Contents
Letter of Interest
Tab A Scope of Services
Tab B Fees
Tab C Statement of Qualifications
a) Minimal Requirements
b) Firm
c) Staffing
d) General
Tab D References
Tab E Execution of Offer
Tab F RFQ Acknowledgement
Tab G HUB Plan (Attachment A)
Tab H Due Diligence Questionnaire (Attachment B)
Tab G Addenda

3.8. Audit

The successful bidder must maintain and make available for review, inspection and/or audit books, records, documents, and other evidence reasonably pertinent to performance of all work and the University or any of its duly Authorized Representative shall have access to such books, records, documents, and other evidence for the purpose of review, inspection, and/or audit. During the conduct of any such review, audit or inspection the successful respondent's books, records, and other pertinent documents may, upon prior conference with the successful respondent, be copied by the University or any of its duly Authorized Representative. All such information shall be handled by the parties in accordance with good business ethics. The successful respondent shall provide proper facilities within the State of Texas for such access and inspection (see Due Diligence Profile).

End of section

SECTION 4

Execution of Offer

RFQ No. 717-10-707

This sheet must be completed, signed, and returned with Respondent's proposal. Failure to sign and return this sheet will result in the rejection of your submittal.

1. By signature hereon, Respondent offers and agrees to furnish the products and/or services at the prices quoted and comply with all terms and conditions, requirements set forth per the RFQ documents and contained hereon.
2. By signature hereon, Respondent affirms that he has not given, nor intends to give at any time hereafter, any economic opportunity, future employment, gift, loan, gratuity, special discount, trip, favor or service to a public servant in connection with the submitted proposal.
3. By signature hereon, a corporate Respondent certifies that it not currently delinquent in the payment of any Franchise Taxes due under Chapter 171, Texas Tax Code, that the corporation is exempt from the payment of such taxes, or that the cooperation is an out-of-state corporation that is not subject to the Texas Franchise Tax, whichever is applicable. A false certification shall be deemed a material breach of contract and, at the University's option, may result in cancellation of any resulting contract or purchase order.
4. By signature hereon, the Respondent hereby certifies that neither the Respondent nor the firm, corporation, partnership or institution represented by the Respondent, or anyone action for such firm, corporation, or institution had violated the antitrust laws of this state, codified in Section 15.01, et.seq., Texas Business and Commerce Code, or the Federal antitrust laws, nor communicated directly or indirectly the proposal made to any competitor or any other person engaged in such line of business.
5. By signature hereon, the Respondent certifies that all statements and information prepared and submitted in response to this solicitation is current, complete, and accurate.
6. By signature hereon, the Respondent certifies that the individual signing the document and the documents made part of the RFQ is authorized to sign such documents on behalf of the company and to bind the company under any contract which may result from the submission of this proposal.
7. By signature hereon, Respondent certifies it is a small business and/or a minority female owned business as defined by the State of Texas. Check status below:
 - () Small Business (House Bill 366, 64th Legislature)
 - () Historically Underutilized Business (HUB) (Texas Government Code, Sections 2161.181-182)
 - () Certified by Texas Department of Commerce
 - () Status not claims
8. By signature hereon, Respondent certifies as follows:

Under Section 231.006, of the Family Code (relating to child support) the offerer certifies that the individual or business entity named in this submittal is not ineligible to receive the specified payment and acknowledge that this contract may be terminated and/or payment may be withheld if certification is inaccurate.
9. By signature hereon, Respondent certifies that no relations, whether by relative, business associate, capital funding agreement or by any other such kinship exist between Respondent and an employee of Texas Southern University, or Respondent has not been an employee of Texas Southern University within the immediate twelve (12) months prior to your RFQ response. All such disclosures will be subject to administrative review and approval prior to the University entering into any contract with the Respondent.

10. By signature hereon, Respondent affirms that he has not received compensation for participation in the preparation of the specifications for this RFQ. (rev. Section 3.102, Article 601b, V.T.C.S)
11. Respondent represents and warrants that all articles and services quoted in response to this RFQ meet or exceed the safety standard established and promulgated under the Federal Occupations Safety and Health Law (Public Law 91-596) and its regulations in effect or proposed as of the date of this solicitation.
12. By signing hereon, Respondent signifies his compliance with all federal laws and regulations pertaining to Equal Employment Opportunities and Affirmative Act.

Complete the following:

VIN No. _____ HUB Vendor Identification Number (VID Number) _____

List HUB ethnic & gender category AS, BL, HI, AI, Male or Female, Women Owned _____

FEI No. _____

If Sole Owner – SS No. _____

If a Corporation – State of Incorporation _____

Charter No. _____

Submitted By:

(Company Name)

(Date)

(Authorized Signature)

(Printed Name/Title)

(Street Address)

(City, State, Zip Code)

(Telephone Number)

(Facsimile Number)

End of Section

SECTION 5

RFQ Acknowledgement

* Interested parties shall acknowledge receipt and interest in this RFQ by completing the information requested below and, as soon as possible, faxing or emailing to:

TSU Purchasing
RFQ # 717-10-706
Attn: Rhonda Carroll
Fax # 713-313-1964
Email: carroll_rd@tsu.edu

*** Proposers shall also include this completed form with the RFQ response.*

Firm Name: _____ Contact Person: _____

Authorizing Signature: _____ Title: _____

Address (include city, state and zip): _____

Phone: _____ Fax: _____ Email: _____

Check one: We will _____ We will Not _____ respond to this RFQ.

If not responding, please provide a brief explanation: _____

General Information

Proposals are due on or before Thursday, November 19, 2009, at 3:00 p.m. Central Time to TSU Procurement Services. Proposals must be addressed to:

**Texas Southern University
Purchasing Department
RFQ # 717-10-707
ERP Support & Consulting Services
3100 Cleburne Avenue
Hannah Hall, suite 333
Houston, TX 77004**

***RFQ responses must be mailed or delivered to the address above. Faxed or electronically submitted documents are not acceptable and will not be considered.**

End of section

ATTACHMENT A



HUB SUBCONTRACTING PLAN (HSP)

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

NOTE: Responses that do not include a completed HSP shall be rejected pursuant to 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 State of Texas Disparity Study. The HUB goals defined in 1 TAC §111.13 are: **11.9 percent for heavy construction other than building contracts, 26.1 percent for all building construction, including general contractors and operative builders contracts, 57.2 percent for all special trade construction contracts, 20 percent for professional services contracts, 33 percent for all other services contracts, and 12.6 percent for commodities contracts.**

- - Agency Special Instructions/Additional Requirements - -

- **Proposers shall submit a completed HUB Subcontracting Plan (HSP) to be considered responsive (Pages 8, 9, and 10). Failure to submit a completed HSP shall result in the bid, proposal or other expression of interest to be considered NON-responsive.**
- **Proposers who intend to Self-Perform all of their work shall submit a HSP for Self-Performance (Pages 8, 9, and 10).**
- **HUB Subcontracting Plan (HSP) Prime Contractor Progress Assessment Report (PAR) shall be submitted with each request for payment as a condition of payment.**

SECTION 1 - RESPONDENT AND SOLICITATION INFORMATION

- a. Respondent (Company) Name: _____ State of Texas VID #: _____
Point of Contact: _____ Phone #: _____
- b. Is your company a State of Texas certified HUB? ☐ - Yes ☐ - No
- c. Solicitation #: _____

SECTION 2 - SUBCONTRACTING INTENTIONS

After having divided the contract work into reasonable lots or portions to the extent consistent with prudent industry practices, the respondent must determine what portion(s) of work, including goods or services, will be subcontracted. Note: In accordance with 1 TAC §111.12., a "Subcontractor" means a person who contracts with a vendor to work, to supply commodities, or contribute toward completing work for a governmental entity. Check the appropriate box that identifies your subcontracting intentions:

☐ - Yes, I will be subcontracting portion(s) of the contract. (If Yes, in the spaces provided below, list the portions of work you will be subcontracting, and go to page 2.)

☐ - No, I will not be subcontracting any portion of the contract, and will be fulfilling the entire contract with my own resources. (If No, complete SECTION 9 and 10.)

Line Item # - Subcontracting Opportunity Description	Line Item # - Subcontracting Opportunity Description
(#1) -	(#11) -
(#2) -	(#12) -
(#3) -	(#13) -
(#4) -	(#14) -
(#5) -	(#15) -
(#6) -	(#16) -

(#7) -	(#17) -
(#8) -	(#18) -
(#9) -	(#19) -
(#10) -	(#20) -

*If you have more than twenty subcontracting opportunities, a continuation page is available at
<http://www.tbpc.state.tx.us/hub/forms/index.html>

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

IMPORTANT: You must complete a copy of this page for each of the subcontracting opportunities you listed in SECTION 2. You may photocopy this page or download copies at
<http://www.tbpc.state.tx.us/hub/forms/index.html>.

SECTION 3 - SUBCONTRACTING OPPORTUNITY

Enter the line item number and description of the subcontracting opportunity you listed in SECTION 2.

Line Item # _____ Description: _____

SECTION 4 - MENTOR-PROTÉGÉ PROGRAM

If respondent is participating as a Mentor in a State of Texas Mentor Protégé Program, submitting their Protégé (Protégé must be a State of Texas certified HUB) as a subcontractor to perform the portion of work (subcontracting opportunity) listed in SECTION 3, constitutes a good faith effort towards that specific portion of work. Will you be subcontracting the portion of work listed in SECTION 3 to your Protégé?

☐ - Yes (If Yes, complete SECTION 8 and 10.) ☐ - No / Not Applicable (If No or Not Applicable, go to SECTION 5.)

SECTION 5 - PROFESSIONAL SERVICES CONTRACTS ONLY

This section applies to Professional Services Contracts only. All other contracts go to SECTION 6.

Does your HSP contain subcontracting of 20% or more with HUB(s)?

☐ - Yes (If Yes, complete SECTION 8 and 10.) ☐ - No / Not Applicable (If No or Not Applicable, go to SECTION 6.)

In accordance with Gov't Code §2254.004, "Professional Services" means services: (A) within the scope of the practice, as defined by state law of accounting; architecture; landscape architecture; land surveying; medicine; optometry; professional engineering; real estate appraising; or professional nursing; or (B) provided in connection with the professional employment or practice of a person who is licensed or registered as a certified public accountant; an architect; a landscape architect; a land surveyor; a physician, including a surgeon; an optometrist; a professional engineer; a state certified or state licensed real estate appraiser; or a registered nurse.

SECTION 6 - NOTIFICATION OF SUBCONTRACTING OPPORTUNITY

Complying with a, b and c of this section constitutes Good Faith Effort towards the portion of work listed in SECTION 3. After performing the requirements of this section, complete SECTION 7, 8 and 10.

- Provide written notification of the subcontracting opportunity listed in SECTION 3 to **three (3)** or more HUBs. Use the State of Texas' Centralized Master Bidders List (CMBL), found at <http://www.tbpc.state.tx.us/cmb/cmbhub.htm>, and its HUB Directory, found at <http://www.tbpc.state.tx.us/cmb/hubonly.html>, to identify available HUBs. **Note: Attach supporting documentation (letters, phone logs, fax transmittals, electronic mail, etc.) demonstrating evidence of the good faith effort performed.**
- Provide written notification of the subcontracting opportunity listed in SECTION 3 to a minority or women trade organization or development center to assist in identifying potential HUBs by disseminating the subcontracting opportunity to their members/participants. A list of trade organizations and development centers may be accessed at <http://www.tbpc.state.tx.us/hub/minoritywomenbuslinks.htm>. **Note: Attach supporting documentation (letters, phone logs, fax transmittals, electronic mail, etc.) demonstrating evidence of the good faith effort performed.**
- Written notifications should include the scope of the work, information regarding the location to review plans and specifications, bonding and insurance requirements, required qualifications, and identify a contact person. Unless the contracting agency has specified a different time period, you must allow the HUBs no less than **five (5) working days** from their receipt of notice to respond, **and** provide notice of your subcontracting opportunity to a minority or women trade organization or development center no less than **five (5) working days** prior to the submission of your response to the contracting agency.

SECTION 7 - HUB FIRMS CONTACTED FOR SUBCONTRACTING OPPORTUNITY

List **three (3)** State of Texas certified HUBs you notified regarding the portion of work (subcontracting opportunity) listed in SECTION 3. Specify the vendor ID number, date you provided notice, and if you received a response. **Note: Attach supporting documentation**

(letters, phone logs, fax transmittals, electronic mail, etc.) demonstrating evidence of the good faith effort performed.

Company Name	VID #	Notice Date (mm/dd/yyyy)	Was Response Received?	
_____	_____	____/____/____	☐ - Yes	☐ - No
_____	_____	____/____/____	☐ - Yes	☐ - No
_____	_____	____/____/____	☐ - Yes	☐ - No

SECTION 8 - SUBCONTRACTOR SELECTION

List the subcontractor(s) you selected to perform the portion of work (subcontracting opportunity) listed in SECTION 3. Also, specify the expected percentage of work to be subcontracted, the approximate dollar value of the work to be subcontracted, and indicate if the company is a Texas certified HUB.

Company Name	VID #	Expected % of Contract	Approximate Dollar Amount	Texas Certified HUB?
_____	_____	____%	\$ _____	☐ - Yes ☐ - No*
_____	_____	____%	\$ _____	☐ - Yes ☐ - No*

*If the subcontractor(s) you selected is not a Texas certified HUB, provide written justification of your selection process below:

SECTION 9 SELF PERFORMANCE JUSTIFICATION

(If you responded "No" to SECTION 2, you must complete SECTION 9 and 10.)

Does your response/proposal contain an explanation demonstrating how your company will fulfill the entire contract with its own resources?

- ☐ - **Yes** If Yes, in the space provided below, list the specific page/section of your proposal which identifies how your company will perform the entire contract with its own equipment, supplies, materials and/or employees.
- ☐ - **No** If No, in the space provided below, explain how your company will perform the entire contract with its own equipment, supplies, materials, and/or employees.

SECTION 10 - 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 are true and correct. Respondent understands and agrees that, if awarded any portion of the solicitation:

- The respondent must submit monthly compliance reports (Prime Contractor Progress Assessment Report – PAR) to the contracting agency, verifying their compliance with the HSP, including the use/expenditures they have made to subcontractors. (The PAR is available at <http://www.tbpc.state.tx.us/hubbid/forms/index.html>).

- The respondent must seek approval from the contracting agency prior to making any modifications to their HSP. If the HSP is modified without the contracting agency's prior approval, respondent may be subject to debarment pursuant to Gov't Code §2161.253(d).
- 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 to be performed and must provide documents regarding staff and other resources.

Signature

Printed Name
Date

Title



HUB Subcontracting Plan (HSP) Prime Contractor Progress Assessment Report

This form must be completed and submitted to the contracting agency each month to document compliance with your HSP.

Contract/Requisition Number: _____ Date of Award: _____ Object Code: _____
(mm/dd/yyyy) (Agency Use Only)

Contracting Agency/University Name: _____

Contractor (Company) Name: _____ State of Texas VID #: _____

Point of Contact: _____ Phone #: _____

Reporting Period: ☐ - Jan. ☐ - Feb. ☐ - Mar. ☐ - Apr. ☐ - May ☐ - Jun. ☐ - Jul. ☐ - Aug. ☐ - Sept. ☐ - Oct. ☐ - Nov. ☐ - Dec.
(Check only one Month)

Total Contract Amount Paid this Reporting Period to Contractor: \$ _____

Report HUB and Non-HUB subcontractor information

Subcontractor's Name	Subcontractor's VID or HUB Certificate Number	Total Contract \$ Amount from HSP with Subcontractor	Total \$ Amount Paid This Period to Subcontractor	Total Contract \$ Amount Paid to Date to Subcontractor	Object Code (agency use only)
		\$	\$	\$	
		\$	\$	\$	
		\$	\$	\$	
		\$	\$	\$	
		\$	\$	\$	
		\$	\$	\$	
		\$	\$	\$	
		\$	\$	\$	
		\$	\$	\$	
		\$	\$	\$	
TOTALS:		\$	\$	\$	

Signature: _____ Title: _____ Date: _____
Printed Name: _____ Phone No. _____

End of section

ATTACHMENT B

PROCUREMENT SERVICES TEXAS SOUTHERN UNIVERSITY Due Diligence Profile

Please complete the due diligence questionnaire below as it pertains to your business. We request you respond to each question as accurately as possible.

1. Business/Entity Name, Address and EIN/TIN:

COMPANY NAME
COMPANY ADDRESS
CITY, STATE, ZIP

Tax I.D. #: _____

2. Description of Business/Entity:

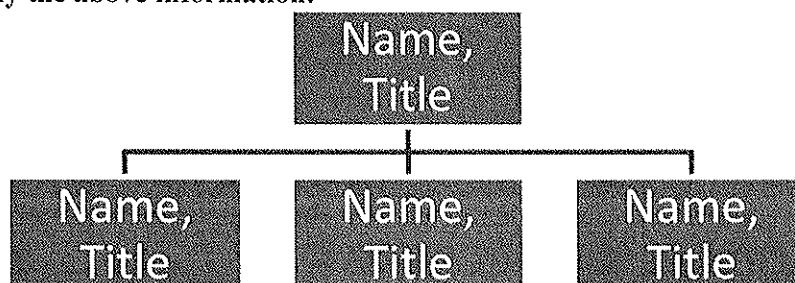
Corporation ☐ Partnership ☐ Sole Proprietorship ☐ Affiliation ☐

Other ☐ Please explain: _____

3. State the number of years (months if less than one year) the entity has been in existence?

RESPONSE:

4. Attach a copy of your organizational chart of Key Executive Administration/Personnel to accompany the above information:



5. Please provide a copy of your most recent audited financial statements, disclosures, and the opinion issued. If the financial statements have not been audited, please submit your income statements and balance sheets for the past three years PLUS federal tax returns for the past two years.

RESPONSE:

6. Attach a copy of all relevant certificates of insurance and letter of bondability.

RESPONSE:

7. Litigation:

Within the last five years, has your business, any predecessor of your business, or any member of your business:

- a. Been the subject of any disciplinary action by court, professional organization or regulatory agency? ☐ Yes ☐ No If yes, please describe: _____

- b. Filed bankruptcy? ☐ Yes ☐ No If yes, please describe: _____

- c. Been a party to any litigation directly or indirectly related to the conduct of your business? ☐ Yes ☐ No If yes, please describe: _____

- d. Is your business, predecessor of your business, or any member of your business currently a party to any litigation that is in progress? ☐ Yes ☐ No
If yes, please describe: _____

- e. Is your business, predecessor of your business, or any member of your business currently subject to any federal or state tax liens, attachments or garnishments? ☐ Yes ☐ No If yes, please describe: _____

8. Parent/Subsidiary companies and or other company affiliations. Please include address, organizational structure and contact information:

RESPONSE:

9. Please provide the following information for the “ultimate” owner(s) of the bidding entity:

Name	Ownership Description (Principal/Associate, General/Limited Partner, etc...)	Board Member (Position / Title)	% Interest or Ownership in Business

10. Conflict of Interest

Section 51.923 of the Texas Education Code, Contracts between Institutions of Higher Education and Corporations, provides an exception to the common-law rule invalidating contracts in which a member of the governing board of an institution of higher education is pecuniarily interested. The governing board of an institution of higher education may enter into a contract or another transaction with a for-profit corporation even though one or more members of the institution’s governing board also serves as a stockholder or director of the corporation, provided that no member of the governing board owns or has a beneficial interest in more than five percent (5%) of the corporation’s outstanding capital stock and further provided that the contract or transaction is: (1) an affiliation, licensing, or sponsored research agreement; or (2) awarded by competitive bidding or competitive sealed proposals.

Furthermore, in accordance with Section 51.923 of the Texas Education Code, a Board Member with an interest in the contract or transaction must be disclosed and shall refrain from voting on the contract or transaction.

Therefore, please disclose if any Member of the TSU Board of Regents, President or Executive Administration that has an interest of more than five percent (5 %) in your business/entity:

Name	Position or Title	% Interest and/or Affiliation

CERTIFICATION OF QUALIFICATIONS:

I, the undersigned certify under penalty of law that the above and foregoing information for (COMPANY NAME) is true and correct representation and complete disclosure of the facts to the best of my knowledge.

Please sign below as the designated Representative/Agent of your business:

SIGNATURE

DATE

NAME (Typed)

TITLE