



*Revised:* **07/24/2017**

## **EXHIBIT H**

# **POLICY ON UTILIZATION OF HISTORICALLY UNDERUTILIZED BUSINESSES (HUB)s**

## **PROFESSIONAL SERVICES**

Enclosed is a copy of the Exhibit “H” attachments that make up the HUB Subcontracting Plan (HSP), which are due on the date and time within the Notice to Proposers / Request for Proposals section.

If you have any questions regarding the HUB requirements, please contact Muriel D. Kruse at (512) 475-6856, or email at: (muriel.kruse@austin.utexas.edu).

**INSTRUCTIONS FOR  
COMPLETING HUB SUBCONTRACTING PLAN (HSP)  
and  
ACCESS TO SUB CONTRACTOR NAMES ON CMBL**

If this project is over \$100,000 you will be required to submit a Historically-Underutilized Subcontracting Plan (HSP) subcontracting plan as follows: (see table on page 7 & 8 for Summary of Attachments required)

- **Page 9** “Letter of HUB Transmittal”  
Complete all requested information, print on **YOUR COMPANY LETTERHEAD**, and have this form signed by Respondent’s authorized representative. (Required on Conventional Bid (CON), Competitive Sealed Proposal (CSP) and Professional Service Provider (PSP))
- **Page 10** “Letter of HUB Commitment”  
Complete all requested information, print on **YOUR COMPANY LETTERHEAD**, and have this form signed by Respondent’s authorized representative. (Required on Construction Manager-At Risk (CMR), Design-Build (DBL), Job Order Contracting (JOC), Open Order Labor (OOL), Indefinite Delivery/Indefinite Quantity (IDIQ) and PSP.)
- See Page 11 for HSP Quick Check List for Building Construction projects

**Failure to submit your HSP plan will result in your proposal being rejected. You are encouraged to call the name on the front of this section, if you need assistance or have any questions.**

A list of Potential HUB Subcontracting Opportunities for this project is posted on the PMCS Solicitation Calendar website ([www.utexas.edu/pmcs/calendar/](http://www.utexas.edu/pmcs/calendar/)). If there are areas not included that you may need, you can access the State of Texas Comptroller’s Office web site.

To locate additional State of Texas HUB firms for a trade or commodity the web site is: [www.mycpa.cpa.state.tx.us/tpasscmbsearch/tpasscmbsearch.do](http://www.mycpa.cpa.state.tx.us/tpasscmbsearch/tpasscmbsearch.do). Once at the website, scroll to bottom of page and click on **Search the CMBL**. On the next screen go to the search line and check HUBs on CMBL and scroll down to Section 1 and enter the **class code**, then next to that **Item** enter last two digits of 5 digit commodity code number and for district put in **14** for projects here at UT Austin. If the project is located outside of the Austin area then select the name “district in red letters” to locate the correct county, and then select “submit search”. The next screen you will indicate what fields you need and then check them (i.e. fax, phone, e-mail, business description) and next check “Go”. The list of HUBs for that commodity code with the fields you requested will appear on the screen. After you retrieve this list go back to the page [www.mycpa.cpa.state.tx.us/tpasscmbsearch/tpasscmbsearch.do](http://www.mycpa.cpa.state.tx.us/tpasscmbsearch/tpasscmbsearch.do) (Centralized Master Bidders List (CMBL)). This time you would check HUBs not on CMBL and then go down to Section 1 and enter the class code, then next to that Item enter last two digits of 5 digit commodity code number and for District put in **14**. The next screen you will indicate what fields you need and then check them (i.e. fax, phone, e-mail, business description) and next check “Go”. After completion of this step you now have a list of HUBs from both lists for the NIGP code requested. You will repeat this process for each additional NIGP code. There is a link to the NIGP Commodity Code book on the first page of the CMBL to assist you in locating commodity codes. The link is: <http://comptroller.texas.gov/purchasing/nigp/>

Please refer to the following website for information on this project:

<http://www.pmcservices.utexas.edu/calendar/>

under the heading **PROPOSAL SOLICITATION CALENDAR**.

# The University of Texas at Austin

## Policy on Utilization of Historically Underutilized Businesses (HUBs)

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# The University of Texas at Austin

## POLICY ON UTILIZATION OF HISTORICALLY UNDERUTILIZED BUSINESSES (HUBs)

### Introduction

In accordance with the Texas Government Code, Sections 2161.181-182 and Title 34, Section 20.284 of the Texas Administrative Code (TAC), The Board of Regents of the University of Texas System, acting through the Office of HUB Development shall make a good faith effort to utilize Historically Underutilized Businesses (HUBs) in contracts for construction services, including professional and consulting services; and commodities contracts. The HUB rules promulgated by the Texas Comptroller of Public Accounts (the “Texas Comptroller”), set forth in 34 TAC Sections 20.281 – 20.298, encourage the use of HUBs by implementing these policies through race-, ethnic- and gender-neutral means.

The purpose of the HUB Program is to promote full and equal business opportunities for all businesses in State contracting in accordance with the following goals as specified in the current State of Texas Disparity Study:

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

The University of Texas at Austin shall make a good faith effort to meet or exceed these goals to assist HUBs in receiving a portion of the total contract value of all contracts that the University of Texas expects to award in a fiscal year. The University of Texas may achieve the annual program goals by contracting directly with HUBs or indirectly through subcontracting opportunities in accordance with the Texas Government Code, Chapter 2161, Subchapter F.

**SUMMARY OF REQUIREMENTS**  
**Historically Underutilized Business (HUBs) Subcontracting Plan**

It is the policy of The University of Texas System and each of its component institutions, to promote and encourage contracting and subcontracting opportunities for Historically Underutilized Businesses (HUBs) in all contracts. Accordingly, The University of Texas at Austin has adopted "EXHIBIT H, Policy on Utilization of Historically Underutilized Businesses". The Policy applies to all contracts with an expected value of \$100,000 or more. The Board of Regents of The University of Texas System is the contracting authority.

1. In all contracts for professional services, contracting services, and/or commodities with an expected value of \$100,000 or more, the University of Texas at Austin will indicate in the purchase solicitation (e.g. RFQ, RFP, or CSP) whether or not U.T. Austin has determined that subcontracting opportunities are probable in connection with the contract. A HUB Subcontracting Plan is a required element of the architect, contractor or vendor Response to the purchase solicitation. The HUB Subcontracting Plan shall be developed and administered in accordance with the Policy. **Failure to submit a required HUB Subcontracting Plan will result in rejection of the Response.**
2. If **subcontracting opportunities are probable**, the University of Texas at Austin will declare such probability in its invitations for bids, requests for proposals, or other purchase solicitation documents, and shall require submission of the appropriate HUB Subcontracting Plan with the Response.
  - a. When **subcontracting opportunities are probable**, and the Respondent proposes to subcontract any part of the work, the Respondent shall submit a HUB Subcontracting Plan as prescribed by Texas Comptroller identifying subcontractors [34 TAC §20.285 (d) (1)(A)(B)(C)(D) (i)(ii)(iii) (2)(3)(A)(B)(C)(D)(E)(F) (4)(A)(B)].
  - b. When subcontracting opportunities are probable, **but the Respondent can perform such opportunities with its employees and resources**, the Respondent's HUB Subcontracting Plan shall include the Self Performance HUB Subcontracting Plan, Section 3 – Self Performance Justification as the HUB Subcontracting Plan (HSP). [34 TAC §20.285 (d)(5)(A)(B)(C)(D)].
3. If **subcontracting opportunities are not probable**, the University of Texas at Austin will declare such probability in its invitations for bids, requests for proposals, or other purchase solicitation documents and shall require submission of the appropriate HUB Subcontracting Plan with the Response.
  - a. When **subcontracting opportunities are not probable**, and the Respondent proposes to perform all of the work with its employees and resources, the Respondent shall submit a HUB Subcontracting Plan that includes the Self Performance HUB Subcontracting Plan, Section 3 – Self Performance Justification as the HUB Subcontracting Plan (HSP).
  - b. When **subcontracting opportunities are not probable**, but the Respondent proposes to subcontract any part of the work, the Respondent shall submit a HUB Subcontracting Plan as prescribed by the Texas Comptroller identifying subcontractors.
4. Respondents shall follow, but are not limited to, procedures listed in the Policy when developing a HUB Subcontracting Plan.
5. **Conventional Bids (CON); Competitive Sealed Proposals (CSP)** Respondents shall submit a HUB Subcontracting Plan (packaged separately) twenty-four (24) hours following the Response submission date and time or as prescribed by the project manager.

6. In making a determination whether a good faith effort has been made in the development of the required HUB Subcontracting Plan, the University of Texas at Austin shall follow the procedures listed in the Policy. If accepted by the University, the HUB Subcontracting Plan shall become a provision of the Respondent's contract with the University of Texas at Austin. Revisions necessary to clarify and enhance information submitted in the original HUB subcontracting plan may be made in an effort to determine good faith effort. **Any revisions after the submission of the HUB Subcontracting Plan shall be approved by the HUB Coordinator.**
7. **DBL and CMR:** Respondents to a DBL or CMR purchase solicitation shall include the **Letter of HUB Commitment** in their Response attesting that the Respondent has read and understands the Policy on Historically Underutilized Businesses (HUBs), and a HUB Subcontracting Plan for all preconstruction and construction services includes HUB Subcontracting Plan as prescribed by Texas Comptroller of Public Accounts specific to construction services identifying first, second and third tier subcontractors. Respondents proposing to perform Part I pre- construction services with their own resources and employees shall submit, as part of their HSP, **the Self Performance Justification.**
8. **DBL and CMR HUB Contract Requirements:** Contractors engaged under design-build and construction manager-at-risk contracts shall submit a HUB Subcontracting Plan for all Construction Phase Services, and, must further comply with the requirements of this Policy by developing and submitting a HUB Subcontracting Plan for each bid package issued in buying out the guaranteed maximum or lump sum price of the Project. The HUB Subcontracting Plans shall identify first, second and third tier subcontractors.
9. **Job Order Contract [JOC, IDIQ or OOL] Responses:** Respondents to a "JOC" purchase solicitation / Request for Proposal (RFP) shall include the Letter of HUB Commitment in their Response attesting that the Respondent has read and understands the Policy on Historically Underutilized Businesses (HUBs), and a Letter of Good Faith describing a procedure or methodology for HUB utilization on all Job Orders or Project Assignments over \$100,000.00.
10. **Job Order Contract (JOC) [JOC, IDIQ or OOL] Contract Requirements:** Contractors engaged under "JOC" contracts shall submit a HUB Subcontracting Plan for all Job Orders or Project Assignments with expected value of \$100,000 or more. The HUB Subcontracting Plans shall identify first, second and third tier subcontractors.
11. The University of Texas at Austin shall reject any Response that does not include a fully completed HUB Subcontracting Plan, as required. **An incomplete HUB Subcontracting Plan is considered a material failure to comply with the solicitation for proposals.**
12. Changes to the HUB Subcontracting Plan. Once a Respondent's HUB Subcontracting Plan is accepted by the University of Texas at Austin and becomes a provision of the contract between Respondent and the University of Texas at Austin, the Respondent can only change that HUB Subcontracting Plan if:
  - a. The Respondent complies with 34 TAC Section 20.285;
  - b. The Respondent provides its proposed changes to the University of Texas at Austin for review;
  - c. The University of Texas at Austin (including the University of Texas at Austin 's HUB Staff Associate) approves Respondent's proposed changes to its HUB Subcontracting Plan; and
  - d. The University of Texas at Austin and the Respondent amend their contract (via a writing signed by authorized officials of both parties) in order to replace the contract's existing HUB Subcontracting Plan with a revised HUB Subcontracting Plan containing the changes approved by the University of Texas at Austin.

13. Expansion of Work. If, after entering into a contract with a Respondent as a result of a purchase solicitation subject to the Policy, and the University of Texas at Austin wishes to expand the scope of work that the Respondent will perform under that contract through a change order or any other contract amendment (the “Additional Work”), the University of Texas at Austin will determine if the Additional Work contains probable subcontracting opportunities not identified in the initial purchase solicitation for that contract. If the University of Texas at Austin determines that probable subcontracting opportunities exist for the Additional Work, then the Respondent must submit to the University of Texas at Austin an amended HUB Subcontracting Plan covering those opportunities that complies with the provisions of 34 TAC Section 20.285. Such an amended HUB Subcontracting Plan must be approved by the University of Texas at Austin (including the University of Texas at Austin’s HUB Staff Associate) before:
  - a. The contract may be amended by the University of Texas at Austin and the Respondent to include the Additional Work and the amended HUB Subcontracting Plan; and
  - b. The Respondent performs the Additional Work. If a Respondent subcontracts any of the additional subcontracting opportunities identified by the University of Texas at Austin for any Additional Work (i) without complying with 34 TAC Section 20.285 or (ii) before the University of Texas at Austin and that Respondent amend their contract to include a revised HUB Subcontracting Plan that authorizes such subcontracting, then the Respondent will be deemed to be in breach of its contract with the University of Texas at Austin. As a result of such breach, the University of Texas at Austin will be entitled to terminate its contract with the Respondent, and the Respondent will be subject to any remedial actions provided by Texas law, including those set forth in Chapter 2161, Texas Government Code, and 34 TAC Section 20.285. University of Texas at Austin may report a Respondent’s nonperformance under a contract between that Respondent and the University of Texas at Austin to the Texas Comptroller of Public Accounts in accordance with 34 TAC Sections 20.101 through 20.108.
14. A Response may state that the Respondent intends to perform all the subcontracting opportunities with its own employees and resources in accordance with the Policy. However, if such a Respondent enters into a contract with the University of Texas at Austin as a result of such a Response but later desires to subcontract any part of the work set forth in that contract, before the Respondent subcontracts such work it must first change its HUB Subcontracting Plan in accordance with the provisions of Section 12 above.
15. The University of Texas at Austin shall require a professional services firm, Contractor or vendor to whom a contract has been awarded to report the identity and the amount paid to its subcontractors on a monthly basis using a **HUB Subcontracting Plan (HSP) Prime Contractor Progress Assessment Report (PAR) as a condition for payment.**
16. If the University of Texas at Austin determines that the successful Respondent failed to implement an approved HUB Subcontracting Plan in good faith, the University of Texas at Austin in addition to any other remedies, may report nonperformance to the Texas Comptroller of Public Accounts in accordance with 34 TAC, Section 20.285, (g) (1) related remedies of nonperformance to professional services firms, contractor, and vender implementation of the HUB Subcontracting Plan.
17. In the event of any conflict between this “Summary of Requirements” and the remainder of the HUB Policy, the remainder of the HUB Policy will control.
18. These requirements, including the attachments referred to above, are available over the Internet from <https://pmcservices.utexas.edu/services/hubForms.html> for additional information contact Muriel D. Kruse, HUB Staff Associate for the University of Texas at Austin at (512) 475-6856.

## Summary of Attachments Required from Respondents

1. THE UNIVERSITY OF TEXAS AT AUSTIN DETERMINES THAT SUBCONTRACTING OPPORTUNITIES ARE PROBABLE			
1-A. <b>Respondent Proposes Subcontractors:</b> Attachments required from the Respondent for the HUB Subcontracting Plan if the solicitation states that, <u>subcontracting opportunities are probable</u> .	Letter of Transmittal Page 9	HUB Subcontracting Plan (HSP) Pages 12-18	
1-B. <b>Respondent Proposes Self-Performance:</b> Attachments required from the Respondent for the HUB Subcontracting Plan if the solicitation states that <u>subcontracting opportunities are probable</u> , but the Respondent can perform such opportunities with its <u>own employees, materials, supplies, equipment and other resources</u> .	Letter of Transmittal Page 9	HUB Subcontracting Plan (HSP) Page 12 SECTIONS 1 & 2 Page 15 SECTIONS 3 & 4	
2. THE UNIVERSITY OF TEXAS AT AUSTIN DETERMINES THAT SUBCONTRACTING OPPORTUNITIES ARE NOT PROBABLE.			
2-A. <b>Respondent Proposes Self-Performance:</b> Attachments required from the Respondent for the HUB Subcontracting Plan if the solicitation states that <u>subcontracting opportunities are not probable</u> , but the Respondent can perform such opportunities with its <u>own employees, materials, supplies, equipment and other resources</u> .	Letter of Transmittal Page 9	HUB Subcontracting Plan (HSP) Page 12 SECTIONS 1 & 2 Page 15 SECTIONS 3 & 4	
2-B. <b>Respondent Proposes Subcontractors:</b> Attachments required from the Respondent for the HUB Subcontracting Plan if the solicitation states that <u>subcontracting opportunities are not probable</u> but the Respondent proposes to subcontract any part of the work.	Letter of Transmittal Page 9	HUB Subcontracting Plan (HSP) Pages 12-18	
3. DESIGN BUILD OR CM @ RISK.			
3-A. <b>Design Build or CM@ Risk Responses Part I (Preconstruction Phase Services):</b> Attachments required from Respondents for HUB Subcontracting Plan for Part I Pre-construction Phase Services. Respondent can perform Part I with its <u>own employees, materials, supplies, equipment and other resources</u> .	"Letter of HUB Commitment" Page 10	HUB Subcontracting Plan (HSP) Page 12 SECTIONS 1 & 2 Page 15 SECTIONS 3 & 4	
3-B. <b>Design Build or CM@ Risk Responses Part I (Preconstruction Phase Services):</b> Attachments required from Respondents for HUB Subcontracting Plan for Part I Pre-construction Phase Services. Respondent proposes to subcontract any of Part I of the work.	Letter of Transmittal Page 9	HUB Subcontracting Plan (HSP) Pages 12-18	
3-C. <b>Design Build or CM@ Risk Responses Part II (Construction Phase Services):</b> Attachments required from Respondents for HUB Subcontracting Plan for Part II, Construction Phase Services ( <b>all individual GMP approvals must include a HSP Plan</b> ). Once the guaranteed maximum or lump sum price of the project is established and for each bid package issued in buying out the guaranteed maximum or lump sum price of the project.	Letter of Transmittal Page 9	HUB Subcontracting Plan (HSP) Pages 12-18	



4. Total Project Cost is Under \$100,000 (including JOB Order Contracting (JOC) individual Job Orders)			
4-A. No HUB Subcontracting Utilized.			"Projects with a Total Bid Amount Less than \$100,000" Page 20
4-B. HUB Subcontracting Utilized	Letter of Transmittal Page 9	HUB Subcontracting Plan (HSP) Page 12 SECTIONS 1 & 2 Page 15 SECTIONS 3 & 4	"Projects with a Total Bid Amount Less than \$100,000" Page 20
5. JOB Order Contracting (JOC) and On-Call Service Contract Requirements			
5-A. Job Order Contract (JOC) and On-Call Services Contract Requirements. <u>All</u> respondents are required to submit both the "Letter of HUB Commitment" and a letter of "Good Faith" describing a procedure or methodology for utilization of HUBs on all Job Orders or Project Assignments over \$100,000.00.	Letter of HUB Commitment and Good Faith Page 10		
5-B. Job Order Contract (JOC) and On-Call Services Contract Requirements The successful respondent is required to submit a complete HUB Subcontracting Plan prior to the start of each project or assignment <u>over \$100,000.00</u>	Letter of Transmittal Page 9	HUB Subcontracting Plan (HSP) Pages 12-18	
6. Requirement for Changes in Subcontracting Plan			
6-A. Changes in the HUB Subcontracting Plan After Award: Attachments required from the Respondent to whom a contract has been awarded if conditions require the contractor to make changes to the approved HUB Subcontracting Plan.	Letter of Transmittal Page 9	HUB Subcontracting Plan (HSP) Pages 12-18	
7. Requirement for Reporting to be included in ALL PROJECT'S Pay Applications			
7-A. <u>Reporting</u> : Progress Assessment Report (PAR) required with all payment requests. The submittal of this attachment is a condition of payment.			

*(Place this information on business letterhead – including name, address and telephone number)*

*“Letter of HUB Transmittal for Construction Services”*

Date

Muriel D. Kruse  
HUB Staff Associate  
Project Management and Construction Services  
The University of Texas at Austin  
1301 E. Dean Keeton, Facilities Services Building 1, Room 2.102  
Austin, TX 78722

**Re: Historically Underutilized Business Plan for** \_\_\_\_\_  
**Contract Number:** \_\_\_\_\_

Dear Ms. Kruse:

In accordance with the requirements outlined in the specification section “Exhibit H – Policy on Utilization of Historically Underutilized Businesses (HUB)s,” I am pleased to forward this HUB Subcontracting Plan (HSP) as an integral part of our response in connection with your invitation for Request for Proposal / Qualifications referencing the above project.

I have read and understand the University of Texas at Austin Policy on Utilization of Historically Underutilized Businesses (HUBs). I also understand the State of Texas Annual Procurement Goal according to 34 Texas Administrative Code section 20.284 is 23.7% for professional services contracts.

This HUB Subcontracting Plan includes \_\_\_\_\_ Subcontracting Opportunities [refer to Section 2, page 12].  
The project Proposal contract dollar value is \$ \_\_\_\_\_ (do not include alternates).

Subcontractors	# of Subcontractors	Total Subcontract \$ Value	Total Estimated %	% Minority Owned	% Woman Owned	% Service Disabled Veteran
HUB						
Non-HUB						
TOTAL						

I understand the above HUB percentages must represent Texas Comptroller HUB certification standards. For each of the listed HUB firms, I have attached a Texas Comptroller HUB Certification document.

**By completion of Section B-4 of the HUB Subcontracting Plan, I affirm my intent to utilize the subcontractors selected to perform the scope of work to be subcontracted.**

Should we discover additional subcontractors claiming Historically Underutilized Business status during the course of this contract we will notify you of the same. **In addition, if for some reason a Subcontractor (HUB or Non-HUB) is unable to fulfill its contract with us, we will notify you immediately in order to take the appropriate steps to amend this contractual obligation and submit for approval, a Revised HUB Subcontractor Plan.**

Sincerely,

\_\_\_\_\_  
(Respondent)

cc: Contracting Services

*(Place this information on business letterhead – including name, address and telephone number)*

*“Letter of HUB Commitment”  
(for Construction Manager at Risk, Design Build, JOC and OOL - Master Contract ONLY)*

Date

Muriel D. Kruse  
HUB Staff Associate  
Project Management and Construction Services  
The University of Texas at Austin  
1301 E. Dean Keeton, Facilities Services Building 1, Room 2.102  
Austin, TX 78722

Re: **Historically Underutilized Business Plan for** \_\_\_\_\_  
**Contract Number:** \_\_\_\_\_

Dear Ms. Kruse:

In accordance with the requirements outlined in the specification section “Exhibit H – Policy on Utilization of Historically Underutilized Businesses (HUBs),” I am pleased to forward this HUB Subcontracting Plan as an integral part of our proposal in connection with your invitation for request for proposals, referencing Project Number \_\_\_\_\_.

I have read and understand the University of Texas at Austin Policy on the Utilization of Historically Underutilized Businesses (HUBs) and agree to the following (as may be applicable):

- I am also attaching a letter of “Good Faith” describing our procedure or methodology for future utilization of HUBs on all Project Assignments over \$100,000.00. (at the initial execution of the Master JOC contract)
- Good Faith Effort will be documented with each bid / proposal (GMP, Job Order, etc.) by containing a completed HUB Subcontracting Plan. The HSP shall consist of a Letter of Transmittal (page 9) and the HUB Subcontracting Plan (pages 12 through 18) identifying first, second and third tier subcontractors.

Sincerely,

\_\_\_\_\_  
(Respondent)

cc: Contracting Services

# HSP Quick Check List for Professional Service Providers

## Option One - Self-Performance

- ❖ If you are **not subcontracting any portion** of the contract and will be fulfilling the entire contract with your own resources (employees, supplies, materials and/or equipment, to include transportation and delivery), complete the following sections:
  - a) Section 1 – Respondent and Requisition Information
  - b) Section 2A – No, I will not be subcontracting any portion of the contract, and I will be fulfilling the entire contract with my own resources.
  - c) Section 3 – Self Performing Justification – Check No and provide an explanation in the box provided.
  - d) Section 4 – Affirmation

## Option Two

- ❖ If all of your subcontracting opportunities will be performed **using only Texas certified HUB vendors**, complete the following sections:
  - a) Section 1 - Respondent and Requisition Information
  - b) Section 2A – Yes, I will be subcontracting portions of the contract
  - c) Section 2B – List all the portions of work you will subcontract, and indicate the percentage of the contract you expect to award to HUB vendors
  - d) Section 2C – Yes
  - e) Section 4 – Affirmation
  - f) Good Faith Effort Method A (Attachment A) – Complete an Attachment A for each of the subcontracting opportunities you listed in Section 2b.

## Option Three

- ❖ If you are subcontracting any portion of the contract to Texas certified HUB vendors and Non-HUB vendors, and the aggregate percentage of all the subcontracting work you will be awarding to the Texas certified HUB vendors with which you do not have a “continuous contract” in place for more than five (5) years **meets or exceeds** the HUB Goal the contracting agency identified in “Agency Special Instructions/Additional Requirements”, complete the following:
  - a) Section 1 - Respondent and Requisition Information
  - b) Section 2A – Yes, I will be subcontracting portions of the contract
  - c) Section 2B – List all the portions of work you will subcontract, and indicate the percentage of the contract you expect to award to HUB vendors and Non HUB vendors
  - d) Section 2(C) – No
  - e) Section 2(D) – Yes
  - f) Section 4 – Affirmation
  - g) Good Faith Effort Method A (Attachment A) – Complete an Attachment A for each subcontracting opportunities you listed in Section 2b.

## Option Four –

- ❖ If you are subcontracting with Texas certified HUB vendors and Non-HUB vendors (or only Non HUB vendors), and the aggregate percentage of all the subcontracting work you will be awarding to the Texas certified HUB vendors with which you **do not** have a ‘continuous contract’ in place for more than five (5) years **does not meet or exceed** the HUB goal identified in the “Agency Special Instructions/Additional Requirements”, complete the following:
  - a) Section 1 - Respondent and Requisition Information
  - b) Section 2A – Yes, I will be subcontracting portions of the contract
  - c) Section 2B – List all the portions of work you will subcontract, and indicated the percentage of the contract you expect to award to HUB vendors and Non HUB vendors
  - d) Section 2C – No
  - e) Section 2D – No
  - f) Section 4 – Affirmation
  - g) Good Faith Effort (Attachment B) – Complete this attachment for each subcontracting opportunity

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



# HUB SUBCONTRACTING PLAN (HSP)

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

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

The HUB Program promotes equal business opportunities for economically disadvantaged persons to contract with the State of Texas in accordance with the goals specified in the 2009 State of Texas Disparity Study. The statewide HUB goals defined in 34 Texas Administrative Code (TAC) §20.284 are:

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

-- **Agency Special Instructions/Additional Requirements** --

In accordance with 34 TAC §20.285(d)(1)(D)(iii), a respondent (prime contractor) may demonstrate good faith effort to utilize Texas certified HUBs for its subcontracting opportunities if the total value of the respondent's subcontracts with Texas certified HUBs meets or exceeds the statewide HUB goal or the agency specific HUB goal, whichever is higher. When a respondent uses this method to demonstrate good faith effort, the respondent must identify the HUBs with which it will subcontract. If using existing contracts with Texas certified HUBs to satisfy this requirement, only the aggregate percentage of the contracts expected to be subcontracted to HUBs with which the respondent **does not** have a **continuous contract\*** in place for **more than five (5) years** shall qualify for meeting the HUB goal. This limitation is designed to encourage vendor rotation as recommended by the 2009 Texas Disparity Study.

**HUB Goal – 23.7%**

- ❖ Respondents shall submit a completed HUB Subcontracting Plan (HSP) to be considered responsive. Failure to submit a completed HSP shall result in the bid, proposal or other expression of interest to be considered NON- responsive.
- ❖ HUB Subcontracting Plan (HSP) Prime Contractor Progress Assessment Report (PAR) shall be submitted with each request for payment as a condition of payment.
- ❖ Please note that phone logs are no longer acceptable as documentation of the good faith effort. Only fax, e-mail and certified letter are acceptable.
- ❖ Seven (7) working Days shall be defined as a normal business days of the University of Texas at Austin, not including weekends or University observed Holidays. The first working day shall be the day following the day that the notice was sent and the 7<sup>th</sup> day is the day that the response is due.

**UT Austin (only)**  
**Please check:**

New HUB plan

Conventional Bid

Competitive Sealed Proposal

Construction Manager @ Risk or Design Build

JOC / OOL

Change Order

Other:

**SECTION 1 RESPONDENT AND REQUISITION INFORMATION**

a. Respondent (Company) Name: \_\_\_\_\_ State of Texas VID #: \_\_\_\_\_  
 HSP Point of Contact: \_\_\_\_\_ (person most familiar with HSP plan) Phone #: \_\_\_\_\_  
 E-mail Address: \_\_\_\_\_ Fax #: \_\_\_\_\_

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

c. Solicitation #: \_\_\_\_\_ Bid \$ Due Date: \_\_\_\_\_  
 (mm/dd/yyyy)

Enter your company's name here: \_\_\_\_\_

Requisition #: \_\_\_\_\_

**SECTION 2 SUBCONTRACTING INTENTIONS**

After dividing the contract work into reasonable lots or portions to the extent consistent with prudent industry practices, and taking into consideration the scope of work to be performed under the proposed contract, including all potential subcontracting opportunities, the respondent must determine what portions of work, including contracted staffing, goods and services will be subcontracted. Note: In accordance with 34 TAC §20.282., an "Subcontractor" means a person who contracts with a prime contractor to work, to supply commodities, or to contribute toward completing work for a governmental entity.

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

- Yes**, I will be subcontracting portions of the contract. (If **Yes**, complete Item b, of this SECTION.)
- No**, I will not be subcontracting any portion of the contract, and I will be fulfilling the entire contract with my own resources. (If **No**, continue to SECTION 3 and Section 4.)

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

Item #	Subcontracting Opportunity Description	HUBs		Non-HUBs
		Percentage of the contract expected to be subcontracted to HUBs with which you have a <u>continuous contract*</u> in place for <u>five (5) years or less</u>	Percentage of the contract expected to be subcontracted to HUBs with which you have a <u>continuous contract*</u> in place for <u>more than five (5) years</u> .	Percentage of the contract expected to be subcontracted to non-HUBs
1		%	%	%
2		%	%	%
3		%	%	%
4		%	%	%
5		%	%	%
6		%	%	%
7		%	%	%
8		%	%	%
9		%	%	%
10		%	%	%
11		%	%	%
12		%	%	%
13		%	%	%
14		%	%	%
15		%	%	%
	Aggregate percentages of the contract expected to be subcontracted:	%	%	%

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

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

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

d. Check the appropriate box (Yes or No) that indicates whether the **aggregate expected percentage** of the contract you will subcontract with Texas certified HUBs with which you have had contracts in place with for five (5) years or less meets or exceeds the HUB goal the contracting agency identified on page 1 in the "**Agency Special Instructions/Additional Requirements**".

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

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

**SECTION 2** SUBCONTRACTING INTENTIONS (CONTINUATION SHEET)

a. This page can be used as a continuation sheet to the HSP Form's page 2, SECTION 2, Item b. Continue listing the portions of work (subcontracting opportunities) you will subcontract. Also, based on the total value of the contract, identify the percentages of the contract you expect to award to Texas certified HUBs, and the percentage of the contract you expect to award to vendors that are not a Texas certified HUB (i.e., Non-HUB).

Item #	Subcontracting Opportunity Description	HUBs		Non-HUBs
		Percentage of the contract expected to be subcontracted to HUBs with which you <u>do not</u> have a <u>continuous contract*</u> in place for <u>more than five (5) years</u> .	Percentage of the contract expected to be subcontracted to HUBs with which you have a <u>continuous contract*</u> in place for <u>more than five (5) years</u>	Percentage of the contract expected to be subcontracted to non-HUBs .
		%	%	%
		%	%	%
		%	%	%
		%	%	%
		%	%	%
		%	%	%
		%	%	%
		%	%	%
		%	%	%
		%	%	%
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		%	%	%
		%	%	%
		%	%	%
		%	%	%
		%	%	%
		%	%	%
		%	%	%
		%	%	%
Aggregate percentages of the contract expected to be subcontracted:		%	%	%

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

Enter your company's name here: \_\_\_\_\_ Requisition #: \_\_\_\_\_

**SECTION 3 SELF PERFORMING JUSTIFICATION** (If you responded "No" to SECTION 2, Item a, you must complete this SECTION and continue to SECTION 4.)

If you responded "No" to SECTION 2, Item a, in the space provided below explain how your company will perform the entire contract with its own employees, supplies, materials and/or equipment.

Line Item # - Self Performing Trades Description		Line Item # - Self Performing Trades Description	
(#1)		(#4)	
(#2)		(#5)	
(#3)		(#6)	

Provide explanation in this box:

**SECTION 4 AFFIRMATION**

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

- The respondent will provide notice as soon as practical to **all** the subcontractors (HUBs and Non-HUBs) of their selection as a subcontractor for the awarded contract. The notice must specify at a minimum the contracting agency's name and its point of contact for the contract, the contract award number, the subcontracting opportunity they (the subcontractor) will perform, the approximate dollar value of the subcontracting opportunity and the expected percentage of the total contract that the subcontracting opportunity represents. A copy of the notice required by this section must also be provided to the contracting agency's point of contact for the contract no later than ten (10) working days after the contract is awarded.
- The respondent must submit monthly compliance reports (Prime Contractor Progress Assessment Report – PAR) to the contracting agency, verifying its compliance with the HSP, including the use of and expenditures made to its subcontractors (HUBs and Non-HUBs). (The PAR is available at [http://www.comptroller.texas.gov/purchasing/docs/hub-forms/ProgressAssessment ReportForm.xls](http://www.comptroller.texas.gov/purchasing/docs/hub-forms/ProgressAssessment%20ReportForm.xls)).
- The respondent must seek approval from the contracting agency prior to making any modifications to its HSP, including the hiring of additional or different subcontractors and the termination of a subcontractor the respondent identified in its HSP. If the HSP is modified without the contracting agency's prior approval, respondent may be subject to any and all enforcement remedies available under the contract or otherwise available by law, up to and including debarment from all state contracting.
- The respondent must, upon request, allow the contracting agency to perform on-site reviews of the company's headquarters and/or work-site where services are being performed and must provide documentation regarding staffing and other resources.

\_\_\_\_\_  
Signature

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

\_\_\_\_\_  
Title

\_\_\_\_\_  
Date

**REMINDER:**

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



# HSP Good Faith Effort - Method A (Attachment A)

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

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

## SECTION A-1 SUBCONTRACTING OPPORTUNITY

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

Item #: \_\_\_\_\_ Description: \_\_\_\_\_

## SECTION A-2 SUBCONTRACTOR SELECTION

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

Company Name	Texas Certified HUB	Texas VID or federal EIN	Approximate Dollar Amount	Expected Percentage of Contract
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%

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

# HSP Good Faith Effort - Method B (Attachment B)

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

**IMPORTANT:** If you responded "*No*" to SECTION 2, Items c or d of the completed HSP form, you must submit a completed "HSP Good Faith Effort - Method B (Attachment B)" for each of the subcontracting opportunities you listed in SECTION 2, Item b of the completed HSP form. You may photo-copy this page or download the form at <http://www.window.state.tx.us/procurement/prog/hub/hub-forms/hub-sbcont-plan-gfe-achm-b.pdf>.

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## SECTION B-1 SUBCONTRACTING OPPORTUNITY

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

Item Number: \_\_\_\_\_ Description: \_\_\_\_\_

---

## SECTION B-2 MENTOR PROTÉGÉ PROGRAM

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

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

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

---

## SECTION B-3 NOTIFICATION OF SUBCONTRACTING OPPORTUNITY

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

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

- a. Provide written notification of the subcontracting opportunity you listed in SECTION B-1, to three (3) or more Texas certified HUBs. Unless the contracting agency specified a different time period, you must allow the HUBs at least seven (7) working days to respond to the notice prior to your submitting your bid response to the contracting agency. When searching for Texas certified HUBs, ensure that you use the State of Texas' Centralized Master Bidders List (CMBL) and Historically Underutilized Business (HUB) Search directory located at <http://www.mycpa.state.tx.us/passcmb/search/index.jsp>. HUB Status code "A" signifies that the company is a Texas certified HUB.
- b. List the three (3) Texas certified HUBs you notified regarding the subcontracting opportunity you listed in SECTION B-1. Include the company's Vendor ID (VID) Number, the date you sent notice to that company, and indicate whether it was responsive or non-responsive to your subcontracting opportunity notice.

Company Name	VID #	Date Notice Sent (mm/dd/yyyy)	Did the HUB Respond?
			<input type="checkbox"/> - Yes <input type="checkbox"/> - No
			<input type="checkbox"/> - Yes <input type="checkbox"/> - No
			<input type="checkbox"/> - Yes <input type="checkbox"/> - No

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

Trade Organizations or Development Centers	Date Notice Sent (mm/dd/yyyy)	Was the Notice Accepted?
		<input type="checkbox"/> - Yes <input type="checkbox"/> - No
		<input type="checkbox"/> - Yes <input type="checkbox"/> - No

# HSP Good Faith Effort - Method B (Attachment B) *Cont.*

Enter your company's name here: _____	Requisition #: _____
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## SECTION B-4 SUBCONTRACTOR SELECTION

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

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

**Item Number:** \_\_\_\_\_ **Description:** \_\_\_\_\_

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

Sub Contractor Name (also list name of 2 <sup>nd</sup> , 3 <sup>rd</sup> , etc tier suppliers or sub contractors if HUB)	Texas Certified HUB	VID # <small>(Required if Texas Certified HUB)</small>	Approximate Dollar Amount	Expected Percentage of Contract
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%

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

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



# HUB Subcontracting Opportunity Notification Form

In accordance with Texas Gov't Code, Chapter 2161, each state agency that considers entering into a contract with an expected value of \$100,000 or more shall, before the agency solicits bids, proposals, offers, or other applicable expressions of interest, determine whether subcontracting opportunities are probable under the contract. The state agency I have identified below in Section B has determined that subcontracting opportunities are probable under the requisition to which my company will be responding.

34 Texas Administrative Code, §20.285 requires all respondents (prime contractors) bidding on the contract to provide notice of each of their subcontracting opportunities to at least three (3) Texas certified HUBs (who work within the respective industry applicable to the subcontracting opportunity), and allow the HUBs at least seven (7) working days to respond to the notice prior to the respondent submitting its bid response to the contracting agency. In addition, at least seven (7) working days prior to submitting its bid response to the contracting agency, the respondent must provide notice of each of its subcontracting opportunities to two (2) or more trade organizations or development centers (in Texas) that serves members of groups (i.e., Asian Pacific American, Black American, Hispanic American, Native American, Woman, Service Disabled Veteran) identified in Texas Administrative Code, §20.282(19)(C).

We respectfully request that vendors interested in bidding on the subcontracting opportunity scope of work identified in Section C, Item 2, reply no later than the date and time identified in Section C, Item 1. Submit your response to the point-of-contact referenced in Section A.

**SECTION: A PRIME CONTRACTOR'S INFORMATION**

Company Name: \_\_\_\_\_ State of Texas VID #: \_\_\_\_\_  
 Point-of-Contact: \_\_\_\_\_ Phone #: \_\_\_\_\_  
 E-mail Address: \_\_\_\_\_ Fax #: \_\_\_\_\_

**SECTION: B CONTRACTING STAGE AGENCY AND REQUISITION INFORMATION**

Agency Name: \_\_\_\_\_ Phone #: \_\_\_\_\_  
 Point-of-Contact: \_\_\_\_\_ Bid Open Date: \_\_\_\_\_  
 Requisition #: \_\_\_\_\_ Date (mm/dd/yyyy)

**SECTION: C SUBCONTRACTING OPPORTUNITY RESPONSE DUE DATE, DESCRIPTION, REQUIREMENTS AND RELATED INFORMATION**

**1. Potential Subcontractor's Bid Response Due Date:**

If you would like for our company to consider your company's bid for the subcontracting opportunity identified below in Item 2, we must receive your bid response no later than \_\_\_\_\_ on \_\_\_\_\_ .  
 Central Time Date (mm/dd/yyyy)

*In accordance with 34 TAC §20.285, each notice of subcontracting opportunity shall be provided to at least three (3) Texas certified HUBs, and allow the HUBs at least seven (7) working days to respond to the notice prior to submitting our bid response to the contracting agency. In addition, at least seven (7) working days prior to us submitting our bid response to the contracting agency, we must provide notice of each of our subcontracting opportunities to two (2) or more trade organizations or development centers (in Texas) that serves members of groups (i.e., Asian Pacific American, Black American, Hispanic American, Native American, Woman, Service Disabled Veteran) identified in Texas Administrative Code, §20.282(19)(C). (A working day is considered a normal business day of a state agency, not including weekends, federal or state holidays, or days the agency is declared closed by its executive officer. The initial day the subcontracting opportunity notice is sent/provided to the HUBs and to the trade organizations or development centers is considered to be "day zero" and does not count as one of the seven (7) working days.)*

**2. Subcontracting Opportunity Scope of Work:**

**3. Required Qualifications:**  Not Applicable

**4. Bonding/Insurance Requirements:**  Not Applicable

**5. Location to review plans/specifications:**  Not Applicable

*(Place this information on business letterhead – including name, address and telephone number)*

**Projects with Total Bid / Proposal Amount  
LESS THAN \$100,000.00**

Date \_\_\_\_\_

Muriel D. Kruse,  
HUB Staff Associate  
Project Management and Construction Services  
The University of Texas at Austin  
1301 E. Dean Keeton, Facilities Services Building -1, Room 2.102  
Austin, TX 78722

Re: **Historically Underutilized Business Plan for Project Number** \_\_\_\_  
**(Project Title)** \_\_\_\_

Dear Ms. Kruse:

I am pleased to forward this form, and other attachments (*if applicable*) that are indicated below as an integral part of our response (bid, proposal, offer, or other expression of interest) in connection with your invitation for request for proposals, etc., Referencing Project Number \_\_\_\_.

**\*\*\*\*\* Please Check the Item That Applies Below \*\*\*\*\***

- A.  The HUB Subcontracting Plan (HSP) attachments are not included in this package, because the total dollar value of the bid enclosed is less than \$100,000.00 and therefore is not required.
- B.  The HUB Subcontracting Plan (HSP) Attachments (pages 12-18) for all Subcontractors are attached because we plan to utilize HUB's on this project, even though our bid is under \$100,000.00.

In addition, if for some reason a sub-contractor is unable to fulfill its contract with us, we will notify you immediately in order to take the appropriate steps to amend this contractual obligation.

Signature \_\_\_\_\_

Phone Number: \_\_\_\_\_

Printed named: \_\_\_\_\_

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

cc: Contracting Services

# List of Minority & Women Organizations and Contact List

*The following organizations have agreed to accept subcontracting opportunities per agreement with the Texas Statewide HUB Program. Please contact these organizations and at least one organization from the region where the project is located.*

Organization	Address	City	ZIP	Phone	FAX	Email
American Indian Chamber of Commerce of Texas	11245 Indian Trail	Dallas	75229	972-241-6450	972-241-6454	<a href="mailto:tmarshall@aicct.com">tmarshall@aicct.com</a>
Austin Asian American Chamber of Commerce	3432 Greystone Dr., Ste 202	Austin	78731	512-407-8240	512-407-8233	<a href="mailto:aaacc@austinacc.org">aaacc@austinacc.org</a>
Greater Austin Black Chamber of Commerce	912 East 11 <sup>th</sup> Street Ste A	Austin	78702	512-459-1181		<a href="mailto:admin@austinbcc.org">admin@austinbcc.org</a>
Houston Minority Supplier Development Council	Three Riverway, Ste. 555	Houston	77056	713-271-7805	713-271-9770	<a href="mailto:info@hmsbc.org">info@hmsbc.org</a>
Southwest Minority Supplier Development Center	912 Bastrop Hwy., Ste. 101	Austin	78741	512-386-8766	512-386-8988	<a href="mailto:smsdc@smsdc.org">smsdc@smsdc.org</a>
Texas Association of Historically Underutilized Businesses	PO Box 684726	Austin	78768	512-468-0113	915-585-7751	<a href="mailto:rmata@tgsaustin.com">rmata@tgsaustin.com</a> <a href="mailto:info@texashubs.org">info@texashubs.org</a>
Women's Business Enterprise Alliance	9800 Northwest Freeway, Ste. 120	Houston	77092	713-681-9232	713-681-9242	<a href="mailto:kwilliams@wbea-texas.org">kwilliams@wbea-texas.org</a>
El Paso Hispanic Chamber of Commerce	2401 E. Missouri	El Paso	79903	915-566-4066	915-566-9714	<a href="mailto:treed@ephcc.org">treed@ephcc.org</a>
Golden Triangle Minority Business Council	PO Box 5064	Beaumont	77726-5064	409-962-8530	409-722-5402	<a href="mailto:hatcher.beverly@gtmbc.com">hatcher.beverly@gtmbc.com</a>
Hispanic Contractors Assoc. De San Antonio	Mailing address - PO Box 33425	San Antonio	78265	210-444-1100	210-444-1101	<a href="mailto:admin@hcalesa.org">admin@hcalesa.org</a>
Texas Association of African American Chambers of Commerce (TAAACC)	Mailing address-PO Box 13064	Austin	78711	512-535-5610		<a href="mailto:info@taaacc.org">info@taaacc.org</a>
Texas Association of Mexican American Chambers of Commerce (TAMACC)	PO Box 41780	Austin	78701	512-444-5727		<a href="mailto:panton@tamacc.org">panton@tamacc.org</a>
Tri-County Regional Black Chamber of Commerce	2626 S. Loop West, Ste. 250	Houston	77054	832-875-3977	281-336-0870	<a href="mailto:procurement@tcbcc.org">procurement@tcbcc.org</a>

<b>Austin Area Trade Organizations</b>						
Asian Contractor Association	4201 Ed Bluestein Blvd. #2105	<i>Austin</i>	78721	512-926-5400	512-926-5410	<a href="mailto:asiancontractor@gmail.com">asiancontractor@gmail.com</a>
Austin Black Contractors Association	6448 Hwy. 290 East Ste. E-107	<i>Austin</i>	78723	512-467-6894	512-467-9808	<a href="mailto:brc-pro@att.net">brc-pro@att.net</a>
US Hispanic Contractors Association de Austin	920 E Dean Keeton	<i>Austin</i>	78705	512-922-0507		<a href="mailto:info@ushca-austin.com">info@ushca-austin.com</a>
<b>San Antonio Trade Organizations</b>						
San Antonio Hispanic Chamber of Commerce	200 E. Grayson, Ste. 203	<i>San Antonio</i>	78215	210-225-0462	210-225-2485	<a href="mailto:gwens@sahcc.org">gwens@sahcc.org</a> <a href="http://www.sahcc.org">www.sahcc.org</a>
Alamo City Black Chamber of Commerce	600 Hemisfair Plaza Way Bldg. 406-10	<i>San Antonio</i>	78205	210-226-9055	210-226-0524	<a href="mailto:info@alamocitychamber.org">info@alamocitychamber.org</a>
Hispanic Contractors Association de San Antonio	203 Norton Mailing Address 800 Quintana Road #333	<i>San Antonio</i>	78211	210-444-1100	210-444-1101	<a href="mailto:admin@hca-sa.org">admin@hca-sa.org</a>
<b>Houston &amp; Gulf Coast Trade Organizations</b>						
Houston Minority Supplier Development Council	Three Riverway, Ste. 555	<i>Houston</i>	77056	713-271-7805	713-271-9770	<a href="mailto:info@hmbc.org">info@hmbc.org</a>
Tri-County Regional Black Chamber of Commerce	2626 S. Loop West, Ste. 250	<i>Houston</i>	77054	832-875-3977	281-336-0870	<a href="mailto:procurement@tcbcc.org">procurement@tcbcc.org</a>
Women Contractors Association	P O Box 6757	<i>Houston</i>	77265	713-807-9977	713-807-9917	<a href="mailto:director@womencontractors.org">director@womencontractors.org</a>
Women's Business Enterprise Alliance	9800 Northwest Freeway, Ste. 120	<i>Houston</i>	77092	713-681-9232	713-681-9242	<a href="mailto:kwilliams@wbea-texas.org">kwilliams@wbea-texas.org</a>
National Association of Minority Contractors (NAMC) Greater Houston Chapter	3825 Dacoma St.	<i>Houston</i>	77092	713-843-3791	713-843-3701	<a href="mailto:bids@namctexas.org">bids@namctexas.org</a>
Houston Hispanic Chamber of Commerce	1801 Main St., Ste. 890	<i>Houston</i>	77002	713-644-7070	713-644-7377	<a href="mailto:info@houstonhispanicchamber.com">info@houstonhispanicchamber.com</a>

**SAMPLE**  
**GOOD FAITH EFFORT**  
**HSP PLAN**  
**(The following are only to be used as**  
**Minimum Guides)**

SAMPLE



**OPTION 1**  
**SAMPLE 100%**  
**SELF - PERFORMANCE**  
**HSP PLAN**  
**For**  
**PROFESSIONAL SERVICES**  
**(The following are only to be used as**  
**Minimum Guides)**

*(Place this information on business letterhead – including name, address and telephone number)*

*“Letter of HUB Transmittal for Construction Services”*

Date: 4/01/20XX

Muriel D. Kruse  
HUB Staff Associate  
Project Management and Construction Services  
The University of Texas at Austin  
1301 E. Dean Keeton, Facilities Services Building 1, Room 2.102  
Austin, TX 78722

Re: **Historically Underutilized Business Plan for** MAI- Renovation of First Floor

Contract Number: 17PSAxxx

Dear Ms. Kruse,

In accordance with the requirements outlined in the specification section “Exhibit H – Policy on Utilization of Historically Underutilized Businesses (HUB)s,” I am pleased to forward this HUB Subcontracting Plan (HSP) as an integral part of our response in connection with your invitation for Request for Proposal / Qualifications referencing the above project.

I have read and understand the University of Texas at Austin Policy on Utilization of Historically Underutilized Businesses (HUBs). I also understand the State of Texas Annual Procurement Goal according to 34 Texas Administrative Code section 20.284 is 23.7% for professional services contracts.

This HUB Subcontracting Plan includes 0 Subcontracting Opportunities [refer to Section 2, page 12].

The project Proposal contract dollar value is \$250,000.00 (do not include alternates).

Subcontractors	# of Subcontractors	Total Subcontract \$ Value	Total Estimated %	% Minority Owned	% Woman Owned	% Service Disabled Veteran
HUB	0		0%			
Non-HUB	0		0%			
TOTAL	0		0%			

I understand the above HUB percentages must represent Texas Comptroller HUB certification standards. For each of the listed HUB firms, I have attached a Texas Comptroller HUB Certification document.

**By completion of Section B-4 of the HUB Subcontracting Plan, I affirm my intent to utilize the subcontractors selected to perform the scope of work to be subcontracted.**

Should we discover additional subcontractors claiming Historically Underutilized Business status during the course of this contract we will notify you of the same. **In addition, if for some reason a Subcontractor (HUB or Non-HUB) is unable to fulfill its contract with us, we will notify you immediately in order to take the appropriate steps to amend this contractual obligation and submit for approval, a Revised HUB Subcontractor Plan.**

Sincerely,

\_\_\_\_\_  
(Respondent)

cc: Contracting Services

The University of Texas at Austin

07/24/2017

Exhibit H - 25



# HUB SUBCONTRACTING PLAN (HSP)

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

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

The HUB Program promotes equal business opportunities for economically disadvantaged persons to contract with the State of Texas in accordance with the goals specified in the 2009 State of Texas Disparity Study. The statewide HUB goals defined in 34 Texas Administrative Code (TAC) §20.284 are:

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

## Agency Special Instructions/Additional Requirements

In accordance with 34 TAC §20.285(d)(1)(D)(iii), a respondent (prime contractor) may demonstrate good faith effort to utilize Texas certified HUBs for its subcontracting opportunities if the total value of the respondent's subcontracts with Texas certified HUBs meets or exceeds the statewide HUB goal or the agency specific HUB goal, whichever is higher. When a respondent uses this method to demonstrate good faith effort, the respondent must identify the HUBs with which it will subcontract. If using existing contracts with Texas certified HUBs to satisfy this requirement, only the aggregate percentage of the contracts expected to be subcontracted to HUBs with which the respondent **does not** have a **continuous contract\*** in place for **more than five (5) years** shall qualify for meeting the HUB goal. This limitation is designed to encourage vendor rotation as recommended by the 2009 Texas Disparity Study.

### HUB Goal – 23.7%

- ❖ Respondents shall submit a completed HUB Subcontracting Plan (HSP) to be considered responsive. Failure to submit a completed HSP shall result in the bid, proposal or other expression of interest to be considered NON-responsive.
- ❖ HUB Subcontracting Plan (HSP) Prime Contractor Progress Assessment Report (PAR) shall be submitted with each request for payment as a condition of payment.
- ❖ Please note that phone logs are no longer acceptable as documentation of the good faith effort. Only fax, e-mail and certified letter are acceptable.
- ❖ Seven (7) working Days shall be defined as a normal business days of the University of Texas at Austin, not including weekends or University observed Holidays. The first working day shall be the day following the day that the notice was sent and the 7<sup>th</sup> day is the day that the response is due.

### UT Austin (only) Please check:

- New HUB plan
- Conventional Bid
- Competitive Sealed Proposal
- Construction Manager @ Risk or Design Build
- JOC / OOL
- Change Order
- Other:

## SECTION 1 RESPONDENT AND REQUISITION INFORMATION

- a. Respondent (Company) Name: JD Professional Services Inc. State of Texas VID #: 176xxxxxx  
 HSP Point of Contact: Jane Smith (person most familiar with HSP plan) Phone #: 512-555-1111  
 E-mail Address: jsmith@jdconstruction.com Fax #: \_\_\_\_\_
- b. Is your company a State of Texas certified HUB?  - Yes  - No
- c. Solicitation #: 17CSPXXX Bid \$ Due Date: 04/01/20XX  
 (mm/dd/yyyy)

**SECTION 2 SUBCONTRACTING INTENTIONS**

After dividing the contract work into reasonable lots or portions to the extent consistent with prudent industry practices, and taking into consideration the scope of work to be performed under the proposed contract, including all potential subcontracting opportunities, the respondent must determine what portions of work, including contracted staffing, goods and services will be subcontracted. Note: In accordance with 34 TAC §20.282., an "Subcontractor" means a person who contracts with a prime contractor to work, to supply commodities, or to contribute toward completing work for a governmental entity.

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

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

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

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

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

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

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

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

d. Check the appropriate box (Yes or No) that indicates whether the **aggregate expected percentage** of the contract you will subcontract with Texas certified HUBs with which you have had contracts in place with for five (5) years or less meets or exceeds the HUB goal the contracting agency identified on page 1 in the "Agency Special Instructions/Additional Requirements".

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

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

**SECTION 2** SUBCONTRACTING INTENTIONS (CONTINUATION SHEET)

a. This page can be used as a continuation sheet to the HSP Form's page 2, SECTION 2, Item b. Continue listing the portions of work (subcontracting opportunities) you will subcontract. Also, based on the total value of the contract, identify the percentages of the contract you expect to award to Texas certified HUBs, and the percentage of the contract you expect to award to vendors that are not a Texas certified HUB (i.e., Non-HUB).

Item #	Subcontracting Opportunity Description	HUBs		Non-HUBs
		Percentage of the contract expected to be subcontracted to HUBs with which you <u>do not have a continuous contract* in place for more than five (5) years.</u>	Percentage of the contract expected to be subcontracted to HUBs with which you have a <u>continuous contract* in place for more than five (5) years.</u>	Percentage of the contract expected to be subcontracted to non-HUBs.
		%	%	%
		%	%	%
		%	%	%
		%	%	%
		%	%	%
		%	%	%
		%	%	%
		%	%	%
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		%	%	%
		%	%	%
		%	%	%
		%	%	%
		%	%	%
		%	%	%
		%	%	%
		%	%	%
Aggregate percentages of the contract expected to be subcontracted:		%	%	%

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

Enter your company's name here:

JD Professional Services INC

Requisition #:

17CSPXXX

**SECTION 3 SELF PERFORMING JUSTIFICATION** (If you responded "No" to SECTION 2, Item a, you must complete this SECTION and continue to SECTION 4.)

If you responded "No" to SECTION 2, Item a, in the space provided below explain how your company will perform the entire contract with its own employees, supplies, materials and/or equipment.

Line Item # - Self Performing Trades Description		Line Item # - Self Performing Trades Description	
(#1)	MEP	(#4)	
(#2)	Landscape Architect	(#5)	
(#3)	Structural	(#6)	

Provide explanation in this box:

**SECTION 4 AFFIRMATION**

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

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

JANE SMITH  
Signature

JANE SMITH  
Printed Name

PRESIDENT  
Title

04/01/XXXX  
Date

**REMINDER:**

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

**OPTION 2**  
**SAMPLE**  
**100% HUB PARTICIPATION**  
**HSP PLAN**  
**For**  
**PROFESSIONAL SERVICES**  
**(The following are only to be used as**  
**Minimum Guides)**

*(Place this information on business letterhead – including name, address and telephone number)*

*“Letter of HUB Transmittal for Professional Services”*

Date

Muriel D. Kruse  
HUB Staff Associate  
Project Management and Construction Services  
The University of Texas at Austin  
1301 E. Dean Keeton, Facilities Services Building 1, Room 2.102  
Austin, TX 78722

Re: **Historically Underutilized Business Plan for** See cover of spec for project title  
Contract Number: See spec

Dear Ms. Kruse:

In accordance with the requirements outlined in the specification section “Exhibit H – Policy on Utilization of Historically Underutilized Businesses (HUB)s,” I am pleased to forward this HUB Subcontracting Plan (HSP) as an integral part of our response in connection with your invitation for Request for Proposal / Qualifications referencing the above project.

I have read and understand the University of Texas at Austin Policy on Utilization of Historically Underutilized Businesses (HUBs). I also understand the State of Texas Annual Procurement Goal according to 34 Texas Administrative Code section 20.284 is 23.7% for professional services contracts.

This HUB Subcontracting Plan includes 3 Subcontracting Opportunities [refer to Section 2, page 12].

The project Proposal contract dollar value is \$ 250,000.00

Subcontractors	# of Subcontractors	Total Subcontract \$ Value	Total Estimated %	% Minority Owned	% Woman Owned	% Service Disabled Veteran
HUB	3	\$46,500.00	18.6%	15%	3.6%	
Non-HUB	0	0	0			
TOTAL	3	\$46,500.00	18.6%			

I understand the above HUB percentages must represent Texas Comptroller HUB certification standards. For each of the listed HUB firms, I have attached a Texas Comptroller HUB Certification document.

**By completion of Section B-4 of the HUB Subcontracting Plan, I affirm my intent to utilize the subcontractors selected to perform the scope of work to be subcontracted.**

Should we discover additional subcontractors claiming Historically Underutilized Business status during the course of this contract we will notify you of the same. **In addition, if for some reason a Subcontractor (HUB or Non-HUB) is unable to fulfill its contract with us, we will notify you immediately in order to take the appropriate steps to amend this contractual obligation and submit for approval, a Revised HUB Subcontractor Plan.**

Sincerely,

\_\_\_\_\_  
(Respondent)

cc: Contracting Services





# HUB SUBCONTRACTING PLAN (HSP)

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

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

The HUB Program promotes equal business opportunities for economically disadvantaged persons to contract with the State of Texas in accordance with the goals specified in the 2009 State of Texas Disparity Study. The statewide HUB goals defined in 34 Texas Administrative Code (TAC) §20.284 are:

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

## Agency Special Instructions/Additional Requirements

In accordance with 34 TAC §20.285(d)(1)(D)(iii), a respondent (prime contractor) may demonstrate good faith effort to utilize Texas certified HUBs for its subcontracting opportunities if the total value of the respondent's subcontracts with Texas certified HUBs meets or exceeds the statewide HUB goal or the agency specific HUB goal, whichever is higher. When a respondent uses this method to demonstrate good faith effort, the respondent must identify the HUBs with which it will subcontract. If using existing contracts with Texas certified HUBs to satisfy this requirement, only the aggregate percentage of the contracts expected to be subcontracted to HUBs with which the respondent **does not** have a **continuous contract\*** in place for **more than five (5) years** shall qualify for meeting the HUB goal. This limitation is designed to encourage vendor rotation as recommended by the 2009 Texas Disparity Study.

### HUB Goal – 23.7%

- ❖ Respondents shall submit a completed HUB Subcontracting Plan (HSP) to be considered responsive. Failure to submit a completed HSP shall result in the bid, proposal or other expression of interest to be considered NON-responsive.
- ❖ HUB Subcontracting Plan (HSP) Prime Contractor Progress Assessment Report (PAR) shall be submitted with each request for payment as a condition of payment.
- ❖ Please note that phone logs are no longer acceptable as documentation of the good faith effort. Only fax, e-mail and certified letter are acceptable.
- ❖ Seven (7) working Days shall be defined as a normal business days of the University of Texas at Austin, not including weekends or University observed Holidays. The first working day shall be the day following the day that the notice was sent and the 7<sup>th</sup> day is the day that the response is due.

### UT Austin (only) Please check:

- New HUB plan
- Conventional Bid
- Competitive Sealed Proposal
- Construction Manager @ Risk or Design Build
- JOC / OOL
- Change Order
- Other:

## SECTION 1 RESPONDENT AND REQUISITION INFORMATION

- a. Respondent (Company) Name: JD Professional Services, Inc. State of Texas VID #: 176xxxxxxxxx  
 HSP Point of Contact: Jane Smith (person most familiar with HSP plan) Phone #: 512-555-1111  
 E-mail Address: jsmith@jdprofessionalservs.com Fax #: 512-555-1111
- b. Is your company a State of Texas certified HUB?  - Yes  - No
- c. Solicitation #: 17PSAXXX Bid \$ Due Date: 07/01/20XX  
 (mm/dd/yyyy)

**SECTION 2 SUBCONTRACTING INTENTIONS**

After dividing the contract work into reasonable lots or portions to the extent consistent with prudent industry practices, and taking into consideration the scope of work to be performed under the proposed contract, including all potential subcontracting opportunities, the respondent must determine what portions of work, including contracted staffing, goods and services will be subcontracted. Note: In accordance with 34 TAC §20.282., an "Subcontractor" means a person who contracts with a prime contractor to work, to supply commodities, or to contribute toward completing work for a governmental entity.

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

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

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

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

Item #	Subcontracting Opportunity Description	HUBs		Non-HUBs
		Percentage of the contract expected to be subcontracted to HUBs with which you have a <u>continuous contract</u> * in place for <u>five (5) years or less</u>	Percentage of the contract expected to be subcontracted to HUBs with which you have a <u>continuous contract</u> * in place for <u>more than five (5) years</u> .	Percentage of the contract expected to be subcontracted to non-HUBs
1	MEP	10 %	%	%
2	Landscape Architect	3.6%	%	%
3	Structural Engineer	5%	%	%
4		%	%	%
5		%	%	%
6		%	%	%
7		%	%	%
8		%	%	%
9		%	%	%
10		%	%	%
11		%	%	%
12		%	%	%
13		%	%	%
14		%	%	%
15		%	%	%
	Aggregate percentages of the contract expected to be subcontracted:	18.6%	%	%

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

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

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

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

d. Check the appropriate box (Yes or No) that indicates whether the **aggregate expected percentage** of the contract you will subcontract with Texas certified HUBs with which you have had contracts in place with for five (5) years or less **meets or exceeds** the HUB goal the contracting agency identified on page 1 in the "Agency Special Instructions/Additional Requirements".

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

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

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

**SECTION 2** SUBCONTRACTING INTENTIONS (CONTINUATION SHEET)

a. This page can be used as a continuation sheet to the HSP Form's page 2, SECTION 2, Item b. Continue listing the portions of work (subcontracting opportunities) you will subcontract. Also, based on the total value of the contract, identify the percentages of the contract you expect to award to Texas certified HUBs, and the percentage of the contract you expect to award to vendors that are not a Texas certified HUB (i.e., Non-HUB).

Item #	Subcontracting Opportunity Description	HUBs		Non-HUBs
		Percentage of the contract expected to be subcontracted to HUBs with which you <b>do not</b> have a <b>continuous contract*</b> in place for <b>more than five (5) years.</b>	Percentage of the contract expected to be subcontracted to HUBs with which you have a <b>continuous contract*</b> in place for <b>more than five (5) years.</b>	Percentage of the contract expected to be subcontracted to non-HUBs
		%	%	%
		%	%	%
		%	%	%
		%	%	%
		%	%	%
		%	%	%
		%	%	%
		%	%	%
		%	%	%
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		%	%	%
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		%	%	%
		%	%	%
		%	%	%
		%	%	%
		%	%	%
Aggregate percentages of the contract expected to be subcontracted:		%	%	%

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

**SECTION 3 SELF PERFORMING JUSTIFICATION** (If you responded "No" to SECTION 2, Item a, you must complete this SECTION and continue to SECTION 4.)

If you responded "No" to SECTION 2, Item a, in the space provided below explain how your company will perform the entire contract with its own employees, supplies, materials and/or equipment.

Line Item # - Self Performing Trades Description	Line Item # - Self Performing Trades Description
(#1)	(#4)
(#2)	(#5)
(#3)	(#6)

Provide explanation in this box:

**SECTION 4 AFFIRMATION**

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

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

Jane Smith

Signature

Jane Smith

Printed Name

President

Title

07/01/20XX

Date

**REMINDER:**

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

# HSP Good Faith Effort - Method A (Attachment A)

Enter your company's name here: <u>JD Professional Services INC.</u>	Requisition #: <u>17PSAXXX</u>
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**IMPORTANT:** If you responded "Yes" to SECTION 2, Items c or d of the completed HSP form, you must submit a completed "HSP Good Faith Effort - Method A (Attachment A)" for each of the subcontracting opportunities you listed in SECTION 2, Item b of the completed HSP form. You may photo-copy this page or download the form at <http://www.comptroller.texas.gov/purchasing/docs/hub-forms/hub-sbcont-plan-qfe-achm-a.pdf>

## SECTION A-1 SUBCONTRACTING OPPORTUNITY

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

Item #: 1 Description: MEP

## SECTION A-2 SUBCONTRACTOR SELECTION

List the subcontractor(s) you selected to perform the subcontracting opportunity you listed above in SECTION A-1. Also identify whether they are a Texas Certified HUB and their VID number, the approximate dollar value of the work to be subcontracted, the expected percentage of work to be subcontracted, and indicate whether the company is a Texas certified HUB.

Company Name	Texas Certified HUB	VID # <small>(Required if Texas Certified HUB)</small>	Approximate Dollar Amount	Expected Percentage of Contract
123 Mechanical LLC	<input checked="" type="checkbox"/> - Yes <input type="checkbox"/> - No	1742000000000	\$ 25,000.00	10 %
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%

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

# HSP Good Faith Effort - Method A (Attachment A)

Enter your company's name here: JD Professional Services INC. Requisition #: 17PSAXXX

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

## SECTION A-1 SUBCONTRACTING OPPORTUNITY

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

Item #: 2 Description: Landscape Architect

## SECTION A-2 SUBCONTRACTOR SELECTION

List the subcontractor(s) you selected to perform the subcontracting opportunity you listed above in SECTION A-1. Also identify whether they are a Texas Certified HUB and their VID number, the approximate dollar value of the work to be subcontracted, the expected percentage of work to be subcontracted, and indicate whether the company is a Texas certified HUB.

Company Name	Texas Certified HUB	VID # (Required if Texas Certified HUB)	Approximate Dollar Amount	Expected Percentage of Contract
123 Architects INC.	<input checked="" type="checkbox"/> - Yes <input type="checkbox"/> - No	1742000000000	\$ 9,000.00	3.6 %
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
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	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%

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

# HSP Good Faith Effort - Method A (Attachment A)

Enter your company's name here: <u>JD Professional Services INC.</u>	Requisition #: <u>17PSAXXX</u>
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**IMPORTANT:** If you responded "Yes" to SECTION 2, Items c or d of the completed HSP form, you must submit a completed "HSP Good Faith Effort - Method A (Attachment A)" for each of the subcontracting opportunities you listed in SECTION 2, Item b of the completed HSP form. You may photo-copy this page or download the form at <http://www.comptroller.texas.gov/purchasing/docs/hub-forms/hub-sbcont-plan-qfe-achm-a.pdf>

## SECTION A-1 SUBCONTRACTING OPPORTUNITY

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

Item #: 3 Description: Structural Engineer

## SECTION A-2 SUBCONTRACTOR SELECTION

List the subcontractor(s) you selected to perform the subcontracting opportunity you listed above in SECTION A-1. Also identify whether they are a Texas Certified HUB and their VID number, the approximate dollar value of the work to be subcontracted, the expected percentage of work to be subcontracted, and indicate whether the company is a Texas certified HUB.

Company Name	Texas Certified HUB	VID # <small>(Required if Texas Certified HUB)</small>	Approximate Dollar Amount	Expected Percentage of Contract
123 Structural, INC.	X - Yes <input type="checkbox"/> - No	1742000000000	\$ 12,500.00	5 %
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
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	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%

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

**OPTION 3**  
**SAMPLE**  
**23.7% GOAL**  
**HUB PARTICIPATION**  
**HSP PLAN**  
**(The following are only to be used as**  
**Minimum Guides)**



*(Place this information on business letterhead – including name, address and telephone number)*

*“Letter of HUB Transmittal for Professional Services”*

Date 07/01/20XX

Muriel D. Kruse  
HUB Staff Associate  
Project Management and Construction Services  
The University of Texas at Austin  
1301 E. Dean Keeton, Facilities Services Building 1, Room 2.102  
Austin, TX 78722

Re: **Historically Underutilized Business Plan for** (MAI) Renovation of First Floor

**Contract Number:** 17PSAXXX

Dear Ms. Kruse:

In accordance with the requirements outlined in the specification section “Exhibit H – Policy on Utilization of Historically Underutilized Businesses (HUB)s,” I am pleased to forward this HUB Subcontracting Plan (HSP) as an integral part of our response in connection with your invitation for Request for Proposal / Qualifications referencing the above project.

I have read and understand the University of Texas at Austin Policy on Utilization of Historically Underutilized Businesses (HUBs). I also understand the State of Texas Annual Procurement Goal according to 34 Texas Administrative Code section 20.284 is 23.7% for professional services contracts.

This HUB Subcontracting Plan includes 3 Subcontracting Opportunities [refer to Section 2, page 12].

The project Proposal contract dollar value is \$ 250,000.00

Subcontractors	# of Subcontractors	Total Subcontract \$ Value	Total Estimated %	% Minority Owned	% Woman Owned	% Service Disabled Veteran
HUB	2	\$59,250.00	23.7%	20.1%		3.6%
Non-HUB	1	\$25,000.00	10%			
TOTAL	3	\$84,250.00	33.7%			

I understand the above HUB percentages must represent Texas Comptroller HUB certification standards. For each of the listed HUB firms, I have attached a Texas Comptroller HUB Certification document.

**By completion of Section B-4 of the HUB Subcontracting Plan, I affirm my intent to utilize the subcontractors selected to perform the scope of work to be subcontracted.**

Should we discover additional subcontractors claiming Historically Underutilized Business status during the course of this contract we will notify you of the same. **In addition, if for some reason a Subcontractor (HUB or Non-HUB) is unable to fulfill its contract with us, we will notify you immediately in order to take the appropriate steps to amend this contractual obligation and submit for approval, a Revised HUB Subcontractor Plan.**

Sincerely,

\_\_\_\_\_  
(Respondent)

cc: Contracting Services



# HUB SUBCONTRACTING PLAN (HSP)

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

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

The HUB Program promotes equal business opportunities for economically disadvantaged persons to contract with the State of Texas in accordance with the goals specified in the 2009 State of Texas Disparity Study. The statewide HUB goals defined in 34 Texas Administrative Code (TAC) §20.284 are:

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

## Agency Special Instructions/Additional Requirements

In accordance with 34 TAC §20.285(d)(1)(D)(iii), a respondent (prime contractor) may demonstrate good faith effort to utilize Texas certified HUBs for its subcontracting opportunities if the total value of the respondent's subcontracts with Texas certified HUBs meets or exceeds the statewide HUB goal or the agency specific HUB goal, whichever is higher. When a respondent uses this method to demonstrate good faith effort, the respondent must identify the HUBs with which it will subcontract. If using existing contracts with Texas certified HUBs to satisfy this requirement, only the aggregate percentage of the contracts expected to be subcontracted to HUBs with which the respondent **does not** have a **continuous contract\*** in place for **more than five (5) years** shall qualify for meeting the HUB goal. This limitation is designed to encourage vendor rotation as recommended by the 2009 Texas Disparity Study.

### HUB Goal – 23.7%

- ❖ Respondents shall submit a completed HUB Subcontracting Plan (HSP) to be considered responsive. Failure to submit a completed HSP shall result in the bid, proposal or other expression of interest to be considered NON- responsive.
- ❖ HUB Subcontracting Plan (HSP) Prime Contractor Progress Assessment Report (PAR) shall be submitted with each request for payment as a condition of payment.
- ❖ Please note that phone logs are no longer acceptable as documentation of the good faith effort. Only fax, e-mail and certified letter are acceptable.
- ❖ Seven (7) working Days shall be defined as a normal business days of the University of Texas at Austin, not including weekends or University observed Holidays. The first working day shall be the day following the day that the notice was sent and the 7<sup>th</sup> day is the day that the response is due.

### UT Austin (only)

#### Please check:

- New HUB plan
- Conventional Bid
- Competitive Sealed Proposal
- Construction Manager @ Risk or Design Build
- JOC / OOL
- Change Order
- Other:

## SECTION 1 RESPONDENT AND REQUISITION INFORMATION

- a. Respondent (Company) Name: JD Professional Services, Inc. State of Texas VID #: 176xxxxxxxxx
- HSP Point of Contact: Jane Smith (person most familiar with HSP plan) Phone #: 512-555-1111
- E-mail Address: jsmith@jdprofessionalservs.com Fax #: 512-555-1111
- b. Is your company a State of Texas certified HUB?  - Yes  - No
- c. Solicitation #: 17PSAXXX Bid \$ Due Date: 07/01/20XX  
(mm/dd/yyyy)

Enter your company's name here:

JD Professional Services Inc.

Requisition #:

17PSAXXX

**SECTION 2** SUBCONTRACTING INTENTIONS

After dividing the contract work into reasonable lots or portions to the extent consistent with prudent industry practices, and taking into consideration the scope of work to be performed under the proposed contract, including all potential subcontracting opportunities, the respondent must determine what portions of work, including contracted staffing, goods and services will be subcontracted. Note: In accordance with 34 TAC §20.282., an "Subcontractor" means a person who contracts with a prime contractor to work, to supply commodities, or to contribute toward completing work for a governmental entity.

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

**Yes**, I will be subcontracting portions of the contract. (If **Yes**, complete Item b, of this SECTION.)

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

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

Item #	Subcontracting Opportunity Description	HUBs		Non-HUBs
		Percentage of the contract expected to be subcontracted to HUBs with which you have a <u>continuous contract*</u> in place for <u>five (5) years or less</u>	Percentage of the contract expected to be subcontracted to HUBs with which you have a <u>continuous contract*</u> in place for <u>more than five (5) years.</u>	Percentage of the contract expected to be subcontracted to non-HUBs
1	MEP	20.1 %	%	%
2	Landscape Architect	3.6%	%	%
3	Structural Engineer	%	%	10%
4		%	%	%
5		%	%	%
6		%	%	%
7		%	%	%
8		%	%	%
9		%	%	%
10		%	%	%
11		%	%	%
12		%	%	%
13		%	%	%
14		%	%	%
15		%	%	%
	Aggregate percentages of the contract expected to be subcontracted:	23.7%	%	10%

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

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

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

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

d. Check the appropriate box (Yes or No) that indicates whether the **aggregate expected percentage** of the contract you will subcontract **with Texas certified HUBs with which you have had contracts in place with for five (5) years or less meets or exceeds** the HUB goal the contracting agency identified on page 1 in the "Agency Special Instructions/Additional Requirements".

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

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

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

**SECTION 2** SUBCONTRACTING INTENTIONS (CONTINUATION SHEET)

a. This page can be used as a continuation sheet to the HSP Form's page 2, SECTION 2, Item b. Continue listing the portions of work (subcontracting opportunities) you will subcontract. Also, based on the total value of the contract, identify the percentages of the contract you expect to award to Texas certified HUBs, and the percentage of the contract you expect to award to vendors that are not a Texas certified HUB (i.e., Non-HUB).

Item #	Subcontracting Opportunity Description	HUBs		Non-HUBs
		Percentage of the contract expected to be subcontracted to HUBs with which you <b>do not</b> have a <u>continuous contract*</u> in place for <u>more than five (5) years.</u>	Percentage of the contract expected to be subcontracted to HUBs with which you have a <u>continuous contract*</u> in place for <u>more than five (5) years.</u>	Percentage of the contract expected to be subcontracted to non-HUBs.
		%	%	%
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		%	%	%
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		%	%	%
		%	%	%
		%	%	%
		%	%	%
Aggregate percentages of the contract expected to be subcontracted:		%	%	%

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

Enter your company's name here:

JD Professional Services, Inc.

Requisition #:

17PSAXXX

**SECTION 3 SELF PERFORMING JUSTIFICATION** (If you responded "No" to SECTION 2, Item a, you must complete this SECTION and continue to SECTION 4.)

If you responded "No" to SECTION 2, Item a, in the space provided below explain how your company will perform the entire contract with its own employees, supplies, materials and/or equipment.

Line Item # - Self Performing Trades Description	Line Item # - Self Performing Trades Description
(#1)	(#4)
(#2)	(#5)
(#3)	(#6)

Provide explanation in this box:

**SECTION 4 AFFIRMATION**

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

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

Jane Smith

Signature

Jane Smith

Printed Name

President

Title

07/01/20XX

Date

**REMINDER:**

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

# HSP Good Faith Effort - Method A (Attachment A)

Enter your company's name here: <u>JD Professional Services Inc.</u>	Requisition #: <u>17PSAXXX</u>
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**IMPORTANT:** If you responded "Yes" to SECTION 2, Items c or d of the completed HSP form, you must submit a completed "HSP Good Faith Effort - Method A (Attachment A)" for each of the subcontracting opportunities you listed in SECTION 2, Item b of the completed HSP form. You may photo-copy this page or download the form at <http://www.comptroller.texas.gov/purchasing/docs/hub-forms/hub-sbcont-plan-qfe-achm-a.pdf>

## SECTION A-1 SUBCONTRACTING OPPORTUNITY

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

Item #: 1 Description: MEP

## SECTION A-2 SUBCONTRACTOR SELECTION

List the subcontractor(s) you selected to perform the subcontracting opportunity you listed above in SECTION A-1. Also identify whether they are a Texas Certified HUB and their VID number, the approximate dollar value of the work to be subcontracted, the expected percentage of work to be subcontracted, and indicate whether the company is a Texas certified HUB.

Company Name	Texas Certified HUB	VID # <small>(Required if Texas Certified HUB)</small>	Approximate Dollar Amount	Expected Percentage of Contract
123 Mechanical LLC	<input checked="" type="checkbox"/> - Yes <input type="checkbox"/> - No	1742000000000	\$ 50,250.00	20.1 %
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
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	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%

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

# HSP Good Faith Effort - Method A (Attachment A)

Enter your company's name here: <u>JD Professional Services INC.</u>	Requisition #: <u>17PSAXXX</u>
--	--------------------------------

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

## SECTION A-1 SUBCONTRACTING OPPORTUNITY

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

Item #: 2 Description: Landscape Architect

## SECTION A-2 SUBCONTRACTOR SELECTION

List the subcontractor(s) you selected to perform the subcontracting opportunity you listed above in SECTION A-1. Also identify whether they are a Texas Certified HUB and their VID number, the approximate dollar value of the work to be subcontracted, the expected percentage of work to be subcontracted, and indicate whether the company is a Texas certified HUB.

Company Name	Texas Certified HUB	VID # <small>(Required if Texas Certified HUB)</small>	Approximate Dollar Amount	Expected Percentage of Contract
123 Architects Inc.	X - Yes <input type="checkbox"/> - No	1742000000000	\$ 9,000.00	3.6 %
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
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	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%

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

# HSP Good Faith Effort - Method A (Attachment A)

Enter your company's name here: JD Professional Services INC. Requisition #: 17PSAXXX

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

## SECTION A-1 SUBCONTRACTING OPPORTUNITY

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

Item #: 3 Description: Structural Engineer

## SECTION A-2 SUBCONTRACTOR SELECTION

List the subcontractor(s) you selected to perform the subcontracting opportunity you listed above in SECTION A-1. Also identify whether they are a Texas Certified HUB and their VID number, the approximate dollar value of the work to be subcontracted, the expected percentage of work to be subcontracted, and indicate whether the company is a Texas certified HUB.

Company Name	Texas Certified HUB	VID # (Required if Texas Certified HUB)	Approximate Dollar Amount	Expected Percentage of Contract
123 Structural, Inc.	<input checked="" type="checkbox"/> - Yes <input type="checkbox"/> - No	1742000000000	\$ 25,000.00	10 %
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
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	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%

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



**OPTION 4**  
**SAMPLE**  
**GOOD FAITH EFFORT**  
**HSP PLAN**  
**(The following are only to be used as**  
**Minimum Guides)**

**(Place this information on business letterhead – including name, address and telephone number)**  
**“Letter of HUB Transmittal for Construction Services”**  
**(for HSP Plan and/or Self Performance for Conventional Bid and Competitive Seal Proposal)**

Date 4/01/20XX

Muriel D. Kruse  
HUB Staff Associate  
Project Management and Construction Services  
The University of Texas at Austin  
1301 E. Dean Keeton, Facilities Services Building 1, Room 2.102  
Austin, TX 78722

Re: **Historically Underutilized Business Plan for (MAI) Renovation of First Floor**

Contract Number: 17CSPxxx

Dear Ms. Kruse:

In accordance with the requirements outlined in the specification section “Exhibit H – Policy on Utilization of Historically Underutilized Businesses (HUB)s,” I am pleased to forward this HUB Subcontracting Plan (HSP) as an integral part of our response in connection with your invitation for Request for Proposal / Qualifications referencing the above project.

I have read and understand the University of Texas at Austin Policy on Utilization of Historically Underutilized Businesses (HUBs). I also understand the State of Texas Annual Procurement Goal according to 34 Texas Administrative Code section 20.284 is 23.7% for professional service contract.

This HUB Subcontracting Plan includes 3 Subcontracting Opportunities [refer to Section 2, page 12].

The project Proposal contract dollar value is \$ 250,000.00

Subcontractors	# of Subcontractors	Total Subcontract \$ Value	Total Estimated %	% Minority Owned	% Woman Owned	% Service Disable Veteran
HUB	2		15%	10%	5%	
Non-HUB	1		20%			
<b>TOTAL</b>	<b>3</b>		<b>35%</b>			

I understand the above HUB percentages must represent Texas Comptroller HUB certification standards. For each of the listed HUB firms, I have attached a Texas Comptroller HUB Certification document.

**By completion of Section B-4 of the HUB Subcontracting Plan, I affirm my intent to utilize the subcontractors selected to perform the scope of work to be subcontracted.**

Should we discover additional subcontractors claiming Historically Underutilized Business status during the course of this contract we will notify you of the same. **In addition, if for some reason a Subcontractor (HUB or Non-HUB) is unable to fulfill its contract with us, we will notify you immediately in order to take the appropriate steps to amend this contractual obligation and submit for approval, a Revised HUB Subcontractor Plan.**

Sincerely,

\_\_\_\_\_  
(Respondent)

cc: Contracting Services

The University of Texas at Austin

07/24/2017

Exhibit H - 49



# HUB SUBCONTRACTING PLAN (HSP)

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

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

The HUB Program promotes equal business opportunities for economically disadvantaged persons to contract with the State of Texas in accordance with the goals specified in the 2009 State of Texas Disparity Study. The statewide HUB goals defined in 34 Texas Administrative Code (TAC) §20.284 are:

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

## Agency Special Instructions/Additional Requirements

In accordance with 34 TAC §20.285(d)(1)(D)(iii), a respondent (prime contractor) may demonstrate good faith effort to utilize Texas certified HUBs for its subcontracting opportunities if the total value of the respondent's subcontracts with Texas certified HUBs meets or exceeds the statewide HUB goal or the agency specific HUB goal, whichever is higher. When a respondent uses this method to demonstrate good faith effort, the respondent must identify the HUBs with which it will subcontract. If using existing contracts with Texas certified HUBs to satisfy this requirement, only the aggregate percentage of the contracts expected to be subcontracted to HUBs with which the respondent **does not** have a **continuous contract\*** in place for **more than five (5) years** shall qualify for meeting the HUB goal. This limitation is designed to encourage vendor rotation as recommended by the 2009 Texas Disparity Study.

### HUB Goal – 23.7%

- ❖ Respondents shall submit a completed HUB Subcontracting Plan (HSP) to be considered responsive. Failure to submit a completed HSP shall result in the bid, proposal or other expression of interest to be considered NON-responsive.
- ❖ HUB Subcontracting Plan (HSP) Prime Contractor Progress Assessment Report (PAR) shall be submitted with each request for payment as a condition of payment.
- ❖ Please note that phone logs are no longer acceptable as documentation of the good faith effort. Only fax, e-mail and certified letter are acceptable.
- ❖ Seven (7) working Days shall be defined as a normal business days of the University of Texas at Austin, not including weekends or University observed Holidays. The first working day shall be the day following the day that the notice was sent and the 7<sup>th</sup> day is the day that the response is due.

### UT Austin (only) Please check:

- New HUB plan
- Conventional Bid
- Competitive Sealed Proposal
- Construction Manager @ Risk or Design Build
- JOC / OOL
- Change Order
- Other:

## SECTION 1 RESPONDENT AND REQUISITION INFORMATION

a. Respondent (Company) Name: JD Professional Services, Inc. State of Texas VID #: 176xxxxxxxxx  
 HSP Point of Contact: Jane Smith (person most familiar with HSP plan) Phone #: 512-555-1111  
 E-mail Address: jsmith@jdprofessionalservs.com Fax #: 512-555-1111

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

c. Solicitation #: 17PSAXXX Bid \$ Due Date: 07/01/20XX  
 (mm/dd/yyyy)

Enter your company's name here:

JD Professional Services Inc.

Requisition #:

17PSAXXX

**SECTION 2 SUBCONTRACTING INTENTIONS**

After dividing the contract work into reasonable lots or portions to the extent consistent with prudent industry practices, and taking into consideration the scope of work to be performed under the proposed contract, including all potential subcontracting opportunities, the respondent must determine what portions of work, including contracted staffing, goods and services will be subcontracted. Note: In accordance with 34 TAC §20.282., an "Subcontractor" means a person who contracts with a prime contractor to work, to supply commodities, or to contribute toward completing work for a governmental entity.

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

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

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

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

Item #	Subcontracting Opportunity Description	HUBs		Non-HUBs
		Percentage of the contract expected to be subcontracted to HUBs with which you have a <u>continuous contract*</u> in place for <u>five (5) years or less</u>	Percentage of the contract expected to be subcontracted to HUBs with which you have a <u>continuous contract*</u> in place for <u>more than five (5) years</u>	Percentage of the contract expected to be subcontracted to non-HUBs
1	MEP	20.1 %	%	%
2	Landscape Architect	3.6%	%	%
3	Structural Engineer	%	%	10%
4		%	%	%
5		%	%	%
6		%	%	%
7		%	%	%
8		%	%	%
9		%	%	%
10		%	%	%
11		%	%	%
12		%	%	%
13		%	%	%
14		%	%	%
15		%	%	%
	Aggregate percentages of the contract expected to be subcontracted:	23.7%	%	10%

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

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

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

d. Check the appropriate box (Yes or No) that indicates whether the **aggregate expected percentage** of the contract you will subcontract **with Texas certified HUBs with which you have had contracts in place with for five (5) years or less** **meets or exceeds** the HUB goal the contracting agency identified on page 1 in the "Agency Special Instructions/Additional Requirements".

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

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

**SECTION 2 SUBCONTRACTING INTENTIONS (CONTINUATION SHEET)**

This page can be used as a continuation sheet to the HSP Form's page 2, SECTION 2, Item b. Continue listing the portions of work (subcontracting opportunities) you will subcontract. Also, based on the total value of the contract, identify the percentages of the contract you expect to award to Texas certified HUBs, and the percentage of the contract you expect to award to vendors that are not a Texas certified HUB (i.e., Non-HUB).

Item #	Subcontracting Opportunity Description	HUBs		Non-HUBs
		Percentage of the contract expected to be subcontracted to HUBs with which you <b>do not</b> have a <u>continuous contract*</u> in place for <u>more than five (5) years</u> .	Percentage of the contract expected to be subcontracted to HUBs with which you have a <u>continuous contract*</u> in place for <u>more than five (5) years</u> .	Percentage of the contract expected to be subcontracted to non-HUBs.
		%	%	%
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		%	%	%
		%	%	%
Aggregate percentages of the contract expected to be subcontracted:		%	%	%

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

Enter your company's name here:

JD Professional Services Inc.

Requisition #:

17PSAXXX

**SECTION 3 SELF PERFORMING JUSTIFICATION** (If you responded "No" to SECTION 2, Item a, you must complete this SECTION and continue to SECTION 4).

If you responded "No" to SECTION 2, Item a, in the space provided below explain how your company will perform the entire contract with its own employees, supplies, materials and/or equipment.

Line Item # - Self Performing Trades Description	Line Item # - Self Performing Trades Description
(#1)	(#4)
(#2)	(#5)
(#3)	(#6)

Provide explanation in this box:



**SECTION 4 AFFIRMATION**

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

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

Jane Smith

Signature

Jane Smith

Printed Name

President

Title

07/01/20XX

Date

**REMINDER:**

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

# HSP Good Faith Effort - Method B (Attachment B)

Enter your company's name here: JD Professional Services, Inc. Requisition #: 17PSAXXX

**IMPORTANT:** If you responded "No" to SECTION 2, Items c or d of the completed HSP form, you must submit a completed "HSP Good Faith Effort - Method B (Attachment B)" for each of the subcontracting opportunities you listed in SECTION 2, Item b of the completed HSP form. You may photo-copy this page or download the form at <http://www.window.state.tx.us/procurement/prog/hub/hub-forms/hub-sbcont-plan-gfe-achm-b.pdf>.

## SECTION B-1 SUBCONTRACTING OPPORTUNITY

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

Item Number: 1 Description: MEP

## SECTION B-2 MENTOR PROTÉGÉ PROGRAM

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

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

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

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

## SECTION B-3 NOTIFICATION OF SUBCONTRACTING OPPORTUNITY

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

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

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

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

Company Name	VID #	Date Notice Sent (mm/dd/yyyy)	Did the HUB Respond?
123 Mechanical LLC	1742XXXXXXXXXX	04/02/2017	X - Yes <input type="checkbox"/> - No
456 MEP Inc.	1742XXXXXXXXXX	04/02/2017	<input type="checkbox"/> - Yes X - No
789 Company	1742XXXXXXXXXX	04/02/2017	X - Yes <input type="checkbox"/> - No

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

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

Trade Organizations or Development Centers	Date Notice Sent (mm/dd/yyyy)	Was the Notice Accepted?
MINORITY TRADE ORGANIZATION	04/02/2017	X - Yes <input type="checkbox"/> - No
DEVELOPMENT CENTER	04 /02 / 2017	X - Yes <input type="checkbox"/> - No

# HSP Good Faith Effort - Method B (Attachment B) cont.

Enter your company's name here: JD Professional Services, Inc. Requisition #: 17PSAXXX

## SECTION B-4 SUBCONTRACTOR SELECTION

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

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

Item Number: 1 Description: MEP

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

Sub Contractor Name (also list name of 2 <sup>nd</sup> , 3 <sup>rd</sup> tier sub contractor if HUB)	Texas Certified HUB	VID # (Required if Texas Certified HUB)	Approximate Dollar Amount	Expected Percentage of Contract
123 Mechanical	X- Yes <input type="checkbox"/> - No	1742XXXXXXXXXX	\$ 25,000.00	10 %
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%

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

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



# HSP Good Faith Effort - Method B (Attachment B)

Enter your company's name here: JD Professional Services, Inc. Requisition #: 17PSAXXX

**IMPORTANT:** If you responded "No" to SECTION 2, Items c or d of the completed HSP form, you must submit a completed "HSP Good Faith Effort - Method B (Attachment B)" for each of the subcontracting opportunities you listed in SECTION 2, Item b of the completed HSP form. You may photo-copy this page or download the form at <http://www.window.state.tx.us/procurement/prog/hub/hub-forms/hub-sbcont-plan-gfe-achm-b.pdf>.

## SECTION B-1 SUBCONTRACTING OPPORTUNITY

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

Item Number: 2 Description: Landscape Architect

## SECTION B-2 MENTOR PROTÉGÉ PROGRAM

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

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

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

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

## SECTION B-3 NOTIFICATION OF SUBCONTRACTING OPPORTUNITY

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

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

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

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

Company Name	VID #	Date Notice Sent (mm/dd/yyyy)	Did the HUB Respond?
123 Architects, Inc.	1742XXXXXXXXXX	04/02/2017	X - Yes <input type="checkbox"/> - No
456 Landscaping, Inc.	1742XXXXXXXXXX	04/02/2017	X - Yes <input type="checkbox"/> - No
789 Landscape & Design LLC.	1742XXXXXXXXXX	04/02/2017	<input type="checkbox"/> -Yes X - No

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

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

Trade Organizations or Development Centers	Date Notice Sent (mm/dd/yyyy)	Was the Notice Accepted?
MINORITY TRADE ORGANIZATION	04/02/2017	X- Yes <input type="checkbox"/> - No
DEVELOPMENT CENTER	04/02/2017	X - Yes <input type="checkbox"/> - No

# HSP Good Faith Effort - Method B (Attachment B) *Cont.*

Enter your company's name here: _____	JD Professional Services, Inc.	Requisition #: _____	17PSAXXX
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## SECTION B-4 SUBCONTRACTOR SELECTION

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

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

Item Number:   2   Description:   Landscape Architect  

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

Sub Contractor Name (also list name of 2 <sup>nd</sup> , 3 <sup>rd</sup> tier sub contractor if HUB)	Texas Certified HUB	VID # (Required if Texas Certified HUB)	Approximate Dollar Amount	Expected Percentage of Contract
123 Land Design Company	<input checked="" type="checkbox"/> - Yes <input type="checkbox"/> - No	1742XXXXXXXXXX	\$ 12,500.00	5%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%

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

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

# HSP Good Faith Effort - Method B (Attachment B)

Enter your company's name here: JD Professional Services, Inc. Requisition #: 17PSAXXX

**IMPORTANT:** If you responded "No" to SECTION 2, Items c or d of the completed HSP form, you must submit a completed "HSP Good Faith Effort - Method B (Attachment B)" for each of the subcontracting opportunities you listed in SECTION 2, Item b of the completed HSP form. You may photo-copy this page or download the form at <http://www.window.state.tx.us/procurement/prog/hub/hub-forms/hub-sbcont-plan-gfe-achm-b.pdf>.

## SECTION B-1 SUBCONTRACTING OPPORTUNITY

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

Item Number: 3 Description: Structural Engineer

## SECTION B-2 MENTOR PROTÉGÉ PROGRAM

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

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

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

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

## SECTION B-3 NOTIFICATION OF SUBCONTRACTING OPPORTUNITY

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

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

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

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

Company Name	VID #	Date Notice Sent (mm/dd/yyyy)	Did the HUB Respond?
123 Structural Engineers, Inc.	1742XXXXXXXXXX	04/02/2017	X - Yes <input type="checkbox"/> - No
456 P. E..	1742XXXXXXXXXX	04/02/2017	X - Yes <input type="checkbox"/> - No
789 Mechanical Corporation	1742XXXXXXXXXX	04/02/2017	<input type="checkbox"/> -Yes X - No

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

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

Trade Organizations or Development Centers	Date Notice Sent (mm/dd/yyyy)	Was the Notice Accepted?
MINORITY TRADE ORGANIZATION	04/02/2017	X - Yes <input type="checkbox"/> - No
DEVELOPMENT CENTER	04/02/2017	X - Yes <input type="checkbox"/> - No

# HSP Good Faith Effort - Method B (Attachment B) *Cont.*

Enter your company's name here:	JD Professional Services, Inc.	Requisition #:	17PSAXXX
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## SECTION B-4 SUBCONTRACTOR SELECTION

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

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

Item Number:   3   Description:   Structural Engineer  

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

Sub Contractor Name (also list name of 2 <sup>nd</sup> , 3 <sup>rd</sup> tier sub contractor if HUB)	Texas Certified HUB	VID # (Required if Texas Certified HUB)	Approximate Dollar Amount	Expected Percentage of Contract
123 Structural Engineers, Inc.	<input type="checkbox"/> - Yes <input checked="" type="checkbox"/> - No	1742XXXXXXXXXX	\$ 25,000.00	10%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%

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

SAMPLE

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

