Exhibit H – Policy on Utilization
Historically Underutilized Businesses

HUB Subcontracting Plan for
• Professional Services

OFPC Managed Projects Only

Revision dated June 5, 2017
I. Instructions to Complete the Professional Services HSP  
II. Letter of Transmittal  
III. HUB Subcontracting Plan (HSP)  
IV. HUB Subcontracting Opportunity Notification Form  
V. Prime Contractor Progress Assessment Report (PAR)*  
VI. UT System Contract Management System Subcontractor Report Sample**

* Note 1: If awarded a contract, the Prime Contractor Progress Assessment Report (PAR) is a required form with each payment application submitted. This form is a condition of payment.

** Note 2: The UT System Contract Management System Subcontractor Report should be attached to the Prime Contractor Assessment Report (PAR) after subcontractor payments are entered into the UT System Contract Management System.

For questions or clarifications regarding the HUB Subcontracting Plan, please contact the appropriate HUB Coordinator listed below:

**UT Arlington, UT Dallas, UT Tyler, & UT Health Northeast**
Stephanie Park  
Senior HUB Coordinator  
972-883-5377  
spark@utsystem.edu

**UT Health Houston, UT Health San Antonio, UT San Antonio, and UT Rio Grande Valley**
Cynthia Booker HUB Coordinator  
409-772-1353  
cbooker@utsystem.edu

**UT El Paso and UT Permian Basin**
Kyle Hayes  
HUB Coordinator  
512-322-3745  
khayes@utsystem.edu
All Texas State agencies and institutions of higher education (universities) are required to make a good faith effort to include minority and/or women owned businesses in their procurement opportunities. The State of Texas uses the term Historically Underutilized Businesses (HUB) to distinguish State certified minority and/or women owned businesses.

**Statement of Probability -** Subcontracting Opportunities are probable in connection with this solicitation.

*Responses that do not include a completed HUB Subcontracting Plan shall be rejected due to material failure to comply Government Code, §2161.252(b).*

Determination of Good Faith Effort in developing an HSP for professional services contracts is established if the respondent provides documentation of meeting **one of the following options:**

**Option 1** – Complete a Self-Performing HSP as follows:

- a) Section 1 – Respondent and Requisition Information. Complete as indicated on the form. VID number refers to the tax ID number.
- b) Section 2A – No, I will not be subcontracting any portion of the contract, and will be fulfilling the entire contract with my own resources.
- c) Section 3 – Self Performing Justification – Check no and provide explanation in box **
- d) Section 4 – Affirmation – include your email address and contact phone number should UT System HUB have any questions.

**Section 3 Sample Statement- edit as needed**

[Name of business] will be fulfilling the entire contract with our own resources, including employees, goods, services, transportation and delivery. If sub-contracting opportunities are identified at a future date, we will immediately contact the project manager and HUB Coordinator and commit to performance of a Good Faith Effort through solicitation of HUB firms and submit an amended HUB Subcontracting Plan.

**Option 2** – Complete the following if **all sub-consulting opportunities are to be performed by ONLY state of Texas certified HUB vendors.**

- a) Section 1 – Respondent and Requisition information. VID number refers to Tax ID number.
- 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 (Attachment A) – Complete this attachment for each subcontracting opportunity listed in Section 2B.

**Option 3** – Complete the following if **sub-consulting opportunities by both HUB and non-HUB vendors meets or exceeds the HUB professional services goal** stated above:

- a) Section 1 – Respondent and Requisition information. VID number refers to Tax ID number.
- 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 2C – No
- e) Section 2D – Yes
- f) Section 4 – Affirmation
- g) Good Faith Effort (Attachment A) – Complete this attachment for each subcontracting opportunity listed in Section 2B.

**Option 4** – If you are subcontracting with HUB vendors and Non-HUB vendors (or only Non-HUB vendors, and the total percentage subcontracting with HUB vendors does not meet or exceed the HUB Goal), complete the following:

- a)...
- b)...
- c)...
- d)...
- e)...
- f)...
- g)...
- h)...
- i)...
- j)...

2
a) Section 1 - Respondent and Requisition Information. VID number refers to Tax ID number
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 2C – No
e) Section 2D – No
f) Section 4 – Affirmation
g) Good Faith Effort (Attachment B) – Complete this attachment for each subcontracting opportunity listed in Section 2B.

**Determination of Good Faith Effort in developing an HSP for professional services contracts includes but is not limited to the following:**

1. Divide the work into reasonable lots or portions to the extent consistent with prudent industry practices.
2. Provide notice a minimum of two (2) minority/ women trade organizations or development centers of sub-consulting opportunities to be disseminated to their membership. The notice shall include: Scope of work; required qualifications; and identify a contact person (including phone number and email address). Notify the minority/women organizations of contracting opportunities with reasonable time to disseminate information to members/participants (no less than **seven (7)** working days from receipt of notice). Weekends and holidays do not count toward the 7 day notice.
3. Notify three (3) or more HUBs of for each discipline that is to be subcontracted in writing. The notice shall include: Scope of work; required qualifications; and identify a contact person (including phone number and email address). Notify the HUBs of contracting opportunities with reasonable time to respond (**no less than seven (7)** working days from receipt of notice). Weekends and holidays do not count toward the 7 day notice.
4. Provide written justification of the selection process if the selected sub-consultant is not a HUB.
5. The respondent shall use the Centralized Master Bidders List (CMBL), HUB Directory, Internet and other directories as identified by the agency when searching for HUB sub-consultants. The Centralized Master Bidders List (CMBL) can be found at: [https://mycpa.cpa.state.tx.us/tpasscmblsearch/tpasscmblsearch.do](https://mycpa.cpa.state.tx.us/tpasscmblsearch/tpasscmblsearch.do). The respondent must keep and provide if requested official written documentation (i.e. electronic mail, written correspondence, etc.) to demonstrate compliance.

**Minority prime firms are required to complete the HUB Plan identifying all sub-consultants.**

**Changes to Plan**
Changes to the HSP must be approved in writing by UT System OFPC Project Manager and HUB Coordinator **prior** to any work taking place by the new sub-consultant. Justification is required to explain the sub-consultant substitutions. Once the contract has been awarded the HSP is considered part of the contract. Violations to the HSP will be deemed in breach of the contract by UT System.

**Reporting – After Award**
Prime firm payment requests shall include: The University of Texas Contract Management System Report (UTCMS) attached to State of Texas Prime Contractor Progress Assessment Report (PAR) identifying all 1st, 2nd and 3rd tier sub-consultant payments. **It is a condition of payment to report HUB subcontracting expenditures.** Training will be provided to the prime for the UTCMS System at no cost.

**Exhibit H Attachments:** [http://www.utsystem.edu/offices/historically-underutilized-business/hub-forms](http://www.utsystem.edu/offices/historically-underutilized-business/hub-forms). Please use the forms posted with this RFQ or at the HUB Department website to complete HSP.
Date

Regional HUB Coordinator
The University of Texas System
Office of HUB Programs
201 W. 6th Street, Room B.140E
Austin, Texas 78701

RE: Historically Underutilized Business Plan for (Project Title): ________________________________
   Project Number: ____ - ____

Dear ,

I am pleased to forward this HUB Subcontracting Plan as an integral part of our response in connection with your invitation for Request for Proposals referencing the above project.

I have read and understand The University of Texas System 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, and the goal as stated in the Agency Special Instructions section of the HUB Subcontracting Plan, page 5.

<table>
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<tr>
<th>Subcontractors</th>
<th>No. of Subcontractors</th>
<th>Total Subcontract $ Value</th>
<th>Total Estimated HUB %</th>
<th>% Minority Owned</th>
<th>% Woman Owned</th>
<th>% Service Disabled Veteran</th>
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<td>HUB</td>
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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.

During the course of this contract should we discover additional subcontractors claiming Historically Underutilized Business status or if for some reason a HUB is unable to fulfill its contractual obligation with us, we will notify you immediately in order to take the appropriate steps to amend this HUB subcontracting Plan.

Sincerely,

Project Executive

cc: Project Manager
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.

In accordance with 34 TAC §20.284(d)(1)(D)(ii), the goals below are the applicable goals for The University of Texas System Administration only effective January 1, 2016.

Professional Services – 23.7% See page 2-3 for HSP completion instructions

- 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.
- Prime Contractor Progress Assessment Report (PAR) shall be submitted with each request for payment as a condition of payment. A copy of the UT System Contract Management System (UTCMS) Compliance Report shall be attached to the State of Texas HUB PAR and shall be submitted with each request for payment as a condition of payment.
- Please note that phone logs are no longer acceptable documentation of Good Faith Effort. Only fax, email and certified letter are acceptable.

SECTION 1: RESPONDENT AND REQUISITION INFORMATION

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

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

c. Requisition#: ____________________________ Bid Open Date: ____________________________
   (mm/dd/yyyy)
SECTION 2: RESPONDENT’s SUBCONTRACTING INTENTIONS

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

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

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

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

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

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

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

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

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

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

*Continuous Contract: Any existing written agreement (including any renewals that are exercised) between a prime contractor and a HUB vendor where the HUB vendor provides the prime contractor with goods or service under the same contract for a specified period of time. The frequency the HUB vendor is utilized or paid during the term of the contract is not relevant to whether the contract is considered continuous. Two or more contracts that run concurrently or overlap one another for different periods of time are considered by CPA to be individual contracts rather than renewals or extensions to the original contract. In such situations the prime contractor and HUB vendor are entering (have entered) into “new” contracts.
**SECTION 2: RESPONDENT's 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).

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<td>Percentage of the contract expected to be subcontracted to HUBs with which you do not have a continuous contract* in place for more than five (5) years.</td>
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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 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 3: SELF PERFORMING JUSTIFICATION (If you responded “No” to SECTION 2, Item a, you must complete this SECTION and continue to SECTION 4.) If you responded “No” to SECTION 2, Item a, in the space provided below explain how your company will perform the entire contract with its own employees, supplies, materials and/or equipment.

SECTION 4: AFFIRMATION
As evidenced by my signature below, I affirm that I am an authorized representative of the respondent listed in SECTION 1, and that the information and supporting documentation submitted with the HSP is true and correct. Respondent understands and agrees that, if awarded any portion of the requisition:

- The respondent will provide notice as soon as practical to all the subcontractors (HUBs and Non-HUBs) of their selection as a subcontractor for the awarded contract. The notice must specify at a minimum the contracting agency’s name and its point of contact for the contract, the contract award number, the subcontracting opportunity they (the subcontractor) will perform, the approximate dollar value of the subcontracting opportunity and the expected percentage of the total contract that the subcontracting opportunity represents. A copy of the notice required by this section must also be provided to the contracting agency’s point of contact for the contract no later than ten (10) working days after the contract is awarded.

- The respondent must submit monthly compliance reports (Prime Contractor Progress Assessment Report – PAR) to the contracting agency, verifying its compliance with the HSP, including the use of and expenditures made to its subcontractors (HUBs and Non-HUBs). (The PAR is available at https://www.comptroller.texas.gov/purchasing/vendor/hub/forms.php).

- 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
(Conversion to mm/dd/yyyy)

Reminder:

➤ If you responded “Yes” to SECTION 2, Items c or d, you must complete an “HSP Good Faith Effort - Method A (Attachment A)” for each of the subcontracting opportunities you listed in SECTION 2, Item b.

➤ If you responded “No” SECTION 2, Items c and d, you must complete an “HSP Good Faith Effort - Method B (Attachment B)” for each of the subcontracting opportunities you listed in SECTION 2, Item b.
HSP 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 format https://www.comptroller.texas.gov/purchasing/vendor/hub/forms.php.

SECTION A-1: Subcontracting Opportunity

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

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<th>Item Number</th>
<th>Description</th>
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</table>

SECTION A-2: Subcontractor Selection

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

<table>
<thead>
<tr>
<th>Company Name</th>
<th>Texas certified HUB</th>
<th>Texas VID or federal EIN</th>
<th>Approximate Dollar Amount</th>
<th>Expected Percentage of Contract</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>☐ - Yes ☐ - No</td>
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<td>☐ - Yes ☐ - No</td>
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</tr>
</tbody>
</table>

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 and d of the completed HSP form, you must submit a completed "HSP Good Faith Effort - Method B (Attachment B)" for each subcontracting opportunity you listed in SECTION 2, Item b of the completed HSP form. You may photo-copy this page or download the form at [https://www.comptroller.texas.gov/purchasing/vendor/hub/forms.php](https://www.comptroller.texas.gov/purchasing/vendor/hub/forms.php)

**SECTION B-1: SUBCONTRACTING OPPORTUNITY**

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

Item Number: _______ Description: ___________________________

**SECTION B-2: MENTOR PROTÉGÉ PROGRAM**

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

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

- Yes (If Yes, continue to SECTIONB-3)
- No / Not Applicable (If No or Not Applicable, continue to SECTIONB-3 and SECTIONB-4)

**SECTION B-3: NOTIFICATION OF SUBCONTRACTING OPPORTUNITY**

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

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

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

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

<table>
<thead>
<tr>
<th>Company Name</th>
<th>Texas VID (Do not enter Social Security Numbers)</th>
<th>Date Notice Sent (mm/dd/yyyy)</th>
<th>Did the HUB Respond?</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td>- Yes</td>
</tr>
<tr>
<td></td>
<td></td>
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<td>- Yes</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>- Yes</td>
</tr>
</tbody>
</table>

- 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.

<table>
<thead>
<tr>
<th>Trade Organizations or Development Centers</th>
<th>Date Notice Sent (mm/dd/yyyy)</th>
<th>Was the Notice Accepted?</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>- Yes</td>
</tr>
<tr>
<td></td>
<td></td>
<td>- Yes</td>
</tr>
</tbody>
</table>
**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.

<table>
<thead>
<tr>
<th>Item Number</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
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</tbody>
</table>

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

<table>
<thead>
<tr>
<th>Company Name</th>
<th>Texas certified HUB</th>
<th>Texas VID or federal EIN</th>
<th>Approximate Dollar Amount</th>
<th>Expected Percentage of Contract</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>☐ - Yes ☐ - No</td>
<td>☐ - Yes ☐ - No</td>
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<td>☐ - Yes ☐ - No</td>
<td>☐ - Yes ☐ - No</td>
<td>☐ - Yes ☐ - No</td>
</tr>
</tbody>
</table>

**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 STATE AGENCY AND REQUISITION INFORMATION**

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

**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 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
HUB Subcontracting Plan (HSP)  
Prime Contractor Progress Assessment Report

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

**Contract/Requisition Number:**  
**Date of Award:**  
**Object Code:**

Contracting Agency/University Name:

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

**Point of Contact:**  
**Phone #:**

**Reporting (Month) Period:**  
**Total Amount Paid this Reporting Period to Contractor:** $

---

**Report HUB and Non-HUB subcontractor information**

When verifying subcontractors’ HUB status, ensure that you use the State of Texas’ Centralized Master Bidders List (CMBL)-Historically Underutilized (HUB) Directory Search located at: [http://mycpa.cpa.state.tx.us/tpasscmblsearch/index.jsp](http://mycpa.cpa.state.tx.us/tpasscmblsearch/index.jsp).  

HUB status code “A” signifies that the company is a Texas certified HUB.

<table>
<thead>
<tr>
<th>Subcontractor’s Name</th>
<th>Texas certified HUB (Yes or No)</th>
<th>Texas VID or EIN</th>
<th>Total Contract $ Amount from HSP with Subcontractor</th>
<th>Total $ Amount Paid this Reporting Period to Subcontractor</th>
<th>Total Contract $ Amount Paid to Date to Subcontractor</th>
<th>Object Code (Agency Use Only)</th>
</tr>
</thead>
<tbody>
<tr>
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</tr>
</tbody>
</table>

Complete information at the top of this form. Enter “N/A” in the table section. Attach UTCMS (B2G) audit report (example on page 14). Submit both forms with any application for payment from UT System Office of Facilities Planning and Construction (OFPC). Submission of both forms is a condition of payment.

**TOTALS:**

$ -  $ -  $ -  $ -

Signature:  
Title:  
Date:  
Print Name:  
Phone #:
Compliance Audit: April 2014

Prime Contracting, Inc. 4/12/2012 - 4/12/2015

Listed are subcontractors assigned to this contract. Click the links to the right of the vendor's name to submit or edit a response. You must submit data on each subcontractor to complete the audit.

Audit Information

Audit Response Status: Complete
Audit Period: April 2014
Payment to Prime: $40,000.00
Marked As Final Audit?: No (mark audit as final)

Audit Summary - Total Contract Through TODAY (8/4/2014)

<table>
<thead>
<tr>
<th>Prime Contract</th>
<th>Award</th>
<th>Award Payments Percent</th>
<th>Payments Percent</th>
<th>Difference (Payments - Award)</th>
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</thead>
<tbody>
<tr>
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<td>$53,520,000.00</td>
<td>15.000%</td>
<td>$3,264,200.00</td>
<td>15.000%</td>
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<tr>
<td>For Credit</td>
<td>$8,028,000.00</td>
<td>10.000%</td>
<td>$1,500.00</td>
<td>10.000%</td>
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<tr>
<td>For Credit to CSB Goal</td>
<td>$5,352,000.00</td>
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<td>$0.00</td>
<td>5.000%</td>
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<tr>
<td>For Credit to FBE Goal</td>
<td>$0.00</td>
<td>0.000%</td>
<td>$0.00</td>
<td>0.000%</td>
</tr>
<tr>
<td>For Credit to MBE Goal</td>
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<tr>
<td>For Credit to Section 8 Goal</td>
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</table>

Contract Progress

For Credit Progress: 2.2% [ ]

Award values may not match due to differences between overall contract goal and subcontractor assignments.

Mark 0 Remaining Subcontractors as Zero
Mark Audit as Final
Submit ALL incomplete Records
Report Error

Subcontractor Payments for April 2014

<table>
<thead>
<tr>
<th>Subcontractor</th>
<th>Certified</th>
<th>Type</th>
<th>Inc. in Goal</th>
<th>Actions</th>
<th>Paid Amount in April 2014</th>
<th>Confirmed by Sub</th>
<th>Total To April 2014</th>
<th>Contract Goal</th>
<th>Actual Percent</th>
</tr>
</thead>
<tbody>
<tr>
<td>Sub Flooring, LLC</td>
<td>No</td>
<td>Sub</td>
<td>No CSE</td>
<td>View Edit</td>
<td>$800.00</td>
<td>[ ]</td>
<td>$181,100.00</td>
<td>0.065%</td>
<td>5.548%</td>
</tr>
<tr>
<td>Sue Framing</td>
<td>No</td>
<td>Sub</td>
<td>100% MBE</td>
<td>View Edit</td>
<td>$1,100.00</td>
<td>Pending</td>
<td>$168,550.00</td>
<td>1.186%</td>
<td>5.164%</td>
</tr>
</tbody>
</table>

Click subcontractor name to view payment history for this contract. Click contact person's name to send them a message.

Return to Audit Notice
Guide to Selecting the Appropriate HUB Subcontracting Plan (HSP)
(For UT System Administration, Scope of Work defined, non-construction solicitations only)

All forms are located at:
https://www.utsystem.edu/offices/historically-underutilized-business/hub-forms

Complete ONLY ONE of the HSP options listed below. Once you determine which option is applicable to your company’s subcontracting intentions, click on the relevant option link to access the appropriate fillable HSP. Forms must be downloaded to Adobe Acrobat Reader to utilize the fillable function. Instructions for completing each option are included in the applicable HSP form.

Option 1 - Complete a Self-Performing HSP if:
Your company will perform, in-house, ALL areas of advertised Scope of Work, as defined in Section 5 of the RFP/RFQ, or as defined in Invitation to Bids (ITB) exceeding $100,000.00 in total life-of-contract value. You cannot use this option if you choose to subcontract ANY portion of the Scope of Work.

Option 2 – Complete this subcontracting HSP Option if:
ALL subcontracting opportunities will be performed by ONLY Texas-certified HUB vendors. You cannot use this option if (a) you choose to subcontract ANY portion of the Scope of Work to NON-HUB vendors in addition to HUB subcontractors, or (b) if all subcontracting opportunities will be performed by NON-HUB vendors.

Option 3 – Complete this subcontracting HSP Option if:
1. Subcontracting opportunities will be performed by Texas-certified HUB vendors AND NON- HUB vendors.
2. All subcontracted work will meet or exceed stated HUB participation percentage goal.

Option 4 – Complete this subcontracting HSP Option if:
1. Subcontracting opportunities will be performed by Texas-certified HUB vendors AND/OR NON-HUB vendors.
2. All HUB subcontracted work will NOT meet stated HUB participation percentage goal.

NOTE: ALL completed and signed forms must be scanned and submitted to the following email address: utadminHSP@utsystem.edu.
Include the following information in the email submission:

Subject Line: [Solicitation number, Title/description, proposal due date], HUB Subcontracting Plan
Body: Proposer company name; name/contact information of person who prepared the HSP.

For questions or clarifications regarding the HUB Subcontracting Plan options, please contact the HUB Coordinator listed below:

Kyle Hayes
HUB Coordinator
512-322-3745
khayes@utsystem.edu