REQUEST FOR PROPOSAL

#### The University of Texas Health Science Center at Houston

#### RFP No.: 744-R1502 Student Billing Services

**Mandatory Prebid/ WebX Meeting: Monday, October 6, 2014 at 9:00 a.m. CST**

Bid Submittal Deadline: Monday, October 27, 2014 at 11:00 a.m. CST

HUB Submittal Deadline: Monday, October 27, 2014 at 11:00 a.m. CST

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Prepared By:

Angela Rodriguez, CTPM, Senior Buyer

The University of Texas Health Science Center at Houston

1851 Crosspoint, OCB 1.160

Houston, Texas 77054

Angela.Y.Rodriguez@uth.tmc.edu

Friday, September 26, 2014

Request for PROPOSAL

TABLE OF CONTENTS

SECTION 1:  INTRODUCTION 1

SECTION 2:  NOTICE TO PROPOSER 3

**SECTION 3: SUBMISSION OF PROPOSAL** 8

**SECTION 4: GENERAL TERMS AND CONDITIONS** 10

**SECTION 5: SPECIFICATIONS AND ADDITIONAL QUESTIONS** 11

**SECTION 6: PRICING AND DELIVERY SCHEDULE** 23

**Attachments:**

**APPENDIX ONE: PROPOSAL REQUIREMENTS**

**APPENDIX TWO: SAMPLE AGREEMENT**

**APPENDIX THREE: HUB SUBCONTRACTING PLAN**

**APPENDIX FOUR: CAMPUS MAP**

**APPENDIX FIVE: ACCESS BY INDIVIDUALS WITH DISABILITIES**

**APPENDIX SIX: ELECTRONIC AND INFORMATION RESOURCES ENVIRONMENT**

**SPECIFICATIONS**

**APPENDIX SEVEN: Security Characteristics and Functionality of**

**Contractor’s INFORMATION RESOURCES**

EXHIBIT A: SAMPLE WEEKLY REPORT

##### SECTION 1

**INTRODUCTION**

* 1. **Description of University**

Founded in 1972, The University of Texas Health Science Center at Houston (UTHSC-H) is one of the fifteen component Universities of The University of Texas System. UTHSC-H is the most comprehensive academic health center in Texas, and is comprised of the following buildings & schools:

* Medical School (MSB) - 6431 Fannin Street
* Medical School Expansion (MSE) – 6431 Fannin Street
* Cyclotron Building (CYC) – 6431 Fannin Street
* School of Dentistry (SOD) – 7500 Cambridge Street
* School of Public Health (SPH) - 1200 Pressler Street
* School of Nursing (SON) – 6901 Bertner Avenue
* School of Biomedical Informatics (SBMI) - 7000 Fannin Street
* Graduate School of Biomedical Sciences (GSBS)– 6655 Travis Street
* Biomedical & Behavioral Sciences Building (BBS) – 1941 East Road
* Institute of Molecular Medicine (IMM) – 1825 Pressler Street
* Harris County Psychiatric Center (HCPC) - 2800 South MacGregor Drive
* Operations Center Building (OCB) -1851 Cross Point Avenue
* University Center Tower (UCT) - 7000 Fannin Street
* Professional Building (UTPB) - 6410 Fannin Street

UTHSC-H combines biomedical sciences, behavioral sciences, and the humanities to provide interdisciplinary activities essential to the definition of modern academic health science education. UTHSC-H is committed to providing health professional education and training for students, and is dedicated to providing excellence in research and patient care, which is offered through its clinics, Memorial Hermann Hospital System (its primary teaching hospital), and other affiliated institutions. UTHSC-H is a major part of the concentration of medical schools, hospitals and research facilities generally referred to as the Texas Medical Center.

The University of Texas Health Science Center at Houston System has nearly 4,500 employees and approximately 3,600 students. As a component of the University of Texas System, UTHSC-H is subject to the “Rules and Regulations of the Board of Regents of the University of Texas System for the government of The University of Texas System.”

**1.2 Background and Special Circumstances**

The University of Texas Health Science Center at Houston, through the Office of Student Financial Services, provides assistance to students in locating financial assistance for payment of tuition and expenses associated with the academic programs in which the student is enrolled. Contingent on eligibility, students may receive financial assistance from any or a combination of the loan programs currently administered by the Office of Student Financial Services. These programs are funded in part by the Health Science Center, the Department of Education (DOE), the Department of Health and Human Services (DHHS), scholarships, endowments and private donations.

The Office of Student Financial Services strives to administer student loans in compliance with applicable federal and institutional regulations and program guidelines. The Office of Student Financial Services values and seeks a partnership that shares its objectives of maintaining a low default rate and continued eligibility for participation in the federal student loan programs.

**1.3 Objective of this Request for Proposal**

The University of Texas Health Science Center at Houston (“**University**”) is soliciting proposals in response to this Request for Proposal for selection of a contractor to provide services related to RFP No.744-R1502 (this “**RFP**”), from qualified vendors to provide Student Billing Services (the “**Services**”) related to Student Financial Services.

The volume of University’s Loan Portfolio as of July 31, 2014 is 12,395 accounts. Of this total the status is as follows:

Enrolled – 370

Grace Period - 298

Repayment – 1,964

Retired (Paid, Cancelled Written-off) -9763

Total – 12,395

**1.4 Group Purchase Authority**

Texas law authorizes institutions of higher education (defined by Section 61.003, Education Code) to use the group purchasing procurement method (ref. Sections 51.9335, 73.115, and 74.008, Education Code). Additional Texas institutions of higher education may therefore elect to enter into a contract with the successful Proposer under this RFP. In particular, Proposer should note that University is part of The University of Texas System ("UT System"), which is comprised of nine academic and six health universities described at <http://www.utsystem.edu/institutions>. UT System institutions routinely evaluate whether a contract resulting from a procurement conducted by one of the institutions might be suitable for use by another, and if so, this could give rise to additional purchase volumes. As a result, in submitting its proposal in response to this RFP, Proposer should consider proposing pricing and other commercial terms that take into account such higher volumes and other expanded opportunities that could result from the eventual inclusion of other institutions in the purchase contemplated by this RFP.

**SECTION 2**

**NOTICE TO PROPOSER**

**2.1 Submittal Deadline**

University will accept proposals submitted in response to this RFP until 11:00 a.m. Central Standard Time on Monday, October 27, 2014 (the “**Submittal Deadline**”).

**2.2 University Contact Person**

Proposers will direct all questions or concerns regarding this RFP to the following University contact (“**University Contact**”):

The University of Texas Health Science Center at Houston

Procurement Services

1851 Crosspoint, OCB1.160

Houston, Texas 77054

Angela Rodriguez, CTPM, Senior Buyer

Angela.Y.Rodriguez@uth.tmc.edu

University specifically instructs all interested parties to restrict all contact and questions regarding this RFP to written communications forwarded to University Contact. University Contact must receive all questions or concerns no later than 11:00 a.m. CST on Tuesday, October 14, 2014. University will have a reasonable amount of time to respond to questions or concerns. It is University’s intent to respond to all appropriate questions and concerns; however, University reserves the right to decline to respond to any question or concern.

**2.3 Criteria for Selection**

The successful Proposer, if any, selected by University in accordance with the requirements and specifications set forth in this RFP will be the Proposer that submits a proposal in response to this RFP on or before the Submittal Deadline that is the most advantageous to University. The successful Proposer is referred to as the “**Contractor**.”

Proposer is encouraged to propose terms and conditions offering the maximum benefit to University in terms of (1) services to University, (2) total overall cost to University, and (3) project management expertise. Proposers should describe all educational, state and local government discounts, as well as any other applicable discounts that may be available to University in a contract for the Services.

An evaluation team from University will evaluate proposals. The evaluation of proposals and the selection of Contractor will be based on the information provided by Proposer in its proposal. University may give consideration to additional information if University deems such information relevant.

The criteria to be considered by University in evaluating proposals and selecting Contractor, will be those factors listed below:

* + 1. Threshold Criteria Not Scored
       1. Ability of University to comply with laws regarding Historically Underutilized Businesses; and

2.3.1.2 Ability of University to comply with laws regarding purchases from persons with disabilities.

* + 1. Scored Criteria

**30% Qualifications** - Evaluation in this category will be based on the Respondent’s response to **questions 5.4.5 – 5.4.42** in **Section 5.4** of this RFP.

**20% Collection Processes** - Evaluation in this category will be based on the Respondent’s response to **questions 5.4.43 – 5.4.60** in **Section 5.4** of this RFP

**30% Cash Collections Processes** - Evaluation in this category will be based on the Respondent’s response to **questions 5.4.61 - 5.4.64** in **Section 5.4** of this RFP

**20% Cost** - Evaluation in this category will be based on Respondent’s pricing as stated in **Section 6.1** of this RFP. Respondents providing the best cost will be given the highest available score in this category. Next ranked respondents will be proportionately ranked accordingly.

**2.4 Key Events Schedule**

Issuance of RFP September 26, 2014

Pre-Proposal Conference October 6, 2014 at 9:00 a.m. CST

(ref. **Section 2.6** of this RFP)

Deadline for Questions/Concerns October 14, 2014 at 11:00 a.m. CST

(ref. **Section 2.2** of this RFP)

Submittal Deadline October 27, 2014 at 11:00 a.m. CST

(ref. **Section 2.1** of this RFP)

HSP Submittal Deadline October 27, 2014 at 11:00 a.m. CST

(ref. **Section 2.1** of this RFP)

**2.5 Historically Underutilized Businesses**

2.5.1 All agencies of the State of Texas are required to make a good faith effort to assist historically underutilized businesses (each a “**HUB**”) in receiving contract awards. The goal of the HUB program is to promote full and equal business opportunity for all businesses in contracting with state agencies. Pursuant to the HUB program, if under the terms of any agreement or contractual arrangement resulting from this RFP, Contractor subcontracts any of the Services, then Contractor must make a good faith effort to utilize HUBs certified by the Procurement and Support Services Division of the Texas Comptroller of Public Accounts. Proposals that fail to comply with the requirements contained in this Section 2.5 will constitute a material failure to comply with advertised specifications and will be rejected by University as non-responsive. Additionally, compliance with good faith effort guidelines is a condition precedent to awarding any agreement or contractual arrangement resulting from this RFP. Proposer acknowledges that, if selected by University, its obligation to make a good faith effort to utilize HUBs when subcontracting any of the Services will continue throughout the term of all agreements and contractual arrangements resulting from this RFP. Furthermore, any subcontracting of the Services by the Proposer is subject to review by University to ensure compliance with the HUB program.

2.5.2 University has reviewed this RFP in accordance with Title 34, *Texas Administrative Code*, Section 20.13 (a), and has determined that subcontracting opportunities are probable under this RFP.

2.5.3 A HUB Subcontracting Plan (“**HSP**”) is required as part of Proposer’s proposal. The HSP will be developed and administered in accordance with University’s Policy on Utilization of Historically Underutilized Businesses attached as **APPENDIX THREE** and incorporated for all purposes.

*Each Proposer must complete and return the HSP in accordance with the terms and conditions of this RFP, including* ***APPENDIX THREE****. Proposers that fail to do so will be considered non-responsive to this RFP in accordance with Section 2161.252, Government Code.*

*Questions regarding the HSP may be directed to:*

*Contact: Shaun McGowan*

*Manager, HUB & Small Business Program*

*Phone: (713) 500-4862*

*Email:* [*Shaun.A.McGowan@uth.tmc.edu*](mailto:Shaun.A.McGowan@uth.tmc.edu)

Contractor will not be permitted to change its HSP unless: (1) Contractor completes a newly modified version of the HSP in accordance with the terms of **APPENDIX THREE** that sets forth all changes requested by Contractor, (2) Contractor provides University with such a modified version of the HSP, (3) University approves the modified HSP in writing, and (4) all agreements or contractual arrangements resulting from this RFP are amended in writing by University and Contractor to conform to the modified HSP.

2.5.4 Proposer must submit two (2) originals of the HSP to University at the same time it submits its proposal to University (ref. **Section 3.2** of this RFP.) The two (2) originals of the HSP must be submitted under separate cover and in a separate envelope (the “HSP Envelope”). Proposer must ensure that the top outside surface of its HSP Envelope clearly shows and makes visible:

2.5.4.1 the RFP No. (ref. **Section 1.3** of this RFP) and the Submittal Deadline (ref. **Section 2.1** of this RFP), both located in the lower left hand corner of the top surface of the envelope,

2.5.4.2 the name and the return address of the Proposer, and

2.5.4.3 the phrase “HUB Subcontracting Plan”.

Any proposal submitted in response to this RFP that is not accompanied by a separate HSP Envelope meeting the above requirements will be rejected by University and returned to the Proposer unopened as that proposal will be considered non-responsive due to material failure to comply with advertised specifications. Furthermore, University will open a Proposer’s HSP Envelope prior to opening the proposal submitted by the Proposer, in order to ensure that the Proposer has submitted the number of completed and signed originals of the Proposer’s HUB Subcontracting Plan (“HSP”) that are required by this RFP. A Proposer’s failure to submit the number of completed and signed originals of the HSP that are required by this RFP will result in University’s rejection of the proposal submitted by that Proposer as non-responsive due to material failure to comply with advertised specifications; such a proposal will be returned to the Proposer unopened (ref. **Section 1.5** of **Appendix One** to this RFP). **Note**: The requirement that Proposer provide two originals of the HSP under this **Section 2.5.4** is separate from and does not affect Proposer’s obligation to provide University with the number of copies of its proposal as specified in **Section 3.1** of this RFP.

**Please note the HSP can be reviewed by the Manager of the HUB and Small Business Program up to 24 hours before the HSP is due.  THIS IS STRONGLY ENCOURAGED to ensure compliance with HSP guidelines.  Failure to meet guidelines outlined in the HSP will result in disqualification of your proposal.**

**It is recommended that ALL HSPs be reviewed by the HUB manager 7 DAYS prior to the HSP due date, thus allowing for correction and compliance.**

    2.5.5    For questions regarding the HUB Subcontracting Plan – contact:

Shaun McGowan Manager, HUB & Small Business Program 1851 Crosspoint, OCB 1.160

                        Houston, Texas 77054

                        Phone: (713) 500-4862

                        Fax (713) 500-4710

                        E-mail: [Shaun.A.McGowan@uth.tmc.edu](file:///G:\Purchasing\Standard%20Forms_Contracts_Bids\Bidding\IFO's\Shaun.A.McGowan@uth.tmc.edu)

2.5.6 **HUB Subcontracting Plans will be evaluated on October 27, 2014. An email will be sent to all Respondents indicating those plans that passed and failed. At that time, the bids with a passing HUB Subcontracting Plan will be opened.**

**2.6 Pre-Proposal Meeting**

University will hold a **MANDATORY** pre-proposal meeting at University Center Tower (UCT) Building, 7000 Fannin Street, Suite 1726 Houston, TX 77030 at 9:00 a.m., Central Standard Time on Monday, October 6, 2014. (ref. **APPENDIX FOUR Campus Map**). The pre‑proposal conference will allow all Proposers an opportunity to ask University’s representatives relevant questions and clarify provisions of this RFP. In order for proposals to be considered, Proposers must attend the Mandatory Prebid Meeting and Web X Presentation.

For those Proposers who attend the Mandatory Prebid Meeting, the University will conduct a Mandatory WebX on Monday, October 6, 2014 immediately following the scheduled Mandatory Pre-Proposal Meeting for JP Morgan Chase Receivable Edge online browser. If you are currently using JP Morgan Chase Receivables Edge with another client, you may submit a letter stating such along with a confirmation from that client during the October 6, 2014 Pre-Proposal Meeting, in lieu of attending the Mandatory WebX. **Proposals will not be considered from any eligible Proposers that do not attend the WebX and have not provided documentation of experience with JP Morgan Chase Receivables Edge.**

**SECTION 3**

**SUBMISSION OF PROPOSAL**

**3.1 Number of Copies**

Proposer must submit a total of eight (8) complete and identical copies of its *entire* proposal and a complete and identical copy of its *entire* proposal on CD-ROM. An *original* signature by an authorized officer of Proposer must appear on the Execution of Offer (ref. **Section 2** of **APPENDIX ONE**) of at least one (1) copy of the submitted proposal. The copy of the Proposer’s proposal bearing an original signature should contain the mark “original” on the front cover of the proposal.

**3.2 Submission**

Proposals must be received by University on or before the Submittal Deadline (ref. **Section 2.1** of this RFP) and should be delivered to:

The University of Texas Health Science Center at Houston

Procurement Services

1851 Crosspoint, OCB1.160

Houston, TX 77054

Attn: Angela Rodriguez, CTPM, Senior Buyer

**3.3 Proposal Validity Period**

Each proposal must remain valid for University’s acceptance for a minimum of One Hundred Twenty (120) days after the Submittal Deadline, to allow time for evaluation, selection, and any unforeseen delays.

**3.4 Terms and Conditions**

3.4.1 Proposer must comply with the requirements and specifications contained in this RFP, including the Agreement (ref. **APPENDIX TWO**), the Notice to Proposer (ref. **Section 2** of this RFP), Proposal Requirements (ref. **APPENDIX ONE**) and the Specifications and Additional Questions (ref. **Section 5** of this RFP). If there is a conflict among the provisions in this RFP, the provision requiring Proposer to supply the better quality or greater quantity of services will prevail, or if such conflict does not involve quality or quantity, then interpretation will be in the following order of precedence:

3.4.1.1. Specifications and Additional Questions (ref. **Section 5** of this RFP);

3.4.1.2. Agreement (ref. **APPENDIX TWO**);

3.4.1.3. Proposal Requirements (ref. **APPENDIX ONE**);

3.4.1.4. Notice to Proposers (ref. **Section 2** of this RFP).

**3.5 Submittal Checklist**

Proposer is instructed to complete, sign, and return the following documents as a part of its proposal. If Proposer fails to return each of the following items with its proposal, then University may reject the proposal:

3.5.1 Signed and Completed Execution of Offer (ref. **Section 2** of **APPENDIX ONE**)

3.5.2 Signed and Completed Pricing and Delivery Schedule (ref. **Section 6** of this RFP)

3.5.3 Responses to Proposer's General Questionnaire (ref. **Section 3** of **APPENDIX ONE**)

3.5.4 Signed and Completed Addenda Checklist (ref. Section 4 of **APPENDIX ONE**)

3.5.5 Responses to questions and requests for information in the Specifications and Additional Questions Section (ref. **Section 5** of this RFP)

3.5.6 Signed and completed originals of the HUB Subcontracting Plan or other applicable documents (ref. **Section 2.5** of this RFP and **APPENDIX THREE**).

3.5.7 Signed and completed W-9 Form.

3.5.8 Copy of Proposer’s insurance certificate in accordance with limits stated in the attached Sample Agreement (ref. **APPENDIX TWO**).

**SECTION 4**

**GENERAL TERMS AND CONDITIONS**

The terms and conditions contained in the attached Agreement (ref. **APPENDIX TWO**) or, in the sole discretion of University, terms and conditions substantially similar to those contained in the Agreement, will constitute and govern any agreement that results from this RFP. If Proposer takes exception to any terms or conditions set forth in the Agreement, Proposer will submit a list of the exceptions as part of its proposal in accordance with **Section 5.4.1** of this RFP. Proposer’s exceptions will be reviewed by University and may result in disqualification of Proposer’s proposal as non-responsive to this RFP. If Proposer’s exceptions do not result in disqualification of Proposer’s proposal, then University may consider Proposer’s exceptions when University evaluates the Proposer’s proposal.

**SECTION 5**

**SPECIFICATIONS AND ADDITIONAL QUESTIONS**

**5.1 General**

The minimum requirements and the specifications for the Services, as well as certain requests for information to be provided by Proposer as part of its proposal, are set forth below. As indicated in **Section 2.3** of this RFP, the successful Proposer is referred to as the “**Contractor**.”

The basic function shall be for Contractor to perform student loan billing, cash collections and he required “Due Diligence” procedures for the University’s federal and institutional student loans programs.

**5.2** Each Proposal must include information that clearly indicates that Proposer meets each of the following minimum qualification requirements:

5.2.1 Attended the Mandatory WebX meeting or

5.2.2 Provide WebX confirmation letter indicating Proposer as a current JP Morgan Chase Receivables Edge application user.

**5.3 Scope of Work**

Contractor will provide the following services to University:

**5.3.1 General**

A. All phases of services provided must be in 100% compliance with federal regulations applicable to the programs being serviced.

B. Contractor must pay any financial obligation resulting from non-compliance of applicable regulations such as denial of write-off or non-acceptance of an assignment.

C. Contractor must provide a bond or other insurance coverage to insure any University funds held by Contractor or Contractor’s agent.

D. Contractor must provide copies of audited company financial statements demonstrating the financial stability of the Contractor’s company.

E. Contractor’s closing date for all transactions each month must be the last normal business day of that month.

F. Contractor must modify its system as required by appropriate federal regulations to maintain compliance with new regulatory requirements.

G. Contractor must process all 1098E’s on behalf of the University.

H. Contractor must process all ED Assignment forms on behalf of the University.

I. Contractor must be in full compliance with the Gramm-Leach-Bliley Act and agrees to provide a summary of its safeguard procedures at the request of the University.

**5.3.2 Conversion**

1. Conversion must be accomplished within a period of thirty days or less with personnel and all necessary supplies, equipment and software supplied by Contractor.
2. Contractor must warrant that no interruptions in the normal grace contact, billing or follow-up process will occur.
3. Contractor must provide on-site/online training of University personnel. Training must be provided within 10 days after the implementation date.
4. Contractor must notify each borrower of the service contract prior to billing. This notification shall contain a statement of account, repayment information and overall procedures for repayment.
5. Contractor must be able to retain all account history, including detailed notes regarding borrower contacts.

**5.3.3** **Account Maintenance**

1. Contractor must process all documents relating to file maintenance such as deferments, postponements, cancellations, address changes, notices of separation from school, and NSF payments. Responses to borrower correspondence and inquires must be within five business days.
2. At the University’s request, Contractor must provide debt management materials and exit counseling documents to assist the University in complying with “Due Diligence” requirements for the Department of Education and the Department of Health and Human Services loan programs.
3. Contractor must provide examples of its exit counseling documents and explain its process to assist the University with the preparation of truth-in-lending/disclosure statement and repayment schedules.
4. Contractor is required to make all grace period contacts in accordance with prescribed program regulations.
5. Contractor must respond to University inquiries regarding borrowers’ accounts within three business days.
6. University copies of deferments, postponements and cancellation forms must be forwarded to the University within five business days of processing.
7. Contractor must be able to automatically process small/low balance write-offs on accounts $1.99 or less.
8. Contractor must provide monthly credit bureau reporting on behalf of the University.
9. Contractor must process all Consumer Dispute Verifications on behalf of the University.
10. Within 5 business days of receipt, Contractor must forward to the University all borrower correspondence returned by the U.S. Postal Service as undeliverable.
11. All new loans and advances must be processed on-line and update the borrower's account immediately.
12. Contractor must process advance payments for borrowers who desire to make payments several months in advance.
13. Contractor must maintain an on-line record of borrower’s payment history as reported to the credit agency throughout the term of service contract. This record must allow the University to update the borrower’s current or previous payment status on-line as necessary.
14. To reduce the risk of human error and avoid duplication of loans and advances Contractor must have safeguards or system prompts to notify user when Social Security Number (SSN) or Student ID (SID) number is a duplicate or does not match a SSN or SID already in the system.
15. Contractor must process all deferments regarding student status, unemployment status, and advanced professional training on behalf of the University. All requests for economic hardship and forbearance will be forwarded to the University for processing.
16. Contractor shall maintain membership in E-OSCAR and offer consumer dispute service at no cost to the University, as a full-service client.
17. Contractor must accommodate short-term emergency loans with repayment terms of three to four months.
18. Contractor must accommodate both SSN and SID for each borrower on the system.

**5.3.4** **Billing and Delinquent Account follow-up**

1. Contractor must bill borrowers via a statement of account as required by appropriate regulations at least thirty days before payment is due.
2. After the first billing statement is sent, the Contractor must continue to bill and follow-up on delinquent accounts as prescribe by “Due Diligence” regulations for the Department of Education and the Department of Health and Human Services.

1. Contractor must provide the borrowers with a complete summarization of loan activity with each billing.
2. Contractor must provide skip tracing services on borrowers with whom contact has been lost.
3. Contractor must notify the University at the time that a borrower’s account(s) is eligible for referral to a collection agency, HHS write-off, or assignment to DOE.
4. Contractor must automatically and accurately assess the appropriate Borrower Paid Collection Costs (BPCC) after the collection rate; (i.e.28%) has been updated in the system.
5. Contractor must accurately assess late charges on institutional loans with varying terms and rates (i.e. 10% of principal balance at the time of default, $1.00 for the first month account is delinquent and $2.00 for each month thereafter).
6. When notified by the University, Contractor must accurately calculate the penalty for Primary Care and Nurse Faculty Loan borrowers who are in breach of contract.
7. As a full-service client, Contractor must provide to the University repayment plans which accurately assess interest and late fees according to the terms of the institutional promissory notes.

**5.3.5 Cash Collections Processes**

**The University of Texas Health Science Center at Houston desires the following business practices:**

1. Collections, including electronic collections, to be placed in the University of Texas Health Science Center’s (UTHSC-H) bank account.  Collections can not be commingled with other funds.  All collections must be directly deposited or directed to the UTHSC-H’s JPMorgan Chase Bank lockbox account.
2. Contractor will provide borrowers with various payment options, including electronic options and payments directly to the University’s JPMorgan Chase Bank lockbox account with coupons provided by Contractor.
3. All collections will be posted to borrowers’ accounts daily.

a. The contractor will be given access to JPMorgan Chase Receivable Edge, the bank’s online browser, which captures daily images of checks, remittance documents and electronic payments.

i. The contractor will be able to obtain an HTML or CSV file from the online browser to use in posting collections to borrowers’ accounts daily.  Receivables Edge reports can be viewed online or downloaded in HTML or CSV format.

1. We anticipate manual posting and detail analysis of remittance documents may be required for certain types of collections received in the lockbox.  Examples include remittance for more than one student on one check and checks received without coupons.

ii. UTHSC-H will provide Contractor with a detail of electronic payments processed by UTHSC-H for posting to borrower’s accounts.

1. Contractor provides UTHSC-H, on a weekly basis, information required to post amounts received in the UTHSC-H’s financial accounting system.  The detail provided must contain the loan fund information and reconcile to receipts posted in the lockbox.  **(see Exhibit A for report example)**
2. Contractor records all collections in accordance with generally accepted accounting principles, procedures, and internal controls.
3. Contractor will provide a daily register of cash payments received and posted.  This register must agree with the cash deposit for that day.
4. Contractor will provide a reconciliation of the depository account to the monthly collections posted to its system for the University.
5. Contractor will be notified by UTHSC-H of all amounts returned for insufficient funds, both electronic and check.
   1. The UTHSC-H’s bank will automatically re-deposit a check returned for insufficient funds a second time.
   2. Contractor must notify borrower of returned check and request a replacement.

I. All correspondence with the UTHSC-H’s bank will be initiated and managed by University personnel.

**5.3.6** **Audit**

1. Contractor must maintain documentation of all charges to the University under this agreement. All books, records and documents related to work performed or money received, must be maintained for term of service contract and shall be subject to audit at any reasonable time, upon notice by the University or other state audit staff.

**5.3.7 Reports**

**Contractor must provide the following reports:**

1. A semi-annual report listing all first time borrowers and the amounts borrowed sorted by fund. This report would be for the period July 1 through December 31 and July 1 through June 30, to assist the University with meeting Federal fiscal reporting requirements.
2. An annual report providing all information for and in the format of the Department of Education FISAP report.
3. A semi-annual report providing all data for and in the format of the Department of Health and Human Services Semi-Annual Operating Report and Annual Operating Report.
4. A monthly delinquency report by fund listing borrowers and amounts delinquent (principal, interest and late fees) in the delinquency ranges specified by the Department of Education and the Department of Health and Human Services. Perkins loan borrowers and Institutional loan borrowers will be reported as prescribed by the Department of Education, all Health Professions and Nursing Student loan borrowers will be reported as prescribed by the Department of Health and Human Services.
5. A monthly report of all borrowers with whom contact has been lost. This report should be alphabetical sorted by fund.
6. A quarterly report reflecting all borrowers with an in–school status and whose separation date falls within the next calendar quarter.
7. A report on compact disk (CD) reflecting the detailed history, including history prior to conversion, of all transactions to a borrower’s account. Reports would be for individual borrowers, and would include payments, reversals, cancellations, borrower contacts and monthly credit reporting history.
8. A monthly report reflecting summary information of all University accounts on the Contractor’s system. This report would be sorted by fund and alphabetically within the fund and would include the following data elements: 1) name, 2) SSN/SID, 3) status, 4) first due date, 5) next payment date, 6) original loan amount, 7) loan balance, 8) amount repaid, 9) amount canceled, 10) cancellation reason code, 11) amount written-off, and 12) write-off reason code. After each fund, all amount fields would be totaled by field. (This is the Account Inventory Report; it’s an On Demand report. Okay to remove green highlight we need this report)
9. A monthly default rate report by fund. Default rates must be computed as prescribed by appropriate regulations. Default rates for institutional loans must be computed in accordance with the Department of Education formula.
10. A monthly report reflecting all accounts that are in bankruptcy, collection agency or litigation status.
11. A monthly report reflecting all borrowers who have received full or partial cancellations, assignments, or write-offs or their loans. This report should be by fund, reflecting the name, SSN/SID, original loan amount, and the amount repaid, canceled, assigned or written-off. Report should also contain the cancellation and write-off reason and loan balance.
12. A monthly report by fund reflecting the name and address of all accounts, which were paid in full during the prior month. Accounts may have become paid in full due to payments, write-offs, cancellations or a combination thereof. Each paid in full account should be coded as to pay-off reason.
13. A monthly report by fund reflecting the name, SSN/SID, original loan amount, principal balance, total due, last payment date, status, note date, and maturity date for all HHS loans.
14. A monthly report by fund reflecting all accounts with a principal balance $4.99 or less.
15. The University’s preferred method for receiving reports is electronically; however, reports may be furnished in hard copy, on compact disk or via the internet.
16. All accounting reports, federal and institutional, must include the following categories: principal, principal collected, principal cancelled, principal assigned (Perkins only), principal written off (HHS only), and low balance write-offs.
17. The University’s fiscal year ends August 31st; all reports for August month-end must be received by the 2nd business day of the following month to assist the Office of Student Financial Services in meeting the University’s deadline for year-end close.
18. An annual report, by fund, as of January month-end forecasting collections for a minimum of 1 year and a maximum of 5 years, to assist the University with its annual budgeting policy.
19. University must have the flexibility to obtain other special reports and to change the standard frequency in which reports are provided.

**5.3.8 Records and Equipment**

1. Backup files of all data must be maintained in an alternate location to ensure that no date will be permanently lost or destroyed.

**5.3.9 System**

1. Contractor’s system must be PC based and assessable via the internet.
2. All system updates, i.e., separation dates, names, addresses, phone numbers, and payments must be in real time.
3. Contractor’s system must provide an option that allows the University to change the separation dates on all loans simultaneously or on an individual loan if the borrower has multiple loans.
4. Contractor’s system must provide an option that allows the University to update a borrower’s contact information, i.e. name, address, and phone number, on all loans simultaneously if the borrower has multiple loans.
5. Contractor's system must allow the University to post payments received in its office directly to the borrower’s account.
6. Contractor’s system must allow detailed notations of borrower contacts.
7. Contractor’s system must be compatible with PeopleSoft’s Financial Management System 9.2.
8. Contractor’s system must allow concurrent viewing of borrower accounts by University staff and Contractor’s personnel.
9. Contractor’s system must allow borrowers to complete exit counseling electronically via an on-line portal.
10. Contractor must provide a summary of all current and future system enhancements.
11. Contractor must provide a pre-award, on-site demonstration of its system capabilities at the request of the University.   Contractor is responsible for all costs associated with this demonstration. Also, at Contractor’s option, the University would like to request access to Contractor’s test system.

**5.3.10 Commencement of Services**

A. Commencement of services must begin within 30 days of execution of contract.

**5.4 Additional Questions Specific to this RFP**

Proposer must submit the following information as part of Proposer’s proposal:

5.4.1 If Proposer takes exception to any terms or conditions set forth in the Agreement (ref. **APPENDIX TWO**), Proposer must submit a list of the exceptions.

5.4.2 In its proposal, Proposer must indicate whether it will consent to include in the Agreement the “Access by Individuals with Disabilities” language that is set forth in **APPENDIX FIVE, Access by Individuals with Disabilities**. If Proposer objects to the inclusion of the “Access by Individuals with Disabilities” language in the Agreement, Proposer must, as part of its proposal, specifically identify and describe in detail all of the reasons for Proposer’s objection. NOTE THAT A GENERAL OBJECTION IS NOT AN ACCEPTABLE RESPONSE TO THIS QUESTION.

5.4.3 In its proposal, Proposer must respond to each item listed in **APPENDIX SIX, Electronic and Information Resources (“EIR”) Environment Specifications**. **APPENDIX SIX** will establish specifications, representations, warranties and agreements related to the EIR that Proposer is offering to provide to University. Responses to **APPENDIX SIX** will be incorporated into the Agreement and will be binding on Contractor.

Pursuant to UTS165, “**Information Resources**” means any and all computer printouts, online display devices, mass storage media, and all computer-related activities involving any device capable of receiving email, browsing Web sites, or otherwise capable of receiving, storing, managing, or transmitting Data including, but not limited to, mainframes, servers, Network Infrastructure, personal computers, notebook computers, hand-held computers, personal digital assistant (PDA), pagers, distributed processing systems, network attached and computer controlled medical and laboratory equipment (i.e. embedded technology), telecommunication resources, network environments, telephones, fax machines, printers and service bureaus. Additionally, it is the procedures, equipment, facilities, software, and Data that are designed, built, operated, and maintained to create, collect, record, process, store, retrieve, display, and transmit information.

Pursuant to UTS165, “**Data**” means recorded data, regardless of form or media in which it may be recorded, which constitute the original data necessary to support the business of UT System or original observations and methods of a study and the analyses of such original data that are necessary to support research activities and validate research findings. Data includes, but is not limited to: printed records, observations and notes; electronic data; video and audio records, photographs and negatives:

5.4.4In its proposal, Proposer must respond to each item listed in **APPENDIX SEVEN, Security Characteristics and Functionality of Contractor’s Information Resources**. **APPENDIX SEVEN** will establish specifications, representations, warranties and agreements related to the EIR that Proposer is offering to provide to University. Responses to **APPENDIX SEVEN** will be incorporated into the Agreement and will be binding on Contractor.

**Qualifications**

5.4.5 **Please confirm that you understand the University Cash Collections processes as stated in Scope of Work Section 5.3.5.**

**A) Will you be able to comply with these specifications?**

**B) Please include any questions or concerns regarding your ability or inability to comply with these specifications.**

5.4.6 Proposer will provide a customer reference list of no less than five (5) organizations with which Proposer currently has contracts and/or to which Proposer has previously provided services (within the past five (5) years) of a type and scope similar to those required by University’s RFP. Proposer will include in its customer reference list the customer’s company name, contact person, telephone number, project description, length of business relationship, and background of services provided by Proposer. **At least two (2) of the references must be clients that administer both DOE and HHS Programs. The remaining (three) should administer short-term (3-4 months) and long-term (10-years) institutional loans.**

5.4.7 Describe your company's service support philosophy, how is it carried out, and how success in keeping this philosophy is measured.

5.4.8 Describe your company’s quality assurance program, what are your company’s requirements, and how are they measured?

5.4.9 State your company’s mission statement or credo.

5.4.10 Provide documentation of your company’s compliance with the Family Educational Rights and Privacy Act (FERPA).

5.4.11 Describe the training programs currently available to Company and University personnel.

5.4.12 Is your company a member of NASFAA, NACUBO, NCHELP, COHEAO, Regional/ State Financial Aid Associations (please specify), or any other pertinent organizations?

5.4.13 Provide a list of any goods or services not specified in this RFP that your company would provide to University, e.g. project management software, personnel, equipment, etc. with respect to Scope of Work Section 5.

5.4.14 If reports are accessible electronically, how soon after month-end are they available to the University?

5.4.15 Currently, the University has options to generate various on-demand reports in crystal, text, PDF or excel format. Will you be able to support these file formats?

5.4.16 Are there any reports requested in Scope of Work Section 5.3.7 that you are unable to generate?

5.4.17 What difficulties do you anticipate in serving the University and how do you plan to manage these? What assistance will you require from the University?

5.4.18 Is there a person with your company specifically assigned to monitor and institute procedures, and disseminate information to the University in regards to changes in federal student loan regulations? If yes, please indicate their name. How will changes be shared with the University?

5.4.19 How does your company maintain compliance with DOE and HHS regulatory requirements?

5.4.20 Provide a copy of your safeguard procedures to verify compliance with the Gramm-Leach- Bliley Act.

5.4.21 Provide an organizational chart for your Company that includes staffing levels-with titles proposed for this project.

5.4.22 Describe the internal controls that will be used to safeguard funds you collect on behalf of the University.

5.4.23 What type of safeguards and system prompts are in place to avoid duplication of accounts or social security numbers that are already in the system?

5.4.24 Please list all file formats for which you can receive data from the University for upload to your system, i.e. text, delimited etc.

5.4.25 Provide a list of your account status codes with descriptions.

5.4.26 List and describe each of your repayment plans.

5.4.27 Will your system accept front load collection fees?

5.4.28 Is your system accessible via the Internet for University staff and its borrowers?

5.4.29 Does your system allow concurrent viewing of borrower accounts by University staff and Contractor’s personnel?

5.4.30 Is your system capable of accurately assessing a one-time penalty fee on an institutional loan that requires an assessment of 10% of the principal balance at the time of default? If yes, please list current clients for whom you are providing this service.

5.4.31 Does your system maintain the borrower’s default date?

5.4.32 Does your system maintain a history of the borrower’s outstanding billing statements?

5.4.33 List all formats by which you will provide reports to the University?

5.4.34 How will you provide August month-end reports in order to meet the established deadline for the University’s fiscal year-end close?

5.4.35 List the payment options available to assist borrowers in making timely and consistent payments.

5.4.36 Explain how payments adjustments are applied and noted on your system.

5.4.37 Is Contractor’s system compatible with PeopleSoft Financial Management System 9.2?

5.4.38 Is Contractor’s system capable of generating ED Assignment forms?

5.4.39 Is Contractor’s system capable of generating form 1098E? If yes, describe your method of reporting to the Internal Revenue Service and informing borrowers of annual interest paid on student loans.

5.4.40 Will you allow the University access to your test system to make a hands-on determination of its functionality and user friendliness?

5.4.41 Provide a list of all current and future system enhancements.

5.4.42 Provide a summary of your disaster recovery plan.

**Collection Processes**

5.4.43 Describe your billing cycle for borrowers who are current, delinquent and in default.

5.4.44 Provide a copy of your monthly calendar, indicating your processing schedule for generating statements, past due notices, NSLDS reporting etc.

5.4.45 Describe your skip tracing procedures for borrowers with whom contact has been lost.

5.4.46 Which of your repayment plans would apply to an institutional loan that accrues interest from the date of disbursement and is repaid in two (2) equal annual installments of principal plus accrued interest?

5.4.47 The University receives an automatic general ledger and receivables feed to record payments/collections, various cancellations and adjustments to loan funds each month. Weekly files, to record payments/collections, are received by 12 noon every Monday; monthly files to record adjustments are received by the 2nd business day of the month. Will you be able to support this flow of data from your system to the University’s PeopleSoft Financial Management System? (file specifications available upon request)

5.4.48 Provide a list of options available for adding new loans and advances to your system.

5.4.49 The University currently receives an electronic weekly report detailing all transactions and collection activity for the previous week. Will you be able to support this service?

5.4.50 How soon after an account becomes delinquent is it reported to a credit agency?

5.4.51 Will the trade line for credit bureau reporting be in the University’s name or the Contractor’s? If in the University’s name, how will you assist the University with the completion of Consumer Dispute Verifications?

5.4.52 What is your process for notifying the University that a borrower’s billing statement or late notice was returned by the U.S. Postal Service as undeliverable and why, i.e. forwarding order expired, no such address, moved no forwarding order on file?

5.4.53 How many days after the payment due date, are late charges assessed on the borrower’s account?

5.4.54 Explain how you will assist the University with the preparation of truth-in-lending/disclosure statements and repayment schedules. Provide information regarding electronic/on-line exit counseling.

5.4.55 Provide examples of your debt management and exit counseling documents.

5.4.56 Describe your “Due Diligence” process for the Federal Perkins loan program and provide copies of your notices.

5.4.57 Describe your “Due Diligence” process for the Health Professions loan program and provide copies of your notices.

5.4.58 Provide copies of your billing statements for borrowers who are current, delinquent and in default. Copies should be for borrowers with one loan and multiple loans.

5.4.59 Provide copies of all reports, including format and frequency, provided as part of standard service to clients. Reports should be for Perkins, HHS and Institutional loan funds. Can these reports be modified?

5.4.60 Provide a list of the credit agencies to which you report each month.

**Cash Collections Processes**

5.4.61 Describe processes, including payment methods, currently utilized by Contractor for payment receipt.  What process adjustments, if needed, will Contractor make to accommodate UTHSC-H?

5.4.62 Describe the payment posting process utilized by Contractor.  What process adjustments, if needed, will Contractor make to accommodate UTHSC-H?

5.4.63 How does Contractor currently provide student loan updates to the institution (customer)?  What process adjustments, if needed, will Contractor make to accommodate UTHSC-H?

5.4.64 What information is currently being provided by Contractor to institutions (customers)?  In what format is the information provided?

**SECTION 6**

**PRICING AND DELIVERY SCHEDULE**

**Proposal of:**  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

(Proposer Company Name)

**To:** The University of Texas Health Science Center at Houston

**Ref.:** Services related to the Student Billing Services

**RFP No.:**  744-R1502

Ladies and Gentlemen:

Having carefully examined all the specifications and requirements of this RFP and any attachments thereto, the undersigned proposes to furnish the Student Billing Services required pursuant to the above-referenced Request for Proposal upon the terms quoted below.

* 1. **Pricing Schedule**

***Monthly Servicing Fees***

Enrolled $ \_\_\_\_\_\_\_\_\_\_

Grace $ \_\_\_\_\_\_\_\_\_\_

Deferred $ \_\_\_\_\_\_\_\_\_\_

Monthly Billing $ \_\_\_\_\_\_\_\_\_\_

Quarterly Billing $ \_\_\_\_\_\_\_\_\_\_

Annual Billing $ \_\_\_\_\_\_\_\_\_\_

Paid Accounts $ \_\_\_\_\_\_\_\_\_\_

Assigned / Written Off $ \_\_\_\_\_\_\_\_\_\_

***Due Diligence Telephone Calls***

30 – 60 day telephone calls $ \_\_\_\_\_\_\_\_\_\_\_ / ea.

90 day telephone calls $ \_\_\_\_\_\_\_\_\_\_\_ / ea.

Directory Assistance / Information Calls $ \_\_\_\_\_\_\_\_\_\_\_ / ea.

Credit Bureau Reporting $\_\_\_\_\_\_\_\_\_\_\_ / per instance

Exit Interview Kits (electronic of hardcopy) $ \_\_\_\_\_\_\_\_\_\_\_ / ea.

National Student Loan Data System Reporting $\_\_\_\_\_\_\_\_\_\_\_ / per instance

National Student Clearinghouse $\_\_\_\_\_\_\_\_\_\_\_ / per instance

***Monthly Optional Fees***

On-line Access $ \_\_\_\_\_\_\_\_\_ month

Reports:

CD-ROM $ \_\_\_\_\_\_\_\_\_ per instance

Internet (Select Reports) $ \_\_\_\_\_\_\_\_\_ per instance

Paper (8-1/2” x 11” laser) $ \_\_\_\_\_\_\_\_\_ per instance

eData (MSExcel File) $ \_\_\_\_\_\_\_\_\_ per instance

Acceleration Letters:

Internet to Accelerate $ \_\_\_\_\_\_\_\_\_ per instance

Notice of Acceleration $ \_\_\_\_\_\_\_\_\_ per instance

Assignment Form $ \_\_\_\_\_\_\_\_\_ per instance

Conversion Fee $ \_\_\_\_\_\_\_\_\_ per instance

***Optional Services***

Web-based Notes, Electronic Signatures $ \_\_\_\_\_\_\_\_\_ / note

Electronic Exit Interviews $ \_\_\_\_\_\_\_\_\_ / per instance

Borrower Locator (Skip tracing) $ \_\_\_\_\_\_\_\_\_ / per instance

Loan Consolidation $ \_\_\_\_\_\_\_\_\_ / per instance

1098E Reporting $ \_\_\_\_\_\_\_\_\_ / borrower rpt.

1098T Reporting $ \_\_\_\_\_\_\_\_\_ / student rpt.

Cohort Account Protection $ \_\_\_\_\_\_\_\_\_ / per instance

Cohort Account Management $ \_\_\_\_\_\_\_\_\_ / month

Pre-Assignment Recovery $ \_\_\_\_\_\_\_\_\_ / per instance

Assignment Management $ \_\_\_\_\_\_\_\_\_ / per account

Co-branding (adding UTHSC-H logo) $ \_\_\_\_\_\_\_\_\_ / one-time fee

Ultimate Service Option $ \_\_\_\_\_\_\_\_\_ / active account

**6.2 Delivery Schedule –** Proposer must indicate the number of calendar days needed to implement the program from the date of contract execution to commencement of services.

Number of calendar days to commence services: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ **6.3 University’s Payment Terms**

University’s standard payment terms for services are “Net 30 days.” Proposer agrees that University will be entitled to withhold \_\_\_\_\_\_\_\_\_\_ percent (\_\_\_\_\_\_\_\_%) of the total payment due under the Agreement until after University’s acceptance of the final work product. Indicate below the prompt payment discount that Proposer will provide to University:

Prompt Payment Discount: \_\_\_\_\_%\_\_\_\_\_days/net 30 days.

Respectfully submitted,

**Proposer:** \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

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

(Authorized Signature for Proposer)

**Name:**  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

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

**Date:**  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

APPENDIX ONE

PROPOSAL REQUIREMENTS

TABLE OF CONTENTS

SECTION 1:  GENERAL INFORMATION 1

SECTION 2:  EXECUTION OF OFFER 5

**SECTION 3: PROPOSER'S GENERAL QUESTIONNAIRE** 8

**SECTION 4: ADDENDA CHECKLIST** 10

**SECTION 1**

**GENERAL INFORMATION**

**1.1 Purpose**

University is soliciting competitive sealed proposals from Proposers having suitable qualifications and experience providing services in accordance with the terms, conditions and requirements set forth in this RFP. This RFP provides sufficient information for interested parties to prepare and submit proposals for consideration by University.

By submitting a proposal, Proposer certifies that it understands this RFP and has full knowledge of the scope, nature, quality, and quantity of the services to be performed, the detailed requirements of the services to be provided, and the conditions under which such services are to be performed. Proposer also certifies that it understands that all costs relating to preparing a response to this RFP will be the sole responsibility of the Proposer.

PROPOSER IS CAUTIONED TO READ THE INFORMATION CONTAINED IN THIS RFP CAREFULLY AND TO SUBMIT A COMPLETE RESPONSE TO ALL REQUIREMENTS AND QUESTIONS AS DIRECTED.

**1.2 Inquiries and Interpretations**

University may in its sole discretion respond in writing to written inquiries concerning this RFP and mail its response as an Addendum to all parties recorded by University as having received a copy of this RFP. Only University’s responses that are made by formal written Addenda will be binding on University. Any verbal responses, written interpretations or clarifications other than Addenda to this RFP will be without legal effect. All Addenda issued by University prior to the Submittal Deadline will be and are hereby incorporated as a part of this RFP for all purposes.

Proposers are required to acknowledge receipt of each Addendum as specified in this Section. The Proposer must acknowledge all Addenda by completing, signing and returning the Addenda Checklist (ref. **Section 4** of **APPENDIX ONE**). The Addenda Checklist must be received by University prior to the Submittal Deadline and should accompany the Proposer’s proposal.

Any interested party that receives this RFP by means other than directly from University is responsible for notifying University that it has received an RFP package, and should provide its name, address, telephone number and FAX number to University, so that if University issues Addenda to this RFP or provides written answers to questions, that information can be provided to such party.

**1.3 Public Information**

Proposer is hereby notified that University strictly adheres to all statutes, court decisions and the opinions of the Texas Attorney General with respect to disclosure of public information.

University may seek to protect from disclosure all information submitted in response to this RFP until such time as a final agreement is executed.

Upon execution of a final agreement, University will consider all information, documentation, and other materials requested to be submitted in response to this RFP, to be of a non-confidential and non-proprietary nature and, therefore, subject to public disclosure under the *Texas Public Information Act* (*Government Code*, Chapter 552.001, et seq.). Proposer will be advised of a request for public information that implicates their materials and will have the opportunity to raise any objections to disclosure to the Texas Attorney General. Certain information may be protected from release under Sections 552.101, 552.110, 552.113, and 552.131, *Government Code*.

**1.4 Type of Agreement**

Contractor, if any, will be required to enter into a contract with University in a form substantially similar to the Agreement between University and Contractor (the “**Agreement**”) attached to this RFP as **APPENDIX TWO** and incorporated for all purposes.

**1.5 Proposal Evaluation Process**

University will select Contractor by using the competitive sealed proposal process described in this Section. University will open the HSP Envelope submitted by a Proposer prior to opening the Proposer’s proposal in order to ensure that the Proposer has submitted the number of completed and signed originals of the Proposer’s HUB Subcontracting Plan (also called the HSP) that are required by this RFP (ref. **Section 2.5.4** of the RFP.) All proposals submitted by the Submittal Deadline accompanied by the number of completed and signed originals of the HSP that are required by this RFP will be opened publicly to identify the name of each Proposer submitting a proposal. Any proposals that are not submitted by the Submittal Date or that are not accompanied by the number of completed and signed originals of the HSP that are required by this RFP will be rejected by University as non-responsive due to material failure to comply with advertised specifications. After the opening of the proposals and upon completion of the initial review and evaluation of the proposals, University may invite one or more selected Proposers to participate in oral presentations. University will use commercially reasonable efforts to avoid public disclosure of the contents of a proposal prior to selection of Contractor.

University may make the selection of Contractor on the basis of the proposals initially submitted, without discussion, clarification or modification. In the alternative, University may make the selection of Contractor on the basis of negotiation with any of the Proposers. In conducting such negotiations, University will use commercially reasonable efforts to avoid disclosing the contents of competing proposals.

At University's sole option and discretion, University may discuss and negotiate all elements of the proposals submitted by selected Proposers within a specified competitive range. For purposes of negotiation, University may establish, after an initial review of the proposals, a competitive range of acceptable or potentially acceptable proposals composed of the highest rated proposal(s). In that event, University will defer further action on proposals not included within the competitive range pending the selection of Contractor; provided, however, University reserves the right to include additional proposals in the competitive range if deemed to be in the best interests of University.

After submission of a proposal but before final selection of Contractor is made, University may permit a Proposer to revise its proposal in order to obtain the Proposer's best and final offer. In that event, representations made by Proposer in its revised proposal, including price and fee quotes, will be binding on Proposer. University will provide each Proposer within the competitive range with an equal opportunity for discussion and revision of its proposal. University is not obligated to select the Proposer offering the most attractive economic terms if that Proposer is not the most advantageous to University overall, as determined by University.

University reserves the right to (a) enter into an agreement for all or any portion of the requirements and specifications set forth in this RFP with one or more Proposers, (b) reject any and all proposals and re-solicit proposals, or (c) reject any and all proposals and temporarily or permanently abandon this selection process, if deemed to be in the best interests of University. Proposer is hereby notified that University will maintain in its files concerning this RFP a written record of the basis upon which a selection, if any, is made by University.

**1.6 Proposer's Acceptance of Evaluation Methodology**

By submitting a proposal, Proposer acknowledges (1) Proposer's acceptance of [a] the Proposal Evaluation Process (ref. **Section 1.5** of **APPENDIX ONE**), [b] the Criteria for Selection (ref. **2.3** of this RFP), [c] the Specifications and Additional Questions (ref. **Section 5** of this RFP), [d] the terms and conditions of the Agreement (ref. **APPENDIX TWO**), and [e] all other requirements and specifications set forth in this RFP; and (2) Proposer's recognition that some subjective judgments must be made by University during this RFP process.

**1.7 Solicitation for Proposal and Proposal Preparation Costs**

Proposer understands and agrees that (1) this RFP is a solicitation for proposals and University has made no representation written or oral that one or more agreements with University will be awarded under this RFP; (2) University issues this RFP predicated on University’s anticipated requirements for the Services, and University has made no representation, written or oral, that any particular scope of services will actually be required by University; and (3) Proposer will bear, as its sole risk and responsibility, any cost that arises from Proposer’s preparation of a proposal in response to this RFP.

**1.8 Proposal Requirements and General Instructions**

1.8.1 Proposer should carefully read the information contained herein and submit a complete proposal in response to all requirements and questions as directed.

1.8.2 Proposals and any other information submitted by Proposer in response to this RFP will become the property of University.

1.8.3 University will not provide compensation to Proposer for any expenses incurred by the Proposer for proposal preparation or for demonstrations or oral presentations that may be made by Proposer. Proposer submits its proposal at its own risk and expense.

1.8.4 Proposals that (i) are qualified with conditional clauses; (ii) alter, modify, or revise this RFP in any way; or (iii) contain irregularities of any kind, are subject to disqualification by University, at University’s sole discretion.

1.8.5 Proposals should be prepared simply and economically, providing a straightforward, concise description of Proposer's ability to meet the requirements and specifications of this RFP. Emphasis should be on completeness, clarity of content, and responsiveness to the requirements and specifications of this RFP.

1.8.6 University makes no warranty or guarantee that an award will be made as a result of this RFP. University reserves the right to accept or reject any or all proposals, waive any formalities, procedural requirements, or minor technical inconsistencies, and delete any requirement or specification from this RFP or the Agreement when deemed to be in University's best interest. University reserves the right to seek clarification from any Proposer concerning any item contained in its proposal prior to final selection. Such clarification may be provided by telephone conference or personal meeting with or writing to University, at University’s sole discretion. Representations made by Proposer within its proposal will be binding on Proposer.

1.8.7 Any proposal that fails to comply with the requirements contained in this RFP may be rejected by University, in University’s sole discretion.

**1.9 Preparation and Submittal Instructions**

1.9.1 Specifications and Additional Questions

Proposals must include responses to the questions in Specifications and Additional Questions (ref. **Section 5** ofthis RFP). Proposer should reference the item number and repeat the question in its response. In cases where a question does not apply or if unable to respond, Proposer should refer to the item number, repeat the question, and indicate N/A (Not Applicable) or N/R (No Response), as appropriate. Proposer should explain the reason when responding N/A or N/R.

1.9.2 Execution of Offer

Proposer must complete, sign and return the attached Execution of Offer (ref. **Section 2** of **APPENDIX ONE**) as part of its proposal. The Execution of Offer must be signed by a representative of Proposer duly authorized to bind the Proposer to its proposal. Any proposal received without a completed and signed Execution of Offer may be rejected by University, in its sole discretion.

1.9.3 Pricing and Delivery Schedule

Proposer must complete and return the Pricing and Delivery Schedule (ref. **Section 6** ofthis RFP), as part of its proposal. In the Pricing and Delivery Schedule, the Proposer should describe in detail (a) the total fees for the entire scope of the Services; and (b) the method by which the fees are calculated. The fees must be inclusive of all associated costs for delivery, labor, insurance, taxes, overhead, and profit.

University will not recognize or accept any charges or fees to perform the Services that are not specifically stated in the Pricing and Delivery Schedule.

In the Pricing and Delivery Schedule, Proposer should describe each significant phase in the process of providing the Services to University, and the time period within which Proposer proposes to be able to complete each such phase.

1.9.4 Proposer’s General Questionnaire

Proposals must include responses to the questions in Proposer’s General Questionnaire (ref. **Section 3** of **APPENDIX ONE).** Proposer should reference the item number and repeat the question in its response. In cases where a question does not apply or if unable to respond, Proposer should refer to the item number, repeat the question, and indicate N/A (Not Applicable) or N/R (No Response), as appropriate. Proposer should explain the reason when responding N/A or N/R.

1.9.5 Addenda Checklist

Proposer should acknowledge all Addenda to this RFP (if any) by completing, signing and returning the Addenda Checklist (ref. **Section 4** of **APPENDIX ONE**) as part of its proposal. Any proposal received without a completed and signed Addenda Checklist may be rejected by University, in its sole discretion.

1.9.6 Submission

Proposer should submit all proposal materials enclosed in a sealed envelope, box, or container. The RFP No. (ref. **Section 1.3** of this RFP) and the Submittal Deadline (ref. **Section 2.1** of this RFP) should be clearly shown in the lower left‑hand corner on the top surface of the container. In addition, the name and the return address of the Proposer should be clearly visible.

Proposer must also submit the number of originals of the HUB Subcontracting Plan (also called the HSP) as required by this RFP (ref. **Section 2.5** of the RFP.)

Upon Proposer’s request and at Proposer’s expense, University will return to a Proposer its proposal received after the Submittal Deadline if the proposal is properly identified. University will not under any circumstances consider a proposal that is received after the Submittal Deadline or which is not accompanied by the number of completed and signed originals of the HSP that are required by this RFP.

University will not accept proposals submitted by telephone, proposals submitted by Facsimile (“**FAX**”) transmission, or proposals submitted by electronic transmission (i.e., e-mail) in response to this RFP.

Except as otherwise provided in this RFP, no proposal may be changed, amended, or modified after it has been submitted to University. However, a proposal may be withdrawn and resubmitted at any time prior to the Submittal Deadline. No proposal may be withdrawn after the Submittal Deadline without University’s consent, which will be based on Proposer's submittal of a written explanation and documentation evidencing a reason acceptable to University, in University’s sole discretion.

By signing the Execution of Offer (ref. **Section 2** of **APPENDIX ONE**) and submitting a proposal, Proposer certifies that any terms, conditions, or documents attached to or referenced in its proposal are applicable to this procurement only to the extent that they (a) do not conflict with the laws of the State of Texas or this RFP and (b) do not place any requirements on University that are not set forth in this RFP or in the Appendices to this RFP. Proposer further certifies that the submission of a proposal is Proposer's good faith intent to enter into the Agreement with University as specified herein and that such intent is not contingent upon University's acceptance or execution of any terms, conditions, or other documents attached to or referenced in Proposer’s proposal.

1.9.7 Page Size, Binders, and Dividers

Proposals must be typed on letter-size (8-1/2” x 11”) paper, and must be submitted in a binder. Preprinted material should be referenced in the proposal and included as labeled attachments. Sections within a proposal should be divided by tabs for ease of reference.

1.9.8 Table of Contents

Proposals must include a Table of Contents with page number references. The Table of Contents must contain sufficient detail and be organized according to the same format as presented in this RFP, to allow easy reference to the sections of the proposal as well as to any separate attachments (which should be identified in the main Table of Contents). If a Proposer includes supplemental information or non-required attachments with its proposal, this material should be clearly identified in the Table of Contents and organized as a separate section of the proposal.

1.9.9 Pagination

All pages of the proposal should be numbered sequentially in Arabic numerals (1, 2, 3, etc.). Attachments should be numbered or referenced separately.

**SECTION 2**

**Execution of Offer**

**THIS EXECUTION OF OFFER MUST BE COMPLETED, SIGNED AND RETURNED WITH PROPOSER'S PROPOSAL. FAILURE TO COMPLETE, SIGN AND RETURN THIS EXECUTION OF OFFER WITH THE PROPOSER’S PROPOSAL MAY RESULT IN THE REJECTION OF THE PROPOSAL.**

**2.1** By signature hereon, Proposer represents and warrants the following:

2.1.1 Proposer acknowledges and agrees that (1) this RFP is a solicitation for a proposal and is not a contract or an offer to contract; (2) the submission of a proposal by Proposer in response to this RFP will not create a contract between University and Proposer; (3) University has made no representation or warranty, written or oral, that one or more contracts with University will be awarded under this RFP; and (4) Proposer will bear, as its sole risk and responsibility, any cost arising from Proposer’s preparation of a response to this RFP.

2.1.2 Proposer is a reputable company that is lawfully and regularly engaged in providing the Services.

2.1.3 Proposer has the necessary experience, knowledge, abilities, skills, and resources to perform the Services.

2.1.4 Proposer is aware of, is fully informed about, and is in full compliance with all applicable federal, state and local laws, rules, regulations and ordinances.

2.1.5 Proposer understands (i) the requirements and specifications set forth in this RFP and (ii) the terms and conditions set forth in the Agreement under which Proposer will be required to operate.

2.1.6 If selected by University, Proposer will not delegate any of its duties or responsibilities under this RFP or the Agreement to any sub-contractor, except as expressly provided in the Agreement.

2.1.7 If selected by University, Proposer will maintain any insurance coverage as required by the Agreement during the term thereof.

2.1.8 All statements, information and representations prepared and submitted in response to this RFP are current, complete, true and accurate. Proposer acknowledges that University will rely on such statements, information and representations in selecting Contractor. If selected by University, Proposer will notify University immediately of any material change in any matters with regard to which Proposer has made a statement or representation or provided information.

2.1.9 Proposer will defend with counsel approved by University, indemnify, and hold harmless University, The University of Texas System, the State of Texas, and all of their regents, officers, agents and employees, from and against all actions, suits, demands, costs, damages, liabilities and other claims of any nature, kind or description, including reasonable attorneys’ fees incurred in investigating, defending or settling any of the foregoing, arising out of, connected with, or resulting from any negligent acts or omissions or willful misconduct of Proposer or any agent, employee, subcontractor, or supplier of Proposer in the execution or performance of any contract or agreement resulting from this RFP.

2.1.10 Pursuant to Sections 2107.008 and 2252.903, *Government Code*, any payments owing to Proposer under any contract or agreement resulting from this RFP may be applied directly to any debt or delinquency that Proposer owes the State of Texas or any agency of the State of Texas regardless of when it arises, until such debt or delinquency is paid in full.

**2.2** By signature hereon, Proposer offers and agrees to furnish the Services to University and comply with all terms, conditions, requirements and specifications set forth in this RFP.

**2.3** By signature hereon, Proposer affirms that it has not given or offered to give, nor does Proposer intend 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 its submitted proposal. Failure to sign this Execution of Offer, or signing with a false statement, may void the submitted proposal or any resulting contracts, and the Proposer may be removed from all proposal lists at University.

**2.4** By signature hereon, Proposer certifies that it is not currently delinquent in the payment of any taxes due under Chapter 171, *Tax Code*, or that Proposer is exempt from the payment of those taxes, or that Proposer is an out-of-state taxable entity that is not subject to those taxes, whichever is applicable. A false certification will be deemed a material breach of any resulting contract or agreement and, at University's option, may result in termination of any resulting contract or agreement.

**2.5** By signature hereon, Proposer hereby certifies that neither Proposer nor any firm, corporation, partnership or institution represented by Proposer, or anyone acting for such firm, corporation or institution, has violated the antitrust laws of the State of Texas, codified in Section 15.01, et seq., *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.

**2.6** By signature hereon, Proposer certifies that the individual signing this document and the documents made a part of this RFP, is authorized to sign such documents on behalf of Proposer and to bind Proposer under any agreements and other contractual arrangements that may result from the submission of Proposer’s proposal.

**2.7** By signature hereon, Proposer certifies as follows:

"Under Section 231.006, *Family Code,* relating to child support, Proposer certifies that the individual or business entity named in the Proposer’s proposal is not ineligible to receive the specified contract award and acknowledges that any agreements or other contractual arrangements resulting from this RFP may be terminated if this certification is inaccurate."

**2.8** By signature hereon, Proposer certifies that (i) no relationship, whether by blood, marriage, business association, capital funding agreement or by any other such kinship or connection exists between the owner of any Proposer that is a sole proprietorship, the officers or directors of any Proposer that is a corporation, the partners of any Proposer that is a partnership, the joint venturers of any Proposer that is a joint venture or the members or managers of any Proposer that is a limited liability company, on one hand, and an employee of any component of The University of Texas System, on the other hand, other than the relationships which have been previously disclosed to University in writing; (ii) Proposer has not been an employee of any component institution of The University of Texas System within the immediate twelve (12) months prior to the Submittal Deadline; and (iii) no person who, in the past four (4) years served as an executive of a state agency was involved with or has any interest in Proposer’s proposal or any contract resulting from this RFP (ref. Section 669.003, *Government Code*). All disclosures by Proposer in connection with this certification will be subject to administrative review and approval before University enters into a contract or agreement with Proposer.

**2.9** By signature hereon, Proposer certifies its compliance with all federal laws and regulations pertaining to Equal Employment Opportunities and Affirmative Action.

**2.10** By signature hereon, Proposer represents and warrants that all products and services offered to University in response to this RFP meet or exceed the safety standards established and promulgated under the Federal Occupational Safety and Health Law (Public Law 91-596) and the *Texas Hazard Communication Act*, Chapter 502, *Health and Safety Code*, and all related regulations in effect or proposed as of the date of this RFP.

**2.11** Proposer will and has disclosed, as part of its proposal, any exceptions to the certifications stated in this Execution of Offer. All such disclosures will be subject to administrative review and approval prior to the time University makes an award or enters into any contract or agreement with Proposer.

**2.12** If Proposer will sell or lease computer equipment to the University under any agreements or other contractual arrangements that may result from the submission of Proposer’s proposal then, pursuant to Section 361.965(c), *Health & Safety Code*, Proposer certifies that it is in compliance with the Manufacturer Responsibility and Consumer Convenience Computer Equipment Collection and Recovery Act set forth in Chapter 361, Subchapter Y, *Health & Safety Code* and the rules adopted by the Texas Commission on Environmental Quality under that Act as set forth in Title 30, Chapter 328, Subchapter I, *Texas Administrative Code*. Section 361.952(2), *Health & Safety Code,* states that, for purposes of the Manufacturer Responsibility and Consumer Convenience Computer Equipment Collection and Recovery Act*,* the term“computer equipment” means a desktop or notebook computer and includes a computer monitor or other display device that does not contain a tuner.

**2.13 Proposer should complete the following information:**

If Proposer is a Corporation, then State of Incorporation:

If Proposer is a Corporation then Proposer’s Corporate Charter Number:  \_\_\_\_\_\_

RFP No.: \_\_\_\_\_\_\_

**NOTICE: With few exceptions, individuals are entitled on request to be informed about the information that governmental bodies of the State of Texas collect about such individuals. Under Sections 552.021 and 552.023, *Government Code*, individuals are entitled to receive and review such information. Under Section 559.004, *Government Code*, individuals are entitled to have governmental bodies of the State of Texas correct information about such individuals that is incorrect.**

**Submitted and Certified By:**

(Proposer Institution’s Name)

(Signature of Duly Authorized Representative)

(Printed Name/Title)

(Date Signed)

(Proposer’s Street Address)

(City, State, Zip Code)

(Telephone Number)

(FAX Number)

(Email Address)

**SECTION 3**

**PROPOSER’S GENERAL QUESTIONNAIRE**

**NOTICE: With few exceptions, individuals are entitled on request to be informed about the information that governmental bodies of the State of Texas collect about such individuals. Under Sections 552.021 and 552.023, *Government Code*, individuals are entitled to receive and review such information. Under Section 559.004, *Government Code*, individuals are entitled to have governmental bodies of the State of Texas correct information about such individuals that is incorrect.**

Proposals must include responses to the questions contained in this Proposer’s General Questionnaire. Proposer should reference the item number and repeat the question in its response. In cases where a question does not apply or if unable to respond, Proposer should refer to the item number, repeat the question, and indicate N/A (Not Applicable) or N/R (No Response), as appropriate. Proposer will explain the reason when responding N/A or N/R.

**3.1 Proposer Profile**

3.1.1 Legal name of Proposer company:

Address of principal place of business:

Address of office that would be providing service under the Agreement:

Number of years in Business:

State of incorporation:

Number of Employees:

Annual Revenues Volume:

Name of Parent Corporation, if any   \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**NOTE:  If Proposer is a subsidiary, University prefers to enter into a contract or agreement with the Parent Corporation or to receive assurances of performance from the Parent Corporation.**

3.1.2 State whether Proposer will provide a copy of its financial statements for the past two (2) years, if requested by University.

3.1.3 Proposer will provide a financial rating of the Proposer entity and any related documentation (such as a Dunn and Bradstreet analysis) that indicates the financial stability of Proposer.

3.1.4 Is Proposer currently for sale or involved in any transaction to expand or to become acquired by another business entity? If yes, Proposer will explain the expected impact, both in organizational and directional terms.

3.1.5 Proposer will provide any details of all past or pending litigation or claims filed against Proposer that would affect its performance under the Agreement with University (if any).

3.1.6 Is Proposer currently in default on any loan agreement or financing agreement with any bank, financial institution, or other entity? If yes, Proposer will specify the pertinent date(s), details, circumstances, and describe the current prospects for resolution.

3.1.7 Does any relationship exist (whether by family kinship, business association, capital funding agreement, or any other such relationship) between Proposer and any employee of University? If yes, Proposer will explain.

3.1.8 Proposer will provide the name and Social Security Number for each person having at least 25% ownership interest in Proposer. This disclosure is mandatory pursuant to Section 231.006, *Family Code*, and will be used for the purpose of determining whether an owner of Proposer with an ownership interest of at least 25% is more than 30 days delinquent in paying child support. Further disclosure of this information is governed by the *Texas Public Information Act*, Chapter 552, *Government Code*, and other applicable law.

**3.2 Approach to Project Services**

3.2.1 Proposer will provide a statement of the Proposer’s service approach and will describe any unique benefits to University from doing business with Proposer. Proposer will briefly describe its approach for each of the required services identified in **Section 5.3** Scope of Work of this RFP.

3.2.2 Proposer will provide an estimate of the earliest starting date for services following execution of the Agreement.

3.2.3 Proposer will submit a work plan with key dates and milestones. The work plan should include:

3.2.3.1 Identification of tasks to be performed;

3.2.3.2 Time frames to perform the identified tasks;

3.2.3.3 Project management methodology;

3.2.3.4 Implementation strategy; and

3.2.3.5 The expected time frame in which the services would be implemented.

3.2.4 Proposer will describe the types of reports or other written documents Proposer will provide (if any) and the frequency of reporting, if more frequent than required in the RFP. Proposer will include samples of reports and documents if appropriate.

**3.3 General Requirements**

3.3.1 Proposer will provide summary resumes for its proposed key personnel who will be providing services under the Agreement with University, including their specific experiences with similar service projects, and number of years of employment with Proposer.

3.3.2 Proposer will describe any difficulties it anticipates in performing its duties under the Agreement with University and how Proposer plans to manage these difficulties. Proposer will describe the assistance it will require from University.

**3.4 Service Support**

Proposer will describe its service support philosophy, how it is implemented, and how Proposer measures its success in maintaining this philosophy.

**3.5 Quality Assurance**

Proposer will describe its quality assurance program, its quality requirements, and how they are measured.

**3.6 Miscellaneous**

3.6.1 Proposer will provide a list of any additional services or benefits not otherwise identified in this RFP that Proposer would propose to provide to University. Additional services or benefits must be directly related to the goods and services solicited under this RFP.

3.6.2 Proposer will provide details describing any unique or special services or benefits offered or advantages to be gained by University from doing business with Proposer. Additional services or benefits must be directly related to the goods and services solicited under this RFP.

3.6.3 Does Proposer have a contingency plan or disaster recovery plan in the event of a disaster? If so, then Proposer will provide a copy of the plan.

**SECTION 4**

**ADDENDA CHECKLIST**

**Proposal of:**  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

(Proposer Company Name)

**To:** The University of Texas Health Science Center at Houston

**Ref.:** \_\_\_\_\_\_\_\_\_\_\_\_\_ Services related to the

**RFP No.:**  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Ladies and Gentlemen:

The undersigned Proposer hereby acknowledges receipt of the following Addenda to the captioned RFP (initial if applicable).

No. 1 \_\_\_\_\_ No. 2 \_\_\_\_\_ No. 3 \_\_\_\_\_ No. 4 \_\_\_\_\_ No. 5 \_\_\_\_\_

Respectfully submitted,

**Proposer:**\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

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

(Authorized Signature for Proposer)

**Name:**  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

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

**Date:**  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

APPENDIX FOUR

CAMPUS MAP



STUDENT / FACULTY HOUSING

AUX / REC

SOD

BBS

Facility locations in this image:

BBS – Behavioral & Biomedical Sciences

SOD – School of Dentistry

AUX / REC – Auxiliary Enterprises & Recreation Center

SFA – Student / Faculty Housing Complex

APPENDIX FIVE

**ACCESS BY INDIVIDUALS WITH DISABILITIES**

**Access by Individuals with Disabilities.** Contractor represents and warrants (“EIR Accessibility Warranty”) that the electronic and information resources and all associated information, documentation, and support that it provides to University under this Agreement (collectively, the “EIRs”) comply with the applicable requirements set forth in Title 1, Chapter 213, *Texas Administrative Code,* and Title 1, Chapter 206, Rule §206.70, *Texas Administrative Code* (as authorized by Chapter 2054, Subchapter M, *Government Code*.) To the extent Contractor becomes aware that the EIRs, or any portion thereof, do not comply with the EIR Accessibility Warranty, then Contractor represents and warrants that it will, at no cost to University, either (1) perform all necessary remediation to make the EIRs satisfy the EIR Accessibility Warranty or (2) replace the EIRs with new EIRs that satisfy the EIR Accessibility Warranty. In the event that Contractor fails or is unable to do so, then University may terminate this Agreement and Contractor will refund to University all amounts University has paid under this Agreement within thirty (30) days after the termination date.

**APPENDIX SIX**

**ELECTRONIC AND INFORMATION RESOURCES ENVIRONMENT SPECIFICATIONS**

The specifications, representations, warranties and agreements set forth in Proposer’s responses to this **APPENDIX SIX** will be incorporated into the Agreement.

University is primarily a Microsoft products environment.

**Basic Specifications**

1. If the EIR will be hosted by University, please describe the overall environment requirements for the EIR (size the requirements to support the number of concurrent users, the number of licenses and the input/output generated by the application as requested in the application requirements).
2. Hardware: If Proposer will provide hardware, does the hardware have multiple hard drives utilizing a redundant RAID configuration for fault tolerance? Are redundant servers included as well?
3. Operating System and Version:
4. Web Server: Is a web server required? If so, what web application is required (Apache or IIS)? What version? Are add-ins required?
5. Application Server:
6. Database:
7. Other Requirements: Are any other hardware or software components required?
8. Assumptions: List any assumptions made as part of the identification of these environment requirements.
9. Storage: What are the space/storage requirements of this implementation?
10. Users: What is the maximum number of users this configuration will support?
11. Clustering: How does the EIR handle clustering over multiple servers?
12. Virtual Server Environment: Can the EIR be run in a virtual server environment?
13. If the EIR will be hosted by Proposer, describe in detail what the hosted solution includes, and address, specifically, the following issues:

A. Describe the audit standards of the physical security of the facility; and

B. Indicate whether Proposer is willing to allow an audit by University or its representative.

1. If the user and administrative interfaces for the EIR are web-based, do the interfaces support Firefox on Mac as well as Windows and Safari on the Macintosh?
2. If the EIR requires special client software, what are the environment requirements for that client software?
3. Manpower Requirements: Who will operate and maintain the EIR? Will additional University full time employees (FTEs) be required? Will special training on the EIR be required by Proposer’s technical staff? What is the estimated cost of required training.
4. Upgrades and Patches: Describe Proposer’s strategy regarding EIR upgrades and patches for both the server and, if applicable, the client software. Included Proposer’s typical release schedule, recommended processes, estimated outage and plans for next version/major upgrade.

## Security

1. Has the EIR been tested for application security vulnerabilities? For example, has the EIR been evaluated against the Open Web Application Security Project (“**OWASP**”) Top 10 list that includes flaws like cross site scripting and SQL injection?  If so, please provide the scan results and specify the tool used. University will not take final delivery of the EIR if University determines there are serious vulnerabilities within the EIR.
2. Which party, Proposer or University, will be responsible for maintaining critical EIR application security updates?
3. If the EIR is hosted, indicate whether Proposer’s will permit University to conduct a penetration test on University’s instance of the EIR.
4. If confidential data, including HIPAA or FERPA data, is stored in the EIR, will the data be encrypted at rest and in transmittal?

## Integration

1. Is the EIR authentication Security Assertion Markup Language (“**SAML**”) compliant? Has Proposer ever implemented the EIR with Shibboleth authentication? If not, does the EIR integrate with Active Directory? Does the EIR support SSL connections to this directory service?

2. Does the EIR rely on Active Directory for group management and authorization or does the EIR maintain a local authorization/group database?

3. What logging capabilities does the EIR have? If this is a hosted EIR solution, will University have access to implement logging with University’s standard logging and monitoring tools, RSA’s Envision?

4. Does the EIR have an application programming interface (“**API**”) that enables us to incorporate it with other applications run by the University? If so, is the API .Net based? Web Services-based? Other?

1. Will University have access to the EIR source code? If so, will the EIR license permit University to make modifications to the source code? Will University’s modifications be protected in future upgrades?
2. Will Proposer place the EIR source code in escrow with an escrow agent so that if Proposer is no longer in business or Proposer has discontinued support, the EIR source code will be available to University.

## Accessibility Information

1. Please complete the Voluntary Product Accessibility Template (“**VPAT**”) found at <http://www.itic.org:8080/dotAsset/5644ecd2-5024-417f-bc23-a52650f47ef8.doc> and submit the VPAT with Proposer’s proposal.

**INCLUDE THIS APPENDIX IF CONTRACTOR IS PROVIDING INFORMATION RESOURCES TO UNIVERSITY FOR UNIVERSITY’S USE. Pursuant to UTS165** “**Information Resources**” means any and all computer printouts, online display devices, mass storage media, and all computer-related activities involving any device capable of receiving email, browsing Web sites, or otherwise capable of receiving, storing, managing, or transmitting Data including, but not limited to, mainframes, servers, Network Infrastructure, personal computers, notebook computers, hand-held computers, personal digital assistant (PDA), pagers, distributed processing systems, network attached and computer controlled medical and laboratory equipment (i.e. embedded technology), telecommunication resources, network environments, telephones, fax machines, printers and service bureaus. Additionally, it is the procedures, equipment, facilities, software, and Data that are designed, built, operated, and maintained to create, collect, record, process, store, retrieve, display, and transmit information.

**ALSO USE THIS APPENDIX IF CONTRACTOR WILL ACCESS, CREATE, MAINTAIN AND OR TRANSMIT UNIVERSITY DATA.** Pursuant to UTS165, “**Data**” means recorded data, regardless of form or media in which it may be recorded, which constitute the original data necessary to support the business of UT System or original observations and methods of a study and the analyses of such original data that are necessary to support research activities and validate research findings. Data includes, but is not limited to: printed records, observations and notes; electronic data; video and audio records, photographs and negatives:

**APPENDIX SEVEN**

**Security Characteristics and Functionality of**

**Contractor’s INFORMATION RESOURCES**

The specifications, representations, warranties and agreements set forth in Proposer’s responses to this **APPENDIX SEVEN** will be incorporated into the Agreement.

**“Information Resources”** means any and all computer printouts, online display devices, mass storage media, and all computer-related activities involving any device capable of receiving email, browsing Web sites, or otherwise capable of receiving, storing, managing, or transmitting Data including, but not limited to, mainframes, servers, Network Infrastructure, personal computers, notebook computers, hand-held computers, personal digital assistant (PDA), pagers, distributed processing systems, network attached and computer controlled medical and laboratory equipment (i.e. embedded technology), telecommunication resources, network environments, telephones, fax machines, printers and service bureaus. Additionally, it is the procedures, equipment, facilities, software, and Data that are designed, built, operated, and maintained to create, collect, record, process, store, retrieve, display, and transmit information.

“**University Records**” means records or record systems that Proposer (1) creates, (2) receives from or on behalf of University, or (3) has access, and which may contain confidential information (including credit card information, social security numbers, and private health information (“**PHI**”) subject to Health Insurance Portability and Accountability Act (“**HIPAA**”) of 1996 (Public Law 104-191), or education records subject to the Family Educational Rights and Privacy Act (“**FERPA**”).

**General Protection of University Records**

1. Describe the security features incorporated into Information Resources (ref. **Section 5.4.4** of the RFP) to be provided or used by Proposer pursuant to this RFP.

2. List all products, including imbedded products that are a part of Information Resources and the corresponding owner of each product.

3. Describe any assumptions made by Proposer in its proposal regarding information security outside those already listed in the proposal.

*Complete the following additional questions if the Information Resources will be hosted by Proposer:*

4. Describe the monitoring procedures and tools used for monitoring the integrity and availability of all products interacting with Information Resources, including procedures and tools used to, detect security incidents and to ensure timely remediation.

5. Describe the physical access controls used to limit access to Proposer's data center and network components.

6. What procedures and best practices does Proposer follow to harden all systems that would interact with Information Resources, including any systems that would hold or process University Records, or from which University Records may be accessed?

7. What technical security measures does the Proposer take to detect and prevent unintentional, accidental and intentional corruption or loss of University Records?

8. Will the Proposer agree to a vulnerability scan by University of the web portal application that would interact with Information Resources, including any systems that would hold or process University Records, or from which University Records may be accessed? If Proposer objects, explain basis for the objection to a vulnerability scan.

9. Describe processes Proposer will use to provide University assurance that the web portal and all systems that would hold or process University Records can provide adequate security of University Records.

10. Does Proposer have a data backup and recovery plan supported by policies and procedures, in place for Information Resources? If yes, briefly describe the plan, including scope and frequency of backups, and how often the plan is updated. If no, describe what alternative methodology Proposer uses to ensure the restoration and availability of University Records.

11. Does Proposer encrypt backups of University Records? If yes, describe the methods used by Proposer to encrypt backup data. If no, what alternative safeguards does Proposer use to protect backups against unauthorized access?

12. Describe the security features incorporated into Information Resources to safeguard University Records containing confidential information.

*Complete the following additional question if Information Resources will create, receive, or access University Records containing PHI subject to HIPAA:*

13. Does Proposer monitor the safeguards required by the HIPAA Security Rule (45 C.F.R. § 164 subpts. A, E (2002)) and Proposer's own information security practices, to ensure continued compliance? If yes, provide a copy of or link to the Proposer’s HIPAA Privacy & Security policies and describe the Proposer's monitoring activities and the frequency of those activities with regard to PHI.

**Access Control**

1. How will users gain access (i.e., log in) to Information Resources?

2. Do Information Resources provide the capability to use local credentials (i.e., federated authentication) for user authentication and login? If yes, describe how Information Resources provide that capability.

3. Do Information Resources allow for multiple security levels of access based on affiliation (e.g., staff, faculty, and student) and roles (e.g., system administrators, analysts, and information consumers), and organizational unit (e.g., college, school, or department? If yes, describe how Information Resources provide for multiple security levels of access.

4. Do Information Resources provide the capability to limit user activity based on user affiliation, role, and/or organizational unit (i.e., who can create records, delete records, create and save reports, run reports only, etc.)? If yes, describe how Information Resources provide that capability. If no, describe what alternative functionality is provided to ensure that users have need-to-know based access to Information Resources.

5. Do Information Resources manage administrator access permissions at the virtual system level? If yes, describe how this is done.

6. Describe Proposer’s password policy including password strength, password generation procedures, password storage specifications, and frequency of password changes. If passwords are not used for authentication or if multi-factor authentication is used to Information Resources, describe what alternative or additional controls are used to manage user access.

*Complete the following additional questions if Information Resources will be hosted by Proposer:*

7. What administrative safeguards and best practices does Proposer have in place to vet Proposer's and third-parties' staff members that would have access to the environment hosting University Records to ensure need-to-know-based access?

8. What procedures and best practices does Proposer have in place to ensure that user credentials are updated and terminated as required by changes in role and employment status?

9. Describe Proposer's password policy including password strength, password generation procedures, and frequency of password changes. If passwords are not used for authentication or if multi-factor authentication is used to Information Resources, describe what alternative or additional controls are used to manage user access.

**Use of Data**

*Complete the following additional questions if Information Resources will be hosted by Proposer:*

1. What administrative safeguards and best practices does Proposer have in place to vet Proposer's and third-parties' staff members that have access to the environment hosting all systems that would hold or process University Records, or from which University Records may be accessed, to ensure that University Records will not be accessed or used in an unauthorized manner?

2. What safeguards does Proposer have in place to segregate University Records from system data and other customer data and/or as applicable, to separate specific University data, such as HIPAA and FERPA protected data, from University Records that are not subject to such protection, to prevent accidental and unauthorized access to University Records ?

3. What safeguards does Proposer have in place to prevent the unauthorized use, reuse, distribution, transmission, manipulation, copying, modification, access, or disclosure of University Records?

4. What procedures and safeguards does Proposer have in place for sanitizing and disposing of University Records according to prescribed retention schedules or following the conclusion of a project or termination of a contract to render University Records unrecoverable and prevent accidental and unauthorized access to University Records? Describe the degree to which sanitizing and disposal processes addresses University data that may be contained within backup systems. If University data contained in backup systems is not fully sanitized, describe processes in place that would prevent subsequent restoration of backed-up University data.

**Data Transmission**

1. Do Information Resources encrypt all University Records in transit and at rest? If yes, describe how Information Resources provide that security. If no, what alternative methods are used to safeguard University Records in transit and at rest?

*Complete the following additional questions if Information Resources will be hosted by Proposer:*

2. How does data flow between University and Information Resources? If connecting via a private circuit, describe what security features are incorporated into the private circuit. If connecting via a public network (e.g., the Internet), describe the way Proposer will safeguard University Records.

3. Do Information Resources secure data transmission between University and Proposer? If yes, describe how Proposer provides that security. If no, what alternative safeguards are used to protect University Records in transit?

**Notification of Security Incidents**

*Complete the following additional questions if Information Resources will be hosted by Proposer:*

1. Describe Proposer’s procedures to isolate or disable all systems that interact with Information Resources in the event a security breach is identified, including any systems that would hold or process University Records, or from which University Records may be accessed.

2. What procedures, methodology, and timetables does Proposer have in place to detect information security breaches and notify University and other customers? Include Proposer’s definition of security breach.

3. Describe the procedures and methodology Proposer has in place to detect information security breaches, including unauthorized access by Proposer’s and subcontractor’s own employees and agents and provide required notifications in a manner that meets the requirements of the state breach notification law.

**Compliance with Applicable Legal & Regulatory Requirements**

*Complete the following additional questions if Information Resources will be hosted by Proposer:*

1. Describe the procedures and methodology Proposer has in place to retain, preserve, backup, delete, and search data in a manner that meets the requirements of state and federal electronic discovery rules, including how and in what format University Records are kept and what tools are available to University to access University Records.

2. Describe the safeguards Proposer has in place to ensure that systems (including any systems that would hold or process University Records, or from which University Records may be accessed) that interact with Information Resources reside within the United States of America. If no such controls, describe Proposer’s processes for ensuring that data is protected in compliance with all applicable US federal and state requirements, including export control.

3. List and describe any regulatory or legal actions taken against Proposer for security or privacy violations or security breaches or incidents, including the final outcome.