

**Procurement
Operations**

Request for Proposals (RFP)

For

Information Technology Audit

Project No. 13-13

REQUEST FOR PROPOSALS

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HOUSTON COMMUNITY COLLEGE
REQUEST FOR PROPOSALS - SUMMARY

Date: December 17, 2012
Project Title: Information Technology Audit
Project No.: 13-13

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ISSUED BY:
Houston Community College
Procurement Operations Department
3100 Main Street (11th Floor)
Houston, Texas 77002

SUBMIT INQUIRES TO:
Name: Pam Ferreira, CPPB
Title: Senior Buyer
Telephone: (713) 718-5003
Fax: (713) 718-2113
Email: pam.ferreira@hccs.edu

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1. Project Overview:

Houston Community College ("HCC") is seeking proposals from qualified firms to provide an audit of the Information Technology General Controls as described in Attachment No. 2, and in accordance with the terms, conditions and requirements set forth in the Request for Proposal (RFP).

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

2. Award / Contract Approval:

This Procurement, any award under this procurement, and the resulting contract, if any, is subject to approval by HCC Board of Trustees. Subsequent to Board approval, the only person authorized to commit HCC contractually is the Chancellor or designee. This solicitation is a request for proposals and neither this solicitation nor the response or proposal from any prospective proposer shall create a contractual relationship that would bind HCC until such time as both HCC and the selected proposer sign a legally binding contract, which includes, without limitation, the terms required by HCC as set forth in Attachment No. 1.

3. Pre-Proposal Meeting: Mandatory Not mandatory Not Applicable

4. Proposal Due Date/Time:

HCC will accept sealed proposals in original form to provide the required Promotional Products and Services until 3:00 PM (local time) on Thursday, January 17, 2013. Proposals will be received in the Procurement Operations Department, 3100 Main Street (11th Floor, Room 11A06), Houston, Texas 77002. **Late proposals properly identified will be returned to proposer unopened. Late proposals will not be considered under any circumstances.**

NOTE: HCC WILL BE CLOSED FOR THE WINTER BREAK STARTING WEDNESDAY, DECEMBER 19, 2012 AND REOPENING ON WEDNESDAY, JANUARY 2, 2013. RESPONDENTS ARE HEREBY ADVISED THAT GIVEN HCC WILL BE CLOSED DURING THE NOTED PERIOD; RESPONDENTS MUST COORDINATE THE DELIVERY OF THEIR RESPONSE TO THIS RFQ ACCORDINGLY.

5. HCC Contact:

Any questions or concerns regarding this Request for Proposal shall be directed to the above named HCC individual

HCC specifically requests that Proposers restrict all contact and questions regarding this RFP to the above named individual. The above named individual must receive all questions or concerns no later than 3:00 PM (local time) on Friday, January 4, 2013. It is HCC's intent to respond to all appropriate questions and concerns; however, HCC reserves the right to decline to respond to any questions

6. Inquiries and Interpretations:

Responses to inquiries which directly affect an interpretation or change to this RFP will be issued in writing by addendum (amendment) and all parties recorded by HCC as having received a copy of the RFP will be notified of the addendum; and all addenda will be posted on the HCC Website. www.hccs.edu. All such addenda issued by HCC prior to the time that proposals are received shall be considered part of the RFP, and the Proposer shall be required to consider and acknowledge receipt of such in their proposal. Firms receiving this proposal other than directly from HCC are responsible for notifying HCC that they are in receipt of a proposal package and are to provide a name and address to utilize in the event an amendment is issued.

Only those HCC replies to inquiries which are made by formal written addenda shall be binding. Oral and other interpretations or clarification will be without legal effect. Proposer must acknowledge receipt of all addenda in Attachment No. 3 of this RFP (Proposal/Contract Award Form).

7. Vendor Registration:

The Houston Community College Procurement Operations department has developed an online vendor application. This is designed to allow firms or individuals that are interested in doing business with HCC to register online and become part of our vendor database.

Please take a moment to go to the Houston Community College Procurement Operations Department website and register as a vendor. The website address to access the vendor registration form is <https://hccs.sbcompliance.com/FrontEnd/VendorsIntroduction.asp>

If you do not have internet access you are welcome to use a computer at any HCC library to access the website and register.

A PROPERLY COMPLETED VENDOR APPLICATION IS REQUIRED AND IS A CONDITION OF CONTRACT AWARD.

8. Obligation and Waivers:

THIS RFP IS A SOLICITATION FOR PROPOSAL AND IS NOT A CONTRACT OR AN OFFER TO CONTRACT.

THIS REQUEST FOR PROPOSAL DOES NOT OBLIGATE HCC TO AWARD A CONTRACT OR PAY ANY COSTS INCURRED BY THE PROPOSER IN THE PREPARATION AND SUBMITTAL OF A PROPOSAL.

HCC, IN ITS SOLE DISCRETION, RESERVES THE RIGHT TO ACCEPT ANY PROPOSAL AND/OR REJECT ANY AND ALL PROPOSALS OR A PART OF A PROPOSAL, WITHOUT REASON OR CAUSE, SUBMITTED IN RESPONSE TO THIS SOLICITATION.

HCC RESERVES THE RIGHT TO REJECT ANY NON-RESPONSIVE OR CONDITIONAL PROPOSAL. HCC RESERVES THE RIGHT TO WAIVE ANY INFORMALITIES, IRREGULARITIES AND/OR TECHNICALITIES IN THIS SOLICITATION, THE PROPOSAL DOCUMENTS AND /OR PROPOSALS RECEIVED OR SUBMITTED.

BY SUBMITTING A PROPOSAL, PROPOSER AGREES TO WAIVE ANY CLAIM IT HAS, OR MAY HAVE, AGAINST HOUSTON COMMUNITY COLLEGE SYSTEM AND ITS TRUSTEES OR AGENTS ARISING OUT OF OR IN CONNECTION WITH (1) THE ADMINISTRATION, EVALUATION OR RECOMMENDATIONS OF ANY PROPOSAL; (2) ANY REQUIREMENTS UNDER THE SOLICITATION, PROPOSAL PACKAGE, OR RELATED DOCUMENTS; (3) THE REJECTION OF ANY PROPOSAL OR ANY PART OF ANY PROPOSAL; AND/OR (4) THE AWARD OF A CONTRACT, IF ANY.

HCC RESERVES THE RIGHT TO WITHDRAW THIS SOLICITATION AT ANY TIME FOR ANY REASON; REMOVE ANY SCOPE COMPONENT FOR ANY REASON AND TO ISSUE SUCH CLARIFICATIONS, MODIFICATIONS AND/OR AMENDMENTS AS DEEMED APPROPRIATE.

HCC IS AN EQUAL OPPORTUNITY/EDUCATIONAL INSTITUTION, WHICH DOES NOT DISCRIMINATE ON THE BASIS OF RACE, COLOR, RELIGION, NATIONAL ORIGIN, GENDER, AGE, DISABILITY, SEXUAL ORIENTATION OR VETERAN STATUS.

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**Attachment No. 1
INSTRUCTIONS TO PROPOSERS**

1. General Instructions:

- a. Proposers should carefully read the information contained herein and submit a complete response to all requirements and questions as directed.
- b. Proposals and any other information submitted by Proposers in response to this Request for Proposal shall become the property of HCC.
- c. HCC will not provide compensation to Proposers for any expenses incurred by the Proposer(s) for proposal preparation or for any demonstrations that may be made, unless otherwise expressly stated. Proposers submit proposals at their own risk and expense.
- d. Proposals which are qualified with conditional clauses, or alterations, or items not called for in the RFP documents, or irregularities of any kind are subject to disqualification by HCC, at its option.
- e. Each proposal should be prepared simply and economically, providing a straightforward, concise description of your firm's ability to meet the requirements of this RFP. Emphasis should be on completeness, clarity of content, responsiveness to the requirements, and an understanding of HCC's needs.
- f. HCC makes no guarantee that an award will be made as a result of this RFP, and reserves the right to accept or reject any or all proposals, waive any formalities or minor technical inconsistencies, or delete any item/requirements from this RFP or resulting Agreement when deemed to be in HCC's best interest. Representations made within the proposal will be binding on responding firms. HCC will not be bound to act by any previous communication or proposal submitted by the firms other than this RFP.
- g. Firms wishing to submit a "No-Response" are requested to return the first page of the Proposal/Contact Award Form (ref. Attachment No. 3). The returned form should indicate your company's name and include the words "No-Response" in the right-hand column.
- h. Failure to comply with the requirements contained in this Request for Proposal may result in the rejection of your proposal.

Note: Attachments 3, 5 and 7 must be signed and notarized.

2. Preparation and Submittal Instructions:

- a. Respondents Bidders must complete, sign and return the following documents indicated below:

Attachment No. 3, Proposal/Contract Award Form	
Attachment No. 4, Proposer Questionnaire	
Attachment No. 5 , Proposer's Certifications	
Attachment No. 6, Conflict of Interest Questionnaire (Form CIQ)	
Attachment No. 7, Financial Interests and Potential Conflicts of Interests	
Attachment No. 8, Determination of Good Faith Effort Form	
Attachment No. 9, Small Business Unavailability Certificate	
Attachment No. 10, Contractor & Subcontractor Participation Form	
Attachment No. 11, Small Business Development Questionnaire	

Proposal must be signed by Proposer's company official(s) authorized to commit such proposals. Failure to sign and return these forms will subject your proposal to disqualification.

b. Responses to this RFP must include a response to the proposal requirements set forth in Section 4, below.

c. Page Size, Binders, Dividers and Electronic Copy

Proposals must be typed on letter-size (8-1/2" x 11") paper. HCC requests that proposals be submitted in a binder. Preprinted material should be referenced in the proposal and included as labeled attachments. Sections should be divided by tabs for ease of reference. An electronic Copy of the proposal must be provided in an Adobe Acrobat (.pdf) format.

d. Table of Contents

Include with the proposal a Table of Contents that includes page number references. The Table of Contents should be in sufficient detail to facilitate easy reference of the sections of the proposal as well as separate attachments (which should be included in the main Table of Contents). Supplemental information and attachments included by your firm (i.e., not required) should be clearly identified in the Table of Contents and provided as a separate section.

e. Pagination

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

f. Number of Copies

Submit one (1) original and three (3) copies of your Proposal including all required HCC Forms and documents. An original (manual) signature must appear on one (1) complete set of your Proposal documents. Additionally, your submittal shall include one (1) electronic version (compact disc or flash drive) in a non-editable Adobe Acrobat (.pdf) format.

g. Submission

One (1) original and all required copies of the Proposal, must be submitted and received in the HCC Procurement Operations Department on or before the time and date specified in The Request For Proposal-Summary, Section 4 and delivered to:

Houston Community College
Procurement Operations Department
3100 Main Street (11th Floor)
Houston, Texas 77002
Ref: Project No. 13-13
Attn: Pam Ferreira, Senior Buyer

g.1 The envelope containing a proposal shall be addressed as follows:
Name, Address and Telephone Number of Proposer;
Project Description/Title;
Project Number; and
Proposal Due Date/Time.

g.2 Late proposals properly identified will be returned to Proposer unopened. Late proposals will not be considered under any circumstances.

g.3 Telephone proposals are not acceptable when in response to the Request for Proposal.

g.4 Facsimile ("FAX") or electronic (email) proposals are not acceptable when in response to this Request for Proposal.

3. Eligibility For Award:

- a. In order for a proposer to be eligible to be awarded the contract, the proposal must be responsive to the solicitation and HCC must be able to determine that the proposer is responsible and has the resources and capacity to perform the resulting contract satisfactorily.
- b. Responsive proposals are those that comply with all material aspects of the solicitation, conform to the solicitation documents and meet the requirements set forth in this solicitation. Proposals, which do not comply with all the terms and conditions of this solicitation, will be rejected as non-responsive.
- c. Responsible proposers, at a minimum, must meet the following requirements:
 - Have adequate financial resources, or the ability to obtain such resources as required during the performance of any resulting contract;
 - Be able to comply with the required performance schedule, taking into consideration all existing business commitments;
 - Have a satisfactory record of past performance;
 - Have necessary personnel and management capability to perform any resulting contract;
 - Be qualified as an established firm regularly engaged in the type of business necessary to fulfill the contract requirements;
 - Certify that the firm is not delinquent in any tax owed the State of Texas under Chapter 171, Tax Code; and is not delinquent in taxes owed to the Houston Community College System; signing and submitting the proposal is so certifying to such non-delinquency;
 - Be otherwise qualified and eligible to receive an award under applicable laws and regulations.
- d. Proposer(s) may be requested to submit additional written evidence verifying that the firm meets the minimum requirements described in the above Section 3 (c) and as necessary to perform the requirements of the solicitation and be determined a responsible proposer. Failure to provide any requested additional information may result in the proposer being declared non-responsive and the proposal being rejected.
- e. A person is not eligible to be considered for award of this solicitation or any resulting contract or to be a subcontractor of the proposer or prime contractor if the person assisted in the development of this solicitation or any part of this solicitation or if the person participated in a project related to this solicitation when such participation would give the person special knowledge that would give that person or a prime contractor an unfair advantage over other bidders.
- f. A person or proposer shall not be eligible to be considered for this solicitation if the person or proposer engaged in or attempted to engage in prohibited communications as described in the below Section 12, Prohibited Communications
- g. Only individual firms or lawfully formed business organizations may apply (This does not preclude a respondent from using subcontractors or consultants.) HCC will contract only with the individual firm or formal organization that submits a response to this RFP.

4. Preparation of Proposal:

a. Technical Proposal:

Proposer shall submit Technical Proposal responding to all Questions set forth in the Proposer Questionnaire, Section 3.0 attached hereto as Attachment No. 4.

b. Price Proposal:

Proposer shall submit a Price Proposal respondent to all requirements set forth in the Proposer Questionnaire, Section 4.0 attached hereto as Attachment No. 4.

5. Evaluation Criteria:

An Evaluation Committee ("Committee") will review all proposals to determine which proposers have qualified for consideration according to the criteria stated herein. The Committee's evaluations will be based on all available information, including qualification statements, subsequent interviews, if necessary, reports, discussions, reference checks, and other appropriate checks. The highest rated proposer(s) evaluated by the Committee **may** be invited to make an oral presentation of their written proposal to the Committee and/or the HCC Board of Trustees. Proposals will be evaluated using the following criteria:

<u>Evaluation Criteria</u>	<u>Available Points</u>
• Qualifications and Experience of Firm	25
• Project Management & Implementation Plan	20
• Quality of products and extent they meet HCC needs	20
• Small Business Commitment:	acceptable/unacceptable
• Price Proposal	35
Total Points: 100	

6. Contract Award:

Award of a contract, if awarded, will be made to the proposer who (a) submits a responsive proposal; (b) is a responsible proposer; and (c) offers the best value to HCC, price and other factors considered. A responsive proposal and a responsible proposer are those that meet the requirements of and are as described in the above Section 3 (Eligibility For Award) of this solicitation. HCC may award a contract, based on initial proposals received, without discussion of such proposals. Accordingly, each initial proposal should be submitted on the most favorable terms from a price and technical standpoint, which the proposer can submit to HCC. Except as otherwise may be set forth in this solicitation, HCC reserves the right to waive any informalities, non-material errors, technicalities, or irregularities in the proposal documents submitted and consider the proposal for award.

7. Postponement of Proposals Due Date/Time:

Notwithstanding the date/time for receipt of proposals established in this solicitation, the date and time established herein for receiving proposals may be postponed solely at HCC's discretion.

8. Oral Presentations:

During the process of selecting a company to provide the required services, oral presentations may or may not be held. Each proposer should be prepared to make a presentation to HCC. The presentations must show that the proposer clearly understands the requirements of the solicitation, and has a strategic plan and approach to complete the work.

9. Small Business Development Program (SBDP):

- a. HCC has adopted a Small Business Development Program for small businesses attempting to provide goods and/or services as prime contractors or as subcontractors to other prime contractors to HCC. The program is designed to prevent discrimination by ensuring that small, underutilized and disadvantaged businesses are informed and prepared to compete for HCC procurements. HCC will neither discriminate nor select vendors on the basis of race, color, national origin, religion, gender, age, disability, sexual orientation or veteran status in its procurement selection process.
- b. Small businesses whose gross annual income averaged over the past three (3) years does not exceed the Small Business Administration's size standard as specified in 13 CFR Part 121 are eligible to apply for participation in the program.
- c. For this solicitation, HCC has established **Best Effort** of the total amount of the proposal as its goal for Small Business participation.
- d. Good Faith Efforts: HCC will make a good faith effort to utilize small businesses in all contracts. The annual program goals may be met by contracting directly with small businesses or indirectly through subcontracting opportunities. Therefore, any business that contracts with HCC will be required to make a good faith effort to award subcontracts to small businesses. The subcontracting goal applies to all vendors regardless of their status. By implementing the following procedures, a contractor shall be presumed to have made a good faith effort:
 - To the extent consistent with industry practices, divide the contract work into reasonable lots.
 - Give notice to SBDP eligible firms of subcontract opportunities or post notices of such opportunities in newspapers and other circulars.
 - Document reasons for rejecting a firm that bids on subcontracting opportunities.

10. Prime Contractor/Contracts for Services:

The prime contractor must perform a minimum of 30% of any contract for services with its labor force and or demonstrate management of the contract for services to the satisfaction of HCC.

11. Internship Program:

- a. HCC is expanding its student internship program. All vendors are encouraged to make a commitment to utilize certain HCC student(s) in an internship capacity with the company under any resulting contract for services required under this solicitation. The selected contractor will be expected to pay the student(s) at least the minimum wage required by law. HCC will provide the selected contractor with the name of student(s) eligible to participate in the internship program.
- b. For additional information regarding the internship program, please contact Dr. Freddie Wade, Director of Workforce Program Initiatives at (713) 718-7596.

12. Prohibited Communications:

Except as provided in exceptions below, the following communications regarding this solicitation or any other invitation for bids, requests for proposal, requests for qualifications, or other solicitation are prohibited:

- [1] Between a potential vendor, subcontractor to vendor, service provider, proposer, offeror, lobbyist or consultant and any Trustee;
- [2] Between any Trustee and any member of a selection or evaluation committee; and
- [3] Between any Trustee and administrator or employee.

The communications prohibition shall be imposed from the day the solicitation is first advertised through thirty (30) days after the contract is executed by the Chancellor or his/her designee, or when a determination is made that the contract will not be awarded. During this period, no HCC Trustee and no Vendor Shall communicate in any way concerning any pending Solicitation involving that Vendor, subject to the penalties stated herein.

In the event the Board refers the recommendation back to staff for reconsideration, the communication prohibition shall be re-imposed.

The communications prohibition shall not apply to the following:

- [1] Duly noted pre-bid or pre-proposal conferences.
- [2] Communications with the HCC General Counsel.
- [3] Emergency contracts.
- [4] Presentations made to the Board during any duly-noticed public meeting.
- [5] Unless otherwise prohibited in the solicitation documents, any written communications between any parties, provided that the originator shall immediately file a copy of any written communication with the Board Services Office. The Board Services Office shall make copies available to any person upon request.
- [6] Nothing contained herein shall prohibit any person or entity from publicly addressing the Board during any duly-noticed public meeting, in accordance with applicable Board policies, regarding action on the contract.

Any potential vendor, subcontractor vendor, service provider, bidder, offeror, lobbyist or consultant who engages or attempts to engage in prohibited communications shall not be eligible for the award of any resulting contract under this solicitation. Any other direct or indirect actions taken to unduly influence competitive purposes, to circumvent equal consideration for competitive bidders, or to disregard ethical and legal trade practices will disqualify bidders, vendors, service providers, lobbyist, consultants, and contractors from both this current and any future consideration for participation in HCC orders and contracts.

13. Drug Policy:

HCC is a drug-free workforce and workplace. The manufacture, sale, distribution, dispensation, possession or use of illegal drugs (except legally prescribed medications under physician's prescription and in the original container) or alcohol by vendors or contractors while on HCC's premises is strictly prohibited.

14. Taxes:

HCC is tax exempt as a governmental subdivision of the State of Texas under Section 501C (3) of the Internal Revenue Code. Limited Sales Tax Number: 1-74-1709152-1. No proposal shall include any costs for taxes to be assessed against HCC.

15. Texas Public Information Act:

HCC considers all information, documentation and other materials requested to be submitted in response to this solicitation to be of a non-confidential and/or non-proprietary nature, and therefore, shall be subject to public disclosure under the Texas Public Information Act (Texas Government Code, Chapter 552.001, et seq.) ("the Act") after a contract if any, is awarded. If the proposer considers any information submitted in response to this request for proposal to be confidential under law or constitute trade secrets or other protected information, the proposer must identify such materials in the proposal response. Notwithstanding the foregoing, the identification of such materials would not be construed or require HCC to act in contravention of its obligation to comply with the Act and the proposer releases HCC from any liability or responsibility for maintaining the confidentiality of such documents.

16. Appropriated Funds:

The purchase of service or product, which arises from this solicitation, is contingent upon the availability of appropriated funds. HCC shall have the right to terminate the resulting contract at the end of the current or each succeeding fiscal year if funds are not appropriated by the HCC Board of Trustees for the next fiscal year that would permit continuation of the resulting contract. If funds are withdrawn or do not become available, HCC reserves the right to terminate the resulting contract by giving the selected contractor a thirty (30) day written notice of its intention terminate without penalty or any further obligations on the part of HCC or the contractor. Upon termination of the contract HCC shall not be responsible for any payment of any service or product received that occurs after the end of the current contract

period or the effective date of termination, whichever is the earlier to occur. HCC's fiscal year begins on September 1 and ends on August 31st.

17. Conflict of Interest:

If a firm, proposer, contractor or other person responding to this solicitation knows of any material personal interest, direct or indirect, that any member, official or employee of HCC would have in any contract resulting from this solicitation, the firm must disclose this information to HCC. Persons submitting a proposal or response to this solicitation must comply with all applicable laws, ordinances, and regulations of the State of Texas Government Code, including, without limitation, Chapter 171 and 176 of the Local Government Code. The person /proposer submitting a response to this solicitation must complete (as applicable), sign and submit **Attachment No.6, Conflict of Interest Questionnaire Form, and Attachment No.7, Financial Interest and Potential Conflict of Interests** with the proposal package. HCC expects the selected contractor to comply with Chapter 176 of the Local Government Code and that failure to comply will be grounds for termination of the contract.

Note: Attachment No. 6 and Attachment No. 7 shall be completed, signed and returned to HCC. Enter N/A in those areas on the Attachments that are not applicable to your company. Failure to complete, sign and notarize Attachment No. 7 shall render your proposal non-responsive.

18. Ethics Conduct:

Any direct or indirect actions taken to unduly influence competitive purposes, to circumvent equal consideration for competitive bidders, or to disregard ethical and legal trade practices will disqualify vendors and contractors from current and future consideration for participation in HCC orders and contracts.

19. No Third Party Rights:

This Contract is made for the sole benefit of the HCC and the Contractor and their respective successors and permitted assigns. Nothing in this Contract shall create or be deemed to create a relationship between the Parties to this Contract and any third person, including a relationship in the nature of a third-party beneficiary or fiduciary.

20. Withdrawal or Modification:

No proposal may be changed, amended, modified by telegram or otherwise, after the same has been submitted or filed in response to this solicitation, except for obvious errors in extension. However, a proposal may be withdrawn and resubmitted any time prior to the time set for receipt of proposals. No proposal may be withdrawn after the submittal deadline without approval by HCC which shall be based on Respondent's submittal, in writing, of a reason acceptable to HCC.

21. Validity Period:

Proposals are to be valid for HCC's acceptance for a minimum of 180 days from the submittal deadline date to allow time for evaluation, selection, and any unforeseen delays. Proposals, if accepted, shall remain valid for the life of the Agreement.

22. Terms and Conditions:

The HCC General Terms and Conditions of Contracts shall govern any Purchase Order/Contract issued as a result of this solicitation (RFP). They may be viewed at:

http://www.hccs.edu/hcc/System%20Home/Departments/Procurement_Operations/About_Procurement/General%20Terms%20and%20Conditions%20of%20Contracts.pdf

Proposers may offer for HCC's consideration alternate provisions to the Terms and Conditions. Alternates proposed must refer to the specific article(s) or section(s) concerned. General exceptions such as "company standard sales terms apply" or "will negotiate" are not acceptable. Proposer's silence as to the terms and conditions shall be construed as an indication of complete acceptance of these conditions as written.

ATTACHMENT NO. 2

SCOPE OF SERVICES

HCC Project No.: 13-13

I. Scope

This scope of services covers the requirements for the Consultant to perform an audit under ISACA standards or IIA standards, that provides assurance that the IT General Controls are adequate, effective and working as intended across Houston Community College's IT Systems, Network and Telecommunications environments as outlined herein.

II. Environment

Houston Community College ("HCC") operates two data centers (one main, and one as a backup starting to turn to a colocation/load balancing site) supporting over 135 Solaris Unix servers, 65 Windows servers and more than 225 virtualized servers as well as 10 distributed college servers. Access to these multiple locations and servers is provided via a Gigabit network with more than 17,000 wired connections. Information Technology manages more than 27 MDF's, 70 IDF's, 225 routers/switches, 424 Wireless Access Points, 34 Gigabit speed WAN circuits, 7 T-1 Speed WAN circuits, 5 Firewall/IPS, 3 Packetshapers, 1 Internet 2 gateway, 2 Internet gateways spread out over 27 locations and 600 square miles.

To support these services, HCC also utilizes WCS, ACS, CiscoWorks, MARS servers and Cisco/MCS servers to management the VoIP System.

III. Requirements

The Consultant shall perform the following tasks as further defined below:

A. Change Management

1. **Management Policies, Procedures, and Methodology** exist, and are adequate, effective and working.
 - a. Policies and procedures to evaluate coverage of applicable applications and supporting systems and equipment key components of a change management system; *i.e.*, identification of nature of change, appropriate change initiation and approval process, appropriate analysis for impact and planning; appropriate levels of testing in each of the major stages dependent upon the type of change; change management review, rollback specification; implementation, and post-implementation review, emergency procedures and documentation.
 - b. Changes are formally classified according to criteria (e.g., fixes, major changes, emergency changes, etc.) and procedures identify change management pathways for each criteria
 - c. Roles and responsibilities for change management functions are formally defined, communicated, and known.
 - d. Change management processes are consistently enforced across the organization
2. **Change Initiation, Tracking, and Approval** is adequate, effective, and working.
 - a. Change status tracking and reporting processes are in place and being used by all required changes.

- b. The Tracking process records approvals/authorizations of the major stages of change management. The process has different pathways for emergency and other classifications of change. Change documentation is collected and maintained and available to relevant parties.
 - c. Test plans based upon the nature of the change are required and documented. Evidence of approval and user acceptance testing is part of the tracking process and required before moves to production.
 - d. Stakeholders are identified and notified before the change occurs. In particular, service desk (customer support) functionality is assessed to ensure it can handle the change.
3. **Testing** - the process is adequate, effective, and working.
- a. Confirm separation of test/development and production environments.
4. **Access**
- a. Confirm that developers are restricted from anything but read-only access to the production system
5. **Performance Metrics and Reporting**
- a. Change management process metrics are kept and monitored.

B. Patch Management

- a. Patch management, configuration management, and vulnerability management policies, standards or procedures exist and are adequate, effective, and working.
- b. There is a system for identifying, assessing, prioritizing, testing and applying configuration and patch updates;
- c. Vulnerability assessment tools, report generation, monitoring of results, and remediation of vulnerabilities identified are part of the process .

C. Logical Access Controls/User Provisioning

1. **Logical Access Controls/User Provisioning**, the processes are adequate, effective, and working.
- a. For each in-scope applications (include Active Directory, Exchange, and the People Soft Finance ver 9.; PeopleSoft Human Resources; and PeopleSoft Shared Services (Student Services and Financial Aid).)
 - b. Provisioning and controls for establishing accounts are adequate, effective and working for the application reviewed.
 - i. Provisioning processes are timely, appropriately documented
 - ii. Source and amount of information associated with fulfillment of each request is appropriate and retained.
 - iii. Access and authorizations are provided by the business owner or his delegates.
 - iv. Roles or sensitive transactions are identified for separation of duties concerns.
 - v. Approval is appropriate to access levels requested.
 - c. Administration processes are documented and are adequate, effective, and working for the initiation, setup, modification, and removal of end user access.

- d. Privileged users are defined, privileged user accounts are restricted to the appropriate personnel, appropriate delegation of administrative privileges are used to contain administrative access (e.g. backup operator, print operator, etc.); privileged user permissions are removed in a timely manner.
- e. Privileged User access is established appropriately, logged, and reviewed.
- f. End users are appropriately identified so that access rules are appropriate for vendor and third party access. Access for such parties is reviewed periodically.
- g. Management periodically reviews end user accounts for appropriateness of access to current assigned role, potential separation of duties issues, and prior access terminated as needed.

2. **Active Directory** (besides controls listed for applications)

- a. Changes to AD are monitored and investigated to assure authorized and appropriate.
- b. Information needed to analyze user groupings and compare with other applications is stored in AD – i.e., employee ID number, user status (student, vendor, tpa, business associate, consultant, staff, faculty, contractor)
- c. Guest Accounts, Test Accounts, Generic Accounts are defined and controlled.
- d. Periodic recertification or testing against established sources is performed for AD accounts. (I.e., no dummy accounts, no use of terminated user accounts, transfers are noted.)
- e. Group policy settings for Forest\Domains are used and appropriate.

3. **Exchange**

- a. Procedures exist for granting and removing access to user mailboxes. Mailboxes are kept for terminated employees for predetermined times. Process for relay to alternate user as needed exist.
- b. Privileged account provisioning, roles, and groups are defined and documented. Access is monitored.
- c. Remote access to Exchange servers is highly controlled.

D. Review of Physical and Environmental Security of Data Center(s)

1. **Control of access**

- a. Procedures/Processes which delineate appropriate controls and responsibilities have adequate, effective, and working internal controls to ensure security of data center operations.
 - i. Access is limited by device (key, card, pad, etc.) and devices are assigned and tracked. If access is controlled through an automated system, determine procedures for granting and revoking access and reviewing and retaining of logs are adequate
 - ii. If appropriate, access logs reviewed and acted on for failed or inappropriate access attempts
 - iii. Termination of access is appropriate both logically and physically.

- iv. Only authorized personnel have an active device. If appropriate, only authorized active personnel have key which can open data center – review for use of master, sub-master and floor master keys
- v. If appropriate, process for change of keypad codes after each termination are adequate.
- vi. Personnel listed on the data center access log have a valid business reason for accessing the data center, logged, and that vendor service personnel and visitors are supervised while in the data center
- vii. Server console/terminals are controlled both physically and logically (e.g., locked cabinets, terminal requires logon, remote access security)

2. Environmental Controls

- a. Temperature and humidity controls appropriate, working, and sensors periodically tested, if set to alert that alerts are operational and valid.
- b. raised floors or appropriate ventilation for all equipment is appropriate, space clean and not hazardous;
- c. Emergency controls for lighting and power-off switches available.
- d. Fire/water detection/extinguishing systems are present, sensors tested, fire system appropriate to space.
- e. Floor to true ceiling walls without unauthorized/undocumented pipes, conduit, and cabling.
- f. Flammable supplies, paper, etc. not kept in data center.
- g. Uninterruptible power supply (UPS) systems are present and monitored, including automated alerts for low battery or power fails over
- h. If load balancing of power supply in the Data Center room is performed ensure automated alerts of power failure or spikes are in place
- i. Adequate backup generator is utilized or if not, appropriate backup power supply is available for power emergencies.

3. Backup and Disaster Recovery

- a. Processes exist to ensure appropriate systems and applications have been identified for backup, backups are managed and scheduled, backup schedule meets requirements, backups are completed, periodically tested and meet requirements including encryption. If used, tapes are conditioned, labeled appropriately, and rotated offsite on a routine schedule as needed.
- b. Backup rotation is done by authorized personnel with appropriate transportation to an appropriately controlled and secure facility with adequate emergency procedures. Logs are kept, backups are labeled, retention schedules are labeled, and backups are segregated from other institutions, material.
- c. Recovery is periodically tested to assure that can restore to alternate locations. When equipment is changed, processes assure that equipment and software exist to read still required data. Processes for legal hold exist, are documented, known and followed.

- d. Current Disaster Recovery plans exist and are tested; alternate sites are available per agreement. Plans are focused on actions to be performed; individuals know their roles and responsibilities under the plan.

E. Information Security

1. Intrusion Prevention

- a. The external network perimeter is monitored for security events. Logging, alert settings, and procedures are adequate and effective.

2. IPS/IDS

- a. Procedures for identifying, prioritizing, configuring, and responding to, and resolving alerts are developed, documented, adequate, effective and working.
- b. IDS/IPS logs are collected, retained and secured, and reviewed. Tools, scripts for review are available and used.
- c. Security and Access controls to IPS/IDS applications are adequate.
- d. Procedures exist for request, approval, and implementation of changes to IPS/IDS rule set
- e. Security of interfaces to external vendors are known. Processes and agreements for "pulling the plug" in event of incidents exist and are known
- f. Procedures exist for incorporating change management information into the appropriate IDS/IPS and for identifying systems/tools (e.g., firewalls, routers, etc.) for collection of syslogs/event data.

3. Incident Handling

- a. Incident Response procedures exist and are adequate, effective and working to insure:
 - management oversight;
 - delineation of roles and responsibilities;
 - policies and procedures needed for incident handling;
 - identification and classification of incidents;
 - handling of incidents including legal requirements,
 - investigation if needed;
 - eradication as needed;
 - recovery;
 - reporting as needed;
 - and assuring lessons learned are documented.

F. IT Governance and Operations Management

1. Operations:

- a. System performance is monitored and automated alerts are configured to notify IT support in the event a predefined threshold (e.g., disk capacity, CPU utilization, etc.) is exceeded.
- b. Processes exist for documentation of processing issuing resolution with appropriate escalation procedures.
- c. There is an established process to ensure changes to the IT Infrastructure (e.g., hardware, communication lines, etc.) are tested and approved prior to migration into production and rollback procedures are in place. (see change management)
- d. Processes exist for review of reports on response times, down time, causes of schedule failures, utilization (average and peak) and capacity trends.

- e. Processes exist for the management and tracking of IT assets, licenses, and maintenance agreements to ensure appropriate support and management of costs for IT assets.
- f. Service level agreements exist to ensure HCC is appropriately covered in the event of a system outage or failed service level
- g. Firecall procedures or the equivalent exist, are appropriate, and known/followed for emergencies.

2. Governance:

- a. Processes exist for the periodic review of scheduled operations, operation reports, backup requirements, policy and procedures to assure they are up-to-date, incorporate lessons learned from the change management, incident and development systems; and are in compliance with current laws, regulations, and standards. Appropriate training is provided to affected parties on changes
- b. Adequate, effective and working procedures and processes exist to review and ensure:
 - i. Strategic alignment of IT and the College. Distinctions between academic and administrative processes and requirements are recognized,
 - ii. That IT is meeting business requirements in a timely manner,
 - iii. That risks are identified, and managed by determining risk appetite and exposures,
 - iv. That operational and strategic metrics are reported to Executive and Board management That resources are optimized, and

HCC has also included the following supporting Exhibit to this Attachment No. 2 – Scope of Services, as follows:

- **Exhibit A – Q & A**

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EXHIBIT 1 TO SCOPE OF SERVICES

QUESTIONS AND ANSWERS

Question # 1:

How many applications are in scope for testing of logical access and change management controls?

HCC Answer:

All IT/Application Development Department supported applications are in scope for testing and change management utilizing an internal process.

Question # 2:

What are the names of the specific applications in scope and what are their primary functions?

HCC Answer:

Active Directory, Exchange, PeopleSoft Finance v.9, PeopleSoft Campus Solutions (Student Services and Financial Aid), and PeopleSoft HR.

Question # 3:

Section "II. Environment" of "Attachment 1-Scope of Services" indicates that HCC operates 2 data centers. However, section "III. Requirements" indicates that HCC would like a review of the "physical and environmental security of the main and alternate site. How many total data centers and equipment centers are in the scope for this audit?

HCC Answer:

HCC/IT operates 2 data centers – 3100 Main and Hayes Rd.

Question # 4:

Has HCC performed a risk assessment over the auditable areas and is that available to the successful proposer?

HCC Answer:

None that would be of use for this project.

Question # 5:

Are the HCC interns meant to supplement or replace staff of the successful proposer?

HCC Answer:

HCC/IT – Interns are used occasionally to supplement departmental staffing for non-critical tasks.

Question # 6:

Is it reasonable to test a sample of the campus MDF/IDFs or is 100% coverage expected?

HCC Answer:

A sample would suffice.

Question # 7:

For the physical security section of the IT Audit, is HCC requesting the successful proposer evaluate the design and construction of those locations and/or is HCC requiring a non-destructive testing of the security mechanisms utilized to control physical security?

HCC Answer:

Non-destructive tests of effectiveness. Notation as to obvious design issues.

Question # 8:

For the IDS/IPS systems review, is the successful proposer to review not only the location of the devices, but also the configuration of the device to determine the following:

- a. Number of false positives is excessive
- b. System load is dropping packets
- c. Reporting provided by the device is providing value

HCC Answer:

Yes – a review of the location of devices and the configuration is desired.

Question # 9:

For the incident handling review, is HCC requiring the successful proposer provide a scenario to evaluate how the HCC team manages the scenario, or to simply review the policy and procedures around incident handling?

HCC Answer:

A review of policy and procedure is what is requested.

Question # 10:

What are the primary financial and student applications?

HCC Answer:

PS Campus Solutions - v9.0

PS FMS - v9.1

Question # 11:

What are the supporting infrastructure for the major financial and student applications? i.e. data base, platform, etc.

HCC Answer:

-Database platform – Oracle (10G and 11G)

-OS Platform – Sun Solaris (Unix), Linux, Windows

-Middleware – Weblogic, Apache, Tuxedo

Question # 12:

Approximately how many users are defined in the major applications and supporting infrastructure?

HCC Answer:

PS Campus Solutions has approximately 75K to 80K active students/staff/faculty users every semester

PS HR has approximately 7,000 users utilizing self-service (Approximately 200 of the total are core users)

PS Finance has approximately 600 users

Question # 13:

What is the level of customization to the major applications i.e. vanilla, moderate, high, etc.

HCC Answer:

- PS Campus Solutions is highly customized (to better accommodate 2 year college business practices)
- PS Finance has a low level of customizations
- PS HR has a moderate level of customizations

Question # 14:

Any automated tools used for managing security and change management.

HCC Answer

PS HR – Yes, A custom interface is in place for Active Directory and PSHR security

PS Finance – No

PS Campus Solutions - No

Question # 15:

What is the IT organization structure like i.e. support teams, etc. Can an organization chart with just titles be available (no names)?

HCC Answer:

See accompanying organizational charts and yes.

Question # 16:

Are the roles and responsibilities of the various IT teams defined and documented. If available can a summary be provided?

HCC Answer:

Yes, for each IT director/leadership team level department.

The Applications Development (AD) Department is responsible for the implementation, testing, project training, and support of software. The department is comprised of Database Administration (DBA), Web Services, Business Systems, Student Systems, 3rd Party Administration and Applications Support/Customer Contact.

The Applications Development staff implements and deploys applications that are essential to HCC's enterprise management initiatives and student success, thereby aligning with HCC's vision. Likewise, the department provides user applications support assistance for internal & external customers.

Additional department activities include implementation and technical/functional analysis support tasks for PS Campus Solutions activities for students, faculty and staff; PeopleSoft HR self-service & PEP; HCC Vignette/Open Text; PeopleSoft finance and administration processing; Oracle database maintenance and support; and 3rd party system support (Maximo, AdAstra, UPK, Magic and OfficeWeb).

The Systems Support (SS) Department is responsible for the design, configuration, implementation, maintenance, monitoring and twenty-four hour a day support of servers, networks, VoIP, enterprise applications and Data Center operations.

The Systems Support department is comprised of four areas: Systems Administration, Networks, Telecommunications and Data Center. The Systems Administration and Network staff implements and deploys servers, applications and networks that are essential to HCC's enterprise management initiatives and student success, thereby aligning with HCC's vision. Once implemented and deployed, the Data Center, which is staff around the clock, monitors every network router/switch and server maintained by Systems Support to ensure availability for all our customers. The Data Center is also responsible for critical production processing such as official class rolls and batch refunds.

Systems Support also includes a Sr Network Architect and Security Analyst who specialize in integrations, design and configuration as well as security to help support all areas of Systems Support, including video surveillance and electronic access control.

Question # 17:

Are there any 3rd party support service providers that HCC has contracted with? If so, what areas i.e. HR, Payroll, Data Center, etc. Also, are SOC 1, 2 or 3 reports available.

HCC Answer:

No, 3rd Party support providers are utilized.

Question # 18:

Has HCC experienced any incidents of security concerns internal or external in the past two years?

HCC Answer:

Yes

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ATTACHMENT NO. 3

**HOUSTON COMMUNITY COLLEGE
REQUEST FOR PROPOSALS
PROPOSAL/CONTRACT AWARD FORM**

PROJECT TITLE: Information Technology Audit
PROJECT NO.: 13-13

Name of Proposer/Contractor: _____

Federal Employer Identification Number _____
(Note: please refer to RFP- Summary, Section 10: Vendor Registration)

Address: _____

Telephone: _____

Fax: _____

E-mail: _____

In compliance with the requirements of this Request for Proposals for providing an audit of the Information Technology General Controls, the undersigned hereby proposes to furnish all necessary resources required to perform the services in accordance with our Technical Proposal and Price Proposal dated _____ and as mutually agreed upon by subsequent negotiations, if any.

The undersigned certifies that he/she has read, understands and agrees to be bound by the requirements and terms and conditions set forth in this Solicitation and any and all amendments issued by HCC and made a part of this Request For Proposals. The undersigned further certifies that he/she is legally authorized to make the statements and representations in the Solicitation and that said statements and representations are true and accurate to the best of his/her knowledge. The undersigned understands and agrees that when evaluating proposals and making an award decision, HCC relies on the truth and accuracy of the statements and representations presented in the proposal response. Accordingly, HCC has the right to suspend or debar the undersigned from its procurement process and/or terminate any contract award that may have resulted from this solicitation if HCC determines that any statements or representations made were not true and accurate.

Signed By: _____ Name: _____
(Type or Print)

Title: _____
(Type or Print)

State of _____

Sworn to and subscribed before me at _____, _____,
(City) (State)

this the _____ day of _____, 201_.

Notary Public for the State of: _____

ACCEPTANCE AND CONTRACT AWARD FORM

(Note: This page will be completed by HCC.)



Purchase Order No. _____ (for payment purposes only)

Project No. 13-13

Effective Date: _____



Contractor to perform the work required herein in accordance with Purchase Order(s) issued by HCC, the Terms and Conditions incorporated herein by reference, and the prices, scope of services and any terms, specifications and requirement attached hereto and made a part hereof.

HOUSTON COMMUNITY COLLEGE

Executed for and on behalf of the Houston Community College pursuant to approval by the Board of Trustees on _____, 201_.

Signed By: _____

Title: _____

ATTACHMENT NO. 4

Proposer Questionnaire

HCC Project No. : 13-13

1.0 Company Profile:

1.1 Provide details as to the following:

- Firm or Entity Name
- Years in Business
- Form of Business under which Proposer operates (i.e., corporation, partnership, sole proprietor)
- Key Contacts: List the names(s), telephone number, email addresses of the representative(s) who are to be contacted regarding your proposal
- Ownership: List the names of all officers and persons of organizations have a ten percent (10%) or greater ownership interest in the company. Indicate which persons are in day-to-day management of the company. Also, indicate if the business is a subsidiary of another entity or conglomerate.
- Sales Volume: Provide net sales data for the past three (3) years
- Describe your company's specific knowledge, experience and expertise in providing an audit of the Information Technology General Controls.
- Is your company currently for sale or involved in any transaction to expand or to become acquired by another business entity? If yes, please explain the impact both in organizational and directional terms.
- Provide any details of all past or pending litigation or claims filed against your company that would affect your company's performance under an Agreement with HCC.
- Is your company currently in default on any loan agreement or financing agreement with any bank, financial institution, or other entity. If yes, specify date(s), details, circumstances, and prospects for resolution.

1.2 Firm's Financial Status: Provide evidence of the firm's financial stability including but not limited, any one or more of the following: the firm's audited financial statement for the last two (2) years; a statement from at least one financial institution with validation of at least six (6) months working capital; recent annual reports or equivalent information and your short and long-term credit rating; a letter from the company's CPA attesting to the company's financial stability.

1.3 Is your company currently in default on any loan agreement or financing agreement with any bank, financial institution, or other entity. If yes, specify date(s), details, circumstances, and prospects for resolution.

2.0 Customer References:

2.1 Your response must include a listing of at least three (3) customers for which you have provided electronic citation systems and related services of the type and kind required by this RFP. Your customer reference list shall include the company name; contact person including telephone #; scope of services, annual sales volume (\$), and the period of time for which work was performed.

2.2 Provide a reference list of all customers for whom you have performed work during the past three (3) years. The List to include company name, contact person, telephone #, and email address (if known).

3.0 Technical Proposal:

Your Technical Proposal should clearly define (i) your Company's total capabilities, (ii) your qualifications to perform the work, (iii) your ability to perform the services outlined in Attachment No. 1, (iv) your understanding of HCC, and (v) what differentiates you from your competitors. At a minimum, your Technical Proposal shall include the following:

3.1 Cover letter: The cover letter shall not to exceed 2 pages in length, summarizing key points in the proposal.

3.2 Qualifications and experience of firm:

- i. Provide a description of the firm including firm's history, size, staff composition;
- ii. Provide the address of the corporate headquarters and number of employees within Texas; and
- iii. Provide evidence of at least three (3) years of experience providing similar services as described in this RFP.
- iv. Provide a list of all projects awarded during the past three (3) years; including the name of the client, location, size of the installation, amount of time the installation took, and narrative description of the project and any problems that may have been encountered during the implementation and ongoing support;
- v. Provide a list of all contracts that your firm has lost during the past three (3) years including name of the client and narrative description as to why the business was lost; and
- vi. Define how you measure and monitor customer satisfaction; describe the method used, frequency, and how results are reported.

3.3 Project management & implementation plan:

(a) Provide a project-staffing plan including resumes for all proposed "key" staff members who will be assigned to this account and defining their role in supporting the HCC account;

(b) Provide your criteria for hiring including screening, criminal background checks, or any other means of verification of employee information, or explain other means for ensuring the integrity and suitability if the Proposer's employees; and

(c) Provide a detailed *Start-up Implementation Schedule* identifying key tasks and milestones commencing date of contract award through project completion. Your response should clearly define both your and HCC's responsibilities and resources required during the implementation phase.

(d) Provide a detailed schedule indicating the time allotted for direct audit work versus audit administration.

3.4 Quality of products and extent they meet HCC's needs:

(a) Proposer shall clearly define its in-house capability and capacity to perform the work identified in Attachment No. 2. Your response must describe the various technologies, tools, methods, and technical expertise that you will provide to HCC and/or that will be used in the delivery of the services and how that will be of benefit in the delivery of services to HCC;

(b) Please identify any work for which your company will have to outsource (all or a portion of the work) in providing the services described in this RFP. If subcontractors will be required to provide any of the services requested in this RFP, please identify them and the role they will play;

(c) Please identify the key metrics you propose to use to measure your performance in delivering services to HCC. Your response should indicate the frequency of the measurement, how it will be used to continually improve performance, and how this information will be shared with HCC. Your response should include how do you measure and monitor production quality, ensure delivery/turnaround times are being met, and how problems are tracked, escalated (if required) both internally and with the customer; and

(a) Describe your training and development program of both full time and part-time personnel (i.e., students or temporary/contracted workers) as it relates to customer service, policies and procedures, quality control, and general business operations.

3.5 Communication Plan: Please provide a sample communication plan of how, if your company is selected for contract award, you will introduce your company to the HCC staff and advise them of your service offering.

3.6 Student Intern Participation: This section shall include a clear statement of the firm's commitment and plan to utilize HCC student in an internship capacity.

3.7 Small Business Participation: This section shall include a clear statement of the firm's commitment and plan to meet the small business goal specified in this solicitation, if any.

3.8 Miscellaneous:

(a) Please identify any challenges and/or difficulties you anticipate in providing services to HCC and how you plan to manage them; what assistance will you require from HCC.

(b) Please describe any special benefits or advantages in selecting your company

4.0 Price Proposal:

Proposer shall complete and submit Schedule 1, the Price Proposal Summary for the Information Technology Audit. The estimated budget for this project is \$75,000.00. Proposer may submit, for HCC's consideration, any alternate recommendations, as to the order of said tasks and rationale for conducting such audit activities in said fashion.

SCHEDULE 1

PRICE PROPOSAL SUMMARY

HCC Project No. 13-13

The Proposer/Contractor shall furnish all resources and services necessary and required to perform an audit of the Information Technology General Controls, in accordance with the Scope of Services, and the General Terms and Conditions, for the price(s) listed below.

- Proposer shall submit pricing for the services described in Attachment 2, Scope of Work for a flat rate “not to exceed” the amount proposed below. The schedule listed below should be completed to provide a detailed breakdown of the total fixed lump sum.

\$ _____ Total Fixed Lump Sum

Estimated Time for Completion	Required Task	Proposed Cost
	A. Change Management	
	1. Management Policies, Procedures & Methodology	\$
	2. Change Initiation, Tracking & Approval	\$
	3. Testing	\$
	4. Access	\$
	5. Performance Metrics & Reporting	\$
	B. Patch Management	\$
	C. Logical Access Controls/User Programming	
	1. Logical Access Controls/User Programming	\$
	2. Active Directory	\$
	3. Exchange	\$
	D. Review of Physical & Environmental Security of Data Center(s)	
	1. Control of Access	\$
	2. Environmental Controls	\$
	4. Backup and Disaster Recovery	\$
	E. Information Security	
	1. Intrusion Prevention	\$
	2. IPS/IDS	\$
	3. Incident Handling	\$
	F. IT Governance & Operations Management	
	1. Operations	\$
	2. Governance	\$

6. Please provide a detailed listing of all related expenses that are included in the total fixed lump sum.

Type of Expense	Estimated Cost

7. Please provide the hourly rates for each staff level for any additional work to be performed:

Staff Level _____ Hourly Rate \$ _____

Staff Level _____ Hourly Rate \$ _____

Staff Level _____ Hourly Rate \$ _____

Staff Level _____ Hourly Rate \$ _____

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ATTACHMENT No. 5

PROPOSER'S CERTIFICATIONS

HCC Project No.: 13-13

1. NON-DISCRIMINATION STATEMENT:

The undersigned certifies that he/she will not discriminate against any employee or applicant for employment or in the selection of subcontractors because of race, color, age, religion, gender, national origin or disability. The undersigned shall also take action to ensure that applicants are employed, and treated during employment, without regard to their race, color, religion, gender, age, national origin or disability. Such action shall include, but shall not be limited to, the following: non-discriminatory employment practices: employment, upgrading or transfer, recruitment or recruitment advertising, layoff or termination, rates of pay or other compensation and selection for training, including apprenticeship.

2. BLACKOUT PERIOD COMPLIANCE:

The undersigned certifies that he/she has read, understands and agrees to be bound by the Prohibited Communications provision set forth in the RFP. The undersigned further understands that the Bidder shall not communicate with a HCC Trustee, employee, or any member of the selection/evaluation committee in any way concerning this Solicitation from the day it is first advertised through thirty (30) days after the contract is executed by the Chancellor or his/her designee, or when a determination is made that the contract will not be awarded.

This period is known as the "Blackout Period," as further defined in Section 1.7.10 and 3.3 of the Procurement Operations Manual. Violation of the Blackout Period is considered unethical conduct and will be handled as such with regard to a Trustee and all applicable federal and state laws and regulations, local ordinances, board policies and procurement procedures with respect to their conduct as public officials involved in the procurement process.

With regard to a Bidder, violation of the Blackout Period may result in the cancellation of the referenced transaction, disbarment, disqualification from future procurement solicitations and prosecution in accordance with the Laws of the State of Texas.

3. ASSURANCE OF SBDP GOAL:

The undersigned certifies that he/she has read, understands and agrees to be bound by the small business provisions set forth in this Solicitation. The undersigned further certifies that he/she is legally authorized to make the statements and representations in the Solicitation and that said statements and representations are true and accurate to the best of his/her knowledge. The undersigned will enter into formal agreement(s) for work identified on the CONTRACTOR AND SUBCONTRACTOR PARTICIPATION form conditioned upon execution of a contract with HCC. The undersigned agrees to attain the small business utilization percentages of the total offer amount as set forth below:

Small Business Participation Goal = _____

The undersigned certifies that the firm shown below has not discriminated against any small business or other potential subcontractor because of race, color, religion, gender, age, veteran's status, disability or national origin, but has provided full and equal opportunity to all potential subcontractors irrespective of race, color, religion, gender, age, disability, national origin or veteran status.

The undersigned understands that if any of the statements and representations are made knowing them to be false or there is a failure to implement any of the stated commitments set forth herein without prior approval of HCC's Chancellor or the duly authorized representative, the Proposer may be subject to the loss of the contract or the termination thereof.

4. CERTIFICATION AND DISCLOSURE STATEMENT:

A person or business entity entering into a contract with HCC is required by Texas Law to disclose, in advance of the contract award, if the person or an owner or operator of the business entity has been convicted of a felony. The disclosure should include a general description of the conduct resulting in the conviction of a felony as provided in section 44.034 of the Texas Education Code. The requested information is being collected in accordance with applicable law. This requirement does not apply to a publicly held corporation.

If an individual:

Have you been convicted of a felony? YES or NO

If a business entity: YES or NO

Has any owner of your business entity been convicted of a felony? _____

Has any operator of your business entity been convicted of a felony? _____

If you answered yes to any of the above questions, please provide a general description of the conduct resulting in the conviction of the felony, including the Case Number, the applicable dates, the State and County where the conviction occurred, and the sentence.

5. DISCLOSURE OF OWNERSHIP INTERESTS:

The undersigned certifies that he/she has accurately completed the attached Exhibit 1 "Ownership Interest Disclosure List." For the purposes of this section, in accordance with Board Bylaws, the term "Contractors" shall include any member of the potential vendor's board of directors, its chairperson, chief executive officer, chief financial officer, chief operating officer, any person with an ownership interest of 10% or more. This requirement shall also apply to any Subcontractor listed on the "Contractor and Subcontractor Participation Form."

Balance of page intentionally left blank.

6. PROHIBITED CONTRACTS/PURCHASES:

The undersigned certifies that he/she has read, understands and is eligible to receive a contract in accordance with HCC Board of Trustees Bylaw regarding Prohibited Contracts/Purchases as further defined in the attached Exhibit 2.

I attest that I have answered the questions truthfully and to the best of my knowledge.

Signed: _____

Name of Company: _____

Address of Company: _____

State of _____

Sworn to and subscribed before me at _____ (City) _____ (State),

this the _____ day of _____, 201_.

Notary Public for the State of: _____

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EXHIBIT 1 - TO ATTACHMENT NO. 5

OWNERSHIP INTEREST DISCLOSURE LIST

HCC Project No.: 13-13

Instruction: Using the following table, please fill in the names of any member of the Respondent’s company who is a “Contractor” (as defined in Section 5 above); any person with an ownership interest of 10% or more; and any Subcontractor listed on the “Contractor and Subcontractor Participation Form.”

Name	Title	Company Name

Balance of page intentionally left blank.

EXHIBIT 2 - TO ATTACHMENT NO. 5
PROHIBITED CONTRACTS/PURCHASES

HCC Project No.: 13-13

The College shall not contract with a business entity in which a Board Member, Senior Staff Member, or a relative of a Board member or Senior Staff Member within the first degree of consanguinity or affinity, has any pecuniary interest. All such contracts executed prior to June 21, 2012 shall continue to be in full force and effect.

Further, the College shall not contract with a business entity that employs, hires, or contracts with, in any capacity, including but not limited to, a subcontractor, employee, consultant, advisor or independent contractor, a Board Member or a Senior Staff Member.

Further, the College shall not contract with a business entity that employs an officer or director who is a relative of a Board member or a Senior Staff Member within the first degree of consanguinity or affinity.

Definitions:

"Business entity" shall not include a corporation or a subsidiary or division of a corporation whose shares are listed on a national or regional stock exchange or traded in the over-the-counter market. "Business entity" shall not include non-profit corporations or religious, educational, and governmental institutions, except that private, for-profit educational institutions are included in the definition of Business entity.

"Director" is defined as an appointed or elected member of the board of directors of a company who, with other directors, has the responsibility for determining and implementing the company's policy, and as the company's agent, can bind the company with valid contracts.

"Officer" is defined as a person appointed by the board of directors of a company to manage the day-to-day business of the company and carry out the policies set by the board. An officer includes, but is not limited to, a chief executive officer (CEO), president, chief operating officer (COO), chief financial officer (CFO), vice-president, or other senior company official, as determined by the Board.

"Senior Staff Member" shall have the meaning as defined in Article A, Section 3 of the Board Bylaws which includes:

- a. Any member of the Chancellor's Advisory Council;
- b. HCC employees classified as E-10 and above;
- c. All procurement and purchasing personnel;
- d. Any employee who participates on an evaluation or selection committee for any HCC solicitation for goods or services; and
- e. Any employee who participates in the evaluation of goods or services provided by a vendor or contractor.

Absent other legal requirements, all contracts entered into by the College in violation of this policy shall be voided within 30 days of notice of the violation.

I attest that I have answered the questions truthfully and to the best of my knowledge.

ATTACHMENT NO. 6

HCC Project No.: 13-13

<p>CONFLICT OF INTEREST QUESTIONNAIRE For vendor or other person doing business with local governmental entity</p>	<p>FORM CIQ</p>
<p>This questionnaire reflects changes made to the law by H.B. 1491, 80th Leg., Regular Session. This questionnaire is being filed in accordance with Chapter 176, Local Government Code by a person who has a business relationship as defined by Section 176.001(1-a) with a local governmental entity and the person meets requirements under Section 176.006(a). By law this questionnaire must be filed with the records administrator of the local governmental entity not later than the 7th business day after the date the person becomes aware of facts that require the statement to be filed. See Section 176.006, Local Government Code. A person commits an offense if the person knowingly violates Section 176.006, Local Government Code. An offense under this section is a Class C misdemeanor.</p>	<p>OFFICE USE ONLY</p>
<p>1 Name of person who has a business relationship with local governmental entity.</p>	<p>Date Received</p>
<p>2 <input type="checkbox"/> Check this box if you are filing an update to a previously filed questionnaire. (The law requires that you file an updated completed questionnaire with the appropriate filing authority not later than the 7th business day after the date the originally filed questionnaire becomes incomplete or inaccurate.)</p>	
<p>3 Name of local government officer with whom filer has employment or business relationship.</p> <p align="center">_____</p> <p align="center">Name of Officer</p> <p>This section (item 3 including subparts A, B, C & D) must be completed for each officer with whom the filer has an employment or other business relationship as defined by Section 176.001(1-a), Local Government Code. Attach additional pages to this Form CIQ as necessary.</p> <p>A. Is the local government officer named in this section receiving or likely to receive taxable income, other than investment income, from the filer of the questionnaire?</p> <p align="center"><input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>B. Is the filer of the questionnaire receiving or likely to receive taxable income, other than investment income, from or at the direction of the local government officer named in this section AND the taxable income is not received from the local governmental entity?</p> <p align="center"><input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>C. Is the filer of this questionnaire employed by a corporation or other business entity with respect to which the local government officer serves as an officer or director, or holds an ownership of 10 percent or more?</p> <p align="center"><input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>D. Describe each employment or business relationship with the local government officer named in this section.</p>	
<p>4</p> <p align="center">_____</p> <p align="center">Signature of person doing business with the governmental entity</p> <p align="right">_____</p> <p align="right">Date</p>	

Adopted 06/29/2007

Note: When completing this Questionnaire, please be certain to answer each and every question; indicate "Not Applicable", if appropriate.

**ATTACHMENT NO. 7
FINANCIAL INTERESTS AND POTENTIAL CONFLICTS OF INTERESTS**

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Texas Local Government Code Chapter 176 requires that vendors desiring to enter into certain contracts with a local governmental entity must disclose the financial and potential conflict of interest information as specified below.

Vendor shall disclose the financial interest and potential conflict of interest information identified in Sections 1 through 3 below as a condition of receiving an award or contract. Submit this information along with your bid, proposal, or offer. **This form must be completed, signed and notarized. The Completed form must be submitted along with your proposal**

This requirement applies to contracts with a value exceeding \$50,000.

Section 1 - Disclosure of Financial Interest in the Vendor

a. If any officers or employees of HCC ("individuals") have one of the following financial interests in the vendor (or its principal) or its subcontractor(s), please show their name and address and check all that apply and (include additional documents if needed):

Name: _____
Address: _____

b. For each individual named above, show the type of ownership/distributable income share:

Ownership interest exceeding 10%	(_____)
Ownership interest exceeding \$15,000 or more of the fair market value of vendor	(_____)
Distributive Income Share from Vendor exceeding 10% of individual's gross income	(_____)
Real property interest with fair market value of at least \$2,500	(_____)
Person related to or married to individual has ownership or real property interest in Vendor	(_____)
No individuals have any of the above financial interests (If none go to Section 4)	(_____)
sole proprietorship ___ stock ___ partnership ___	
other (explain): _____	

c. For each individual named above, show the **dollar value or proportionate share** of the ownership interest in the vendor (or its principal) or its subcontractor (s) as follows:
If the proportionate share of the named individual(s) in the ownership of the vendor (or its principal) or subcontractor of vendor is 10% or less, and if the value of the ownership interest of the named individual(s) is \$15,000 or less of the fair market value of vendor, check here (___).

If the proportionate share of ownership exceeds 10%, or the value of the ownership interest exceeds \$15,000 of the fair market value of vendor, show either:

the percent of ownership _____ %, or
the value of ownership interest \$ _____ .

Section 2 - Disclosure of Potential Conflicts of Interest

For each of the individuals having the level of financial interest identified in Section 1 above, and for any other HCC individual not identified in Section 1 above check "Yes" or "No" to indicate which, if any, of the following potential conflict of interest relationships apply. If "Yes," please describe (use space under applicable section-attach additional pages as necessary).

a. Employment, currently or in the previous 3 years, including but not limited to contractual employment for services for vendor.

Yes _____ No _____

b. Employment of individual's spouse, father, mother, son, or daughter, including but not limited to contractual employment for services for vendor in the previous 2 years.

Yes _____ No _____

Section 3- Disclosure of Gifts

For each of the individuals having the level of financial interest identified in Section 1 above, and for any other HCC individual not identified in Section 1 above check "Yes" or "No" to indicate which, if any, of the following potential conflict of interest relationships apply. If "Yes," please describe (use space under applicable section-attach additional pages as necessary).

a. Received a gift from vendor (or principal), or subcontractor of vendor, of \$250 or more within the preceding 12 months.

Yes _____ No _____

b. Individual's spouse, father, mother, son, or daughter has received a gift from vendor (or principal), or subcontractor of vendor, of \$250 of more within the preceding 12 months.

Yes _____ No _____

Section 4- Other Contract and Procurement Related Information

Vendor shall disclose the information identified below as a condition of receiving an award or contract.

This requirement is applicable to only those contracts with a value exceeding \$50,000. You must submit this information along with your bid, proposal, or offer.

a. Vendor shall identify whether vendor (or its principal), or its subcontractor(s), has current contracts (including leases) with other government agencies of the State of Texas by checking:

Yes _____ No _____

b. If "yes" is checked, identify each contract by showing agency name and other descriptive information such as purchase order or contract reference number (attach additional pages as necessary).

c. Vendor shall identify whether vendor (or its principal) or its subcontractor(s) has pending contracts (including leases), bids, proposal, or other ongoing procurement relationships with other government agencies of the State of Texas by checking:

Yes _____ No _____

d. If "yes" is checked, identify each such relationship by showing agency name and other descriptive information such as bid or project number (attach additional pages as necessary).

Balance of page intentionally left blank.

This disclosure is submitted on behalf of:

(Name of Vendor)

Certification. I hereby certify that to the best of my knowledge and belief the information provided by me in this disclosure statement is true and correct. I understand that failure to disclose the information requested may result in my bid, proposal, or offer, being rejected, and/or may result in prosecution for knowingly violating the requirements of **Texas Local Government Code Chapter 176**. I understand that it is my responsibility to comply with the requirements set forth by HCC as it relates to this disclosure. I also understand that I must submit an updated disclosure form within seven (7) days of discovering changes in the significant financial interests of the individuals I identified in Section 1 of this disclosure or if individuals that were not identified, later receive a financial interest in my company or is a subcontractor of my company.

Official authorized to sign on behalf of vendor:

Name (Printed or Typed) _____ Title _____

Signature _____ Date _____

"NOTE: BIDDER MUST COMPLETE THE ABOVE "FINANCIAL INTERESTS AND POTENTIAL CONFLICTS OF INTERESTS" FORM. FAILURE TO COMPLETE AND RETURN THIS FORM WITH YOUR OFFER MAY RESULT IN YOUR OFFER BEING CONSIDERED AS "NON-RESPONSIVE" TO THIS SOLICITATION."

For assistance with completing this form, please contact the **Office of Systemwide Compliance** at (713)718-2099

State of _____

Sworn to and subscribed before me at _____
(City) (State)

this the _____ day of _____, 201_.

Notary Public for the State of: _____

ATTACHMENT NO. 8

**DETERMINATION OF GOOD FAITH EFFORT
Project No. 13-13**

Proposer _____

Address _____

Phone _____

Fax Number _____

In making a determination that a good faith effort has been made, HCC requires the Proposer to complete this form as directed below:

Section 1.

After having divided the contract work into reasonable lots or portions to the extent consistent with prudent industry practices, the Proposer must determine what portion(s) of work, including goods or services, will be subcontracted. Check the appropriate box that identifies your subcontracting intentions:

_____ Yes, I will be subcontracting portion(s) of the contract.
(If Yes, please complete Section 2, below and Attachments No. 6 and No. 7)

_____ No, I will not be subcontracting any portion of the contract, and will be fulfilling the entire contract with my own resources.
(If No, complete Section 3, below.)

Section 2.

In making a determination that a good faith effort has been made, HCC requires the Proposer to complete this form Section and submit supporting documentation explaining in what ways the Proposer has made a good faith effort to attain the goal. The Proposer will respond by answering "yes" or "no" to the following and provide supporting documentation.

_____ (1) Whether the Proposer provided written notices and/or advertising to at least five (5) certified small businesses or advertised in general circulation, trade association and/or small businesses focus media concerning subcontracting opportunities.

_____ (2) Whether the Proposer divided the work into the reasonable portions in accordance with standard industry practices.

_____ (3) Whether the Proposer documented reasons for rejection or met with the rejected small business to discuss the rejection.

_____ (4) Whether the Proposer negotiated in good faith with small businesses, not rejecting qualified subcontractors who were also the lowest responsive bidder.

NOTE: If the Proposer is subcontracting a portion of the work and is unable to meet the solicitation goal or if any of the above items (1-4) are answered "no", the Proposer must submit a letter of justification.

Section 3.

SELF PERFORMANCE JUSTIFICATION

If you responded "No" in SECTION 1, please explain how your company will perform the entire contract with its own equipment, supplies, materials, and/or employees.

Signature of Proposer

Title

Date

Balance of page intentionally left blank.

**ATTACHMENT NO. 9
SMALL BUSINESS UNAVAILABILITY CERTIFICATE**

I, _____,
(Name)

_____, of
(Title)

(Name of proposer's company)

certify that on the date(s) shown, the small businesses listed herein were contacted to solicit Proposals for Materials or Services to be used on this Project.

DATE CONTACTED	SMALL BUSINESS Name	TELEPHONE NO.	CONTACT PERSON	MATERIALS OR SERVICES	RESULTS
1.					
2.					
3.					
4.					
5.					
6.					

To the best of my knowledge and belief, said small business was unavailable for this solicitation, unable to prepare a proposal or prepared a proposal that was rejected for the reason(s) stated in the RESULTS column above.

The above statement is a true and accurate account of why I am unable to commit to awarding subcontract(s) or supply order(s) to the small business listed above.

NOTE: This form to be submitted with all Proposal documents for waiver of small business participation. (See Instructions to Proposers)

Signature: _____

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**Attachment No. 10
CONTRACTOR AND SUBCONTRACTOR PARTICIPATION FORM**

Proposer/offeror presents the following participants in this solicitation and any resulting Contract. All proposers / offerors, including small businesses submitting proposals as prime contractors, are required to demonstrate good faith efforts to include eligible small businesses in their proposal submissions.

CONTRACTOR	Specify in Detail Type of Work to be Performed	Indicate below, the following: Small Business (SB) and Certification Status, if any (i.e. SB – COH, METRO, etc.)	Percentage of Contract Effort	Price
Business Name:				
Business Address:				
Telephone No. :				
Contact Person Name/E-mail:				
SMALL BUSINESS SUBCONTRACTOR(S) (Attach separate sheet if more space is needed.)				
Business Name:				
Business Address:				
Telephone No. :				
Contact Person:				
NON-SMALL BUSINESS SUBCONTRACTOR(S) (Attach separate sheet if more space is needed.)				
Business Name:				
Business Address:				
Telephone No. :				
Contact Person:				
NON-SMALL BUSINESS SUBCONTRACTOR(S) (Attach separate sheet if more space is needed.)				
Business Name:				
Business Address:				
Telephone No. :				
Contact Person:				
NON-SMALL BUSINESS SUBCONTRACTOR(S) (Attach separate sheet if more space is needed.)				

Business Name: _____ Submitted By (Name): _____

Address: _____

Telephone/Fax: _____ Date: _____

Contractor 's Price/Total: \$ _____
 Small Business
 Subcontractor (s) Price/Total: \$ _____
 Non-Small Business
 Subcontractors Price/Total: \$ _____
 Grand Total: \$ _____

**ATTACHMENT NO. 11
SMALL BUSINESS DEVELOPMENT QUESTIONNAIRE
HCC Project No.: 13-13**

Note: Bidders/Proposers/Offerors are to complete this form along with a **copy** of the Contractor and Subcontractor/Supplier Participation Form and return it in a separate envelope with your proposal.

FIRM NAME: _____

FIRM ADDRESS: _____

TELEPHONE: _____

FAX NUMBER: _____

EMAIL ADDRESS: _____

CONTACT PERSON'S NAME AND PHONE NO. _____

SIGNATURE OF FIRM'S AUTHORIZED OFFICIAL: _____

NAME AND TITLE (Type or Print): _____

COMPANY MAJORITY OWNERSHIP (Check one in each column)

<u>ETHNICITY</u>	<u>GENDER</u>	<u>LOCATION</u>
____ African American (AA)	____ Male	____ Houston (H)
____ Asian Pacific American (APA)	____ Female	____ Texas (T)
____ Caucasian (C)		____ Out of State (O)
____ Hispanic American (HA)		Specify State _____
____ Native American (NA)		____ Public Owned (PO)
____ Other (O) Specify _____		

BUSINESS CLASSIFICATION

____ DBE Disadvantaged Business Enterprise	____ SB Small Business
____ WBE Women Owned Business Enterprise	____ MBE Minority Business Enterprise
____ HUB Historically Underutilized Business	____ Other: _____

Please provide information regarding certifying agency (if any)

Name of Agency	Certificate Number	Expiration Date
_____	_____	_____
_____	_____	_____
_____	_____	_____