



THE TEXAS A&M UNIVERSITY SYSTEM

Office of HUB & Procurement Programs

REQUEST FOR PROPOSAL
RFP NUMBER: RFP01 SOC-18-026
Security Operations Center Assessment

PROPOSAL MUST BE RECEIVED BEFORE:
2:00 P.M. Central Time (CDT) on October 30, 2018

EMAIL RFP RESPONSES TO:
SOPROCUREMENT@TAMUS.EDU
SUBJECT LINE: RFP01 SOC-18-026
Attn: Jeff Zimmermann

NOTE: PROPOSAL must be time stamped at **The Texas A&M University System Office** of Procurement and HUB Programs before the hour and date specified for receipt of proposal.

Pursuant to the Provisions of Texas Government Code Title 10, Chapter 2156.121-2156.127, sealed proposals will be received until the date and time established for receipt. After the due date and time, only the names of Respondents will be made public.

REFER INQUIRIES TO:

Jeff Zimmermann, Director
The Texas A&M University System
Procurement & HUB Programs
email: soprocurement@tamus.edu

All proposals shall become the property of the State of Texas upon receipt. Proposals may be subject to public review after contracts have been executed. Refer to Section 4.14 for more information regarding public information.

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SECTION 1 – INTRODUCTION

1.1 Introduction

The Texas A&M University System (A&M System) is soliciting proposals to select a single RESPONDENT to provide services for assessing (Assessment) the maturity of the A&M System Security Operations Center (SOC) and to ensure that the SOC is following System, State of Texas and Federal regulations, policies and standards that have been previously set. This will include creating recommendations and gap analysis to the current SOC implementation and operations. It is the intent of A&M System to establish an agreement with a qualified company for the requirements listed.

Proposals shall be in accordance with the terms, conditions, and requirements set forth in this Request for Proposal (RFP).

1.2 Background

The Texas A&M University System is one of the largest systems of higher education in the nation, with a budget of \$4.55 billion. Through a statewide network of eleven universities and seven state agencies, the A&M System educates more than 148,000 students and makes more than 22 million additional educational contacts through service and outreach programs each year. System-wide, research and development expenditures exceeded \$972 million in FY 2016 and helped drive the state's economy. More information about The Texas A&M University System and all of its members can be found at <http://www.tamus.edu/about/>.

The A&M System and its members have chosen a multi-tiered strategy for dealing with cybersecurity threats and use a number of tools to accomplish that goal. The SOC is currently monitoring member networks in order to detect cyber-attacks and other malicious activity. This monitoring service is made possible by sensors placed on each network. These sensors are monitoring network traffic in order to identify potential threats moving throughout the network.

The A&M System networks are very large and complex, representing a multivariate series of environments. SOC analysts are faced with triaging and analyzing thousands of alarms every day. The SOC's toolsets have the ability to detect advanced attacks and can perform behavioral detection on the individual network traffic communications, but the sensors only send suspect information to the analysts.

The SOC also utilizes an advanced endpoint detection toolset to allow for further investigations at the host level. This toolset helps the security analysts to hunt for advanced threats as they move through the environment.

The latest toolset that the SOC is utilizing allows for the monitoring and active blocking of malicious DNS calls. This allows the SOC to actively prevent and block malware. Monitoring is only one facet of an information security program. The generic model the SOC uses includes the following:



Aside from the monitoring component of the SOC, there are several other centralized resources that are provided to the members. Within the SOC catalog of services, items such as security advisement, vulnerability scanning, toolset evaluation, log aggregation and contract centralization are all provided to SOC members.

The SOC is dedicated to providing an efficient and effective monitoring service while still respecting the privacy of the A&M System faculty, students, and staff. To confirm and, as needed, improve these capabilities the A&M System is seeking to engage an outside vendor.

1.3 **Scope**

The purpose of this RFP is to solicit proposals for the selected RESPONDENT to provide an Assessment of the SOC per the scope and requirements stated in Section 3.

The intent of this RFP is to allow all interested / prospective firms to provide a sufficient amount of data that will enable the A&M System to assess the proposal and qualifications of the RESPONDENT. To this end, each RESPONDENT shall furnish, as a part of the proposal, a complete general description of experience in their respective fields.

By submitting responses, each RESPONDENT certifies that it understands this RFP and has full knowledge of the scope and nature of the opportunity described herein. Each RESPONDENT also certifies that it understands that all costs relating to preparing and responding to this RFP will be the sole responsibility of the RESPONDENT.

RESPONDENT is to independently investigate and verify, at its own discretion, all information acquired from the A&M System or from any other source that is relied on by RESPONDENT in the preparation of its proposal.

1.4 **Calendar Of Events**

| | |
|---|------------------|
| Issue RFP | October 9, 2018 |
| Deadline to Submit Questions | October 18, 2018 |
| Release of Addendum (if applicable) | October 22, 2018 |

Deadline for Receiving Proposals..... October 30, 2018 by 2:00 PM CDT
Interview Top Proposal Teams (A&M System's Option)TBD
Anticipated Award Date.....TBD

The A&M System will make every effort to adhere to the above schedule. The schedule, however, is subject to change. This may be in the event that further clarification of responses or terms of contract are in the best interest of the A&M System and/or in the event the A&M System requires more time to assure that the selection of the RESPONDENT is in accordance with its policies, rules and regulations, as well as actual timing needs.

1.5 Priorities/Expectations

RESPONDENTS should note the following priorities/expectations with regard to the possibility of the A&M System establishing a contractual relationship with any RESPONDENT:

- (a) *Ensuring a Quality Level of Service.* This priority encompasses the quality of the level of service that can be provided to the A&M System in a timely, cost effective manner. The A&M System is seeking a RESPONDENT that will ensure the provision of such quality in its delivery of service through proven techniques and established metrics.
- (b) *Level of Experience and Expertise.* RESPONDENT must demonstrate its capabilities in providing the utmost level of experience and expertise to ensure a successful project as determined by the A&M System.
- (c) *Delivery Efficiency as it Relates to Total Costs.* RESPONDENT must demonstrate its ability to deliver the required solution in a cost-effective and timely manner while not sacrificing the quality required by a Tier I research System.

1.6 Performance Period

The A&M System expects to initiate the scope of this RFP upon execution of an agreement, with a 3 to 4 month timeline to deliver an assessment of the current SOC. The initial term of the agreement shall be from date of execution through successful completion of the assessment. TAMUS reserves the right to negotiate an extension beyond the current scope of the assessment, if the need arises. Any extension must be agreed to in writing by both parties.

SECTION 2 - INSTRUCTION FOR RESPONDENTS

This RFP outlines requirements as specified in Section 3. Proposals are to be in accordance with the outline and specifications contained herein, are to remain in effect a minimum of 120 days from the date of submission, and may be subject to further extensions as negotiated. A statement to this effect should be contained in the RESPONDENT's cover letter.

This RFP contains specific requests for information. RESPONDENTS are encouraged to examine all sections of this RFP carefully, in that the degree of interrelationship between sections is critical. In responding to this RFP, RESPONDENTS are encouraged to provide any additional information they believe relevant.

Clause headings appearing in this RFP have been inserted for convenience and ready reference. They do not purport to define, limit or extend the scope or intent of the respective clauses. Whenever the terms "must", "shall", "will", "is required", or "are required" are used in the RFP, the subject being referred to is to be a required feature of this RFP and critical to the resulting submittal.

In those cases where mandatory requirements are stated, material failure to meet those requirements could result in disqualification of the RESPONDENT's response. Any deviation or exception from RFP specifications must be clearly identified by the RESPONDENT in its submittal.

Expenses for developing and presenting proposals shall be the entire responsibility of the RESPONDENT and shall not be chargeable to the A&M System. All supporting documentation submitted with this submittal will become the property of the A&M System unless otherwise requested by the RESPONDENT, in writing, at the time of submission, and agreed to, in writing, by the A&M System.

All technical questions concerning this RFP are to be directed, in writing, to Jeff Zimmermann at jzimmermann@tamus.edu. RESPONDENT may not contact other individuals at the A&M System to discuss any aspect of this RFP, unless expressly authorized by the A&M System Procurement & HUB Program office to do so. Questions regarding the RFP, including questions for more data or information beyond that included in this RFP and attachment, should be presented in writing. **Deadline for submission of questions is October 18, 2018.** The A&M System will publish all questions with responses according to the schedule in Section 1.4.

2.1 Examination of the Request for Proposal

Before submitting, each RESPONDENT will be held to have examined the A&M System requirements outlined in Section 3, and satisfied itself as to the existing conditions under which it will be obligated to perform in accordance with specifications of this RFP.

No claim for additional compensation will be allowed due to unfamiliarity with the specifications and/or existing conditions. It shall be understood that the RESPONDENT has full knowledge of all the existing and/or revised conditions and accepts them "as is."

2.2 Proposal Submission Instructions

All proposals must be received by the A&M System, no later than **2:00 p.m. CDT, October 30, 2018** electronically via email to soprocurement@tamus.edu with the subject line of "**RFP01 SOC-18-026 – SOC Assessment**". The sent time indicated within the A&M System email server shall be used for the receipt and acceptance of the response. Late proposals will not be considered under any circumstances.

Submittal Format: Electronic file shall be saved, as a single file, in Adobe Portable Document Format (PDF) and named “**company name – RFP01 SOC-18-026**”.

2.3 Proposal Components

The following documents are to be returned as part of your proposal response. Failure to include these documents will be basis for response disqualification.

- ✓ Signed Execution of Offer (Exhibit A)
- ✓ Non-Collusion Affidavit (Exhibit B) signed and notarized
- ✓ Technical Proposal (Section 3.11)
- ✓ Company References (Section 3.12)
- ✓ HUB Subcontracting Plan (Section 3.13)

RESPONDENT shall provide one (1) electronic copy of the complete RFP response as specified above.

NOTE: The signature in the Execution of Offer within the electronic copy shall serve as the official signature of record.

2.4 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 posted to the Electronic State Business Daily (ESBD).

<http://www.txsmartbuy.com/sp> (Input Agency Number “710” and select “Posted” for the Status)

All such addenda/amendments issued by the A&M System prior to the time that proposals are received shall be considered part of the RFP, and the RESPONDENT shall consider and acknowledge receipt of such in their proposal. Only those A&M System replied to inquiries which are made by formal written addenda shall be binding. Oral and other interpretations or clarification will be without legal effect.

2.5 Selection Process

The evaluation of the proposals shall be based on the proposal that the A&M System deems to represent the **best value** to the A&M System. The RFP provides the information necessary to prepare and submit proposals for consideration by the A&M System. All properly submitted proposals will be reviewed, evaluated, and ranked by the A&M System. The A&M System will rank the RESPONDENTS in the order that they provide the overall “best value” to the A&M System based on an evaluation of the responses to the RFP. The A&M System may interview one or more of the top ranked RESPONDENTS as part of the evaluation process.

After proposal tabulation and such investigation of RESPONDENTS as the A&M System deems appropriate, an award may be made to the vendor whose proposal it judges to represent the best value to the A&M System. Final determination for award of the contract will be made on the overall best value to the A&M System. The A&M System reserves the right to reject any or all proposals.

By submitting its proposal in response to this RFP, RESPONDENT accepts the evaluation process and acknowledges and accepts that determination of the “best value” firm will require subjective judgments by the A&M System.

The selection of the successful proposal may be made by the A&M System on the basis of the

proposals initially submitted, without discussion, clarification, or modification. In the alternative, selection of the successful proposal may be made by the A&M System based on negotiation with any of the RESPONDENTS. The A&M System shall not disclose any information derived from the proposals submitted by competing RESPONDENTS in conducting such discussions.

All proposals must be complete and convey all of the information requested to be considered responsive. If a proposal fails to conform to the essential requirements of the RFP, the A&M System alone will determine whether the variance is significant enough to consider the proposal susceptible to being made acceptable, and therefore a candidate for further consideration, or not susceptible and therefore not considered for award.

The A&M System will perform reference checks and seek further information, as needed from all Respondents whose proposals the System, at its discretion, considers viable, based on the initial evaluation and scoring. The Proposer's response to this requirement officially authorizes the A&M System to contact these organizations to discuss the services and other considerations which the Proposer has provided to such organizations and authorizes the organizations to provide such information to the A&M System and Proposer shall and hereby does release and hold harmless the A&M System, the state of Texas, and the organization of any and all liability whatsoever, in connection with providing and receiving all such information. Any negative responses received from reference checks may be grounds for disqualification of the proposal.

The A&M System reserves the right to reject any or all proposals and re-solicit for new proposals, or to reject any or all proposals and temporarily or permanently abandon the project. The A&M System makes no representations, written or oral, that it will enter into any form of agreement with any respondent to this RFP for any project and no such representation is intended or should be construed by the issuance of this RFP.

SECTION 3 – SCOPE & REQUIREMENTS

3.1 Introduction

- 3.1.1 The RESPONDENT shall provide services for assessing the maturity of the SOC and to ensure that the SOC is following System, State of Texas and Federal regulations, policies and standards that have been previously set. This will include creating recommendations and gap analysis to the current SOC implementation and operations. It is the intent of A&M System to establish an agreement with a qualified company for the requirements listed.
- 3.1.2 Performance under an agreement pursuant to this RFP is anticipated to commence upon execution of an agreement. Time is of the essence in the deployment of the solution and timeframe for implementation will be included in the evaluation criteria.

3.2 Activities

The scope of this project will include the following activities in assessing the SOC:

- Perform a non-attest assessment of the SOC against existing A&M System, State of Texas and Federal regulations, policies and standards, evaluating their documentation on processes, procedures and controls as well as evidenced controls. The baseline for the assessment is defined by compliance with internal A&M System regulations, policies and standards and those enumerated within Texas Administrative Code, Title 1, Part 10, Chapter 202.
- The results of the assessment should be presented both orally and in writing, with the scope of the assessment, findings and recommendations.
- Establish a definition of the SOC target maturity state per maturity models and Federal, State, and A&M System regulations and policies
- Assess current state of the SOC, compiling an SOC effectiveness review against defined criteria
- Deliver an SOC Gap Analysis between current and mature states
- Develop and present a roadmap toward maturity

3.3 Project Goals

The goals of the project are to:

- Assess the SOC's ability to identify, analyze, and respond to incidents
- Determine SOC maturity targets across defined capabilities
 - Review compliance with Federal, State, and A&M System regulations and policies
 - Assess the structure and maturity of the SOC's governance model
 - Evaluate SOC's capabilities, technologies and implementation
- Understand gaps within the current SOC
 - Conduct an efficiency and effectiveness review
 - Attain a high-level remediation action plan outlining applicable corrective actions
 - Maturity assessment comparing the maturity of current state vs. target state

- Receive a roadmap toward maturity
 - Get recommendations on security technologies
 - Improving the governance model
 - Communication plans for prioritized remediation activities

3.4 Requested Services and Responsibilities

The primary goal of this effort is to determine the SOC's ability to identify, analyze, and respond to incidents, i.e. determine its efficiency and effectiveness, as well as its compliance with Federal, State, and A&M System regulations. As with any project of this magnitude, the SOC will rely upon the RESPONDENT for the following critical needs:

- Performance of a non-attest assessment against existing A&M System and State of Texas (Texas Administrative Code, Title 1, Part 10, Chapter 202) regulations, policies, standards and controls
- Ability to assess maturity of a SOC as it pertains to people, processes, and technologies
- Understanding of leading practices in order to determine gaps and provide recommendations for future state
- Expertise in SOC operations and large scale incident handling
- An established and refined version of a SOC Capability Model
- Established library of templates and process available for reference / recommendation to A&M System

3.5 Required Services

The RESPONDENT will perform all responsibilities defined in this RFP throughout the term of the agreement.

3.5.1 Establish Definition of Target State

The successful RESPONDENT will be responsible for defining and providing the target state definition. This could involve establishing target maturity level across capabilities, as well as defining the target governance model, target conceptual technology architecture, and establishing key performance indicators (KPI's). Federal, State, and A&M System regulations and policies will also be used in creating this target state. A&M System will drive this effort and ensure the needed information is present.

3.5.2 Assess Current State of the SOC Effectiveness

The successful RESPONDENT will be responsible for conducting a Maturity Assessment of the SOC in its current state, as well as compliance review against Federal, State, and A&M regulations. This might include reviewing security documentation, such as network architecture documentation, and technology standards, as well as assessing current threat response documentation. Understanding of existing security controls will in all likelihood translate to conducting interviews with subject matter experts and stakeholders. The RESPONDENT is expected to be an expert in assessing SOC maturity and should have well defined processes for such an assessment.

3.5.3 Deliver SOC Gap Analysis

The successful RESPONDENT will be responsible for performing a gap assessment. This will entail identifying gaps between current state and target state to identify potential improvement opportunities in people, process, technology, and governance. The RESPONDENT will also compare current cyber security capabilities and maturity against industry leading practices. It is expected that the successful RESPONDENT have sample templates for such an analysis to refine with Texas A&M's input. Likewise, the successful RESPONDENT will need to work with appropriate stakeholders to refine and validate identified gaps.

3.5.4 Develop a Roadmap

The successful RESPONDENT will be responsible for developing a roadmap toward an optimized SOC. This may entail the following activities:

- Remediation Planning
- Identifying budgetary constraints
- Developing corrective actions to mitigate identified gaps
- Prioritizing projects/initiatives to guide remediation strategy.
- Generating communication plans for prioritized activities
- Developing an executive presentation

3.6 Major Tasks and Deliverables

During the course of the agreement, the RESPONDENT must provide, at minimum, the services and corresponding deliverables listed in Table 1 to include the project management and administrative responsibilities required for delivery.

The RESPONDENT shall provide deliverables to the designated point of contact from the A&M System, as required, in the agreed upon format.

| 1. Develop, Maintain and Execute the Project Plan | |
|--|----------|
| TASK/DELIVERABLE(S) | DUE DATE |
| • Comprehensive Project Plan | |
| • Project Plan Updates | |
| 2. Perform Initial, Periodic and Final Project Assessments | |
| TASK/DELIVERABLE(S) | DUE DATE |
| • Periodic Project Status Reports | |

| 3. Report on Status | |
|--|--|
| • Executive Status Reports | |
| • Ad Hoc Reports | |
| 4. Additional (Critical) Deliverables | |
| • Target State Requirements (work product) – including functional and nonfunctional business requirements, applicable compliance regulations including State, Federal, and A&M System | |
| • Current State Assessment Report – including SOC capabilities and maturity model analysis, compliance determination against Federal, State, and A&M System regulations, policies and standards will be presented, and effectiveness of the SOC will be determined | |
| • Gap Assessment Report – including maturity assessment of current vs. target state requirements, noting where needed improvements in effectiveness of the SOC and additional measures for reaching compliance to Federal, State, and A&M System regulations, policies and standards are needed | |
| • Roadmap to Maturity - summary of findings from above efforts and a clear, prioritized path forward | |

3.7 Develop, Execute and Maintain Project Plan

The RESPONDENT must draft a Project Plan to describe its approach for assuring quality of its work that will meet, at a minimum, the task and deliverables defined within this RFP. The RESPONDENT shall make recommendations within the Project Plan on the approach for assuring quality based on their experience, high risks areas, and other considerations. A high-level Project Plan must be included in the response to this RFP. The high-level Project Plan must describe the proposed methodologies for managing quality across the key domains required to execute the full program life cycle from planning to transition to operations, and identify metrics for tracking project performance against milestones.

After execution of the resultant agreement, the RESPONDENT must provide a comprehensive Project Plan, based on the high-level Project Plan.

Key Activities:

- Draft a comprehensive Project Plan
- Review the Project Plan with A&M System Cybersecurity Leadership Team

- Execute the Project Plan
- Periodically update the Project

Plan Deliverables:

- Comprehensive Project Plan
- Project Plan Updates

3.8 Identify Project Risks and Issues

The RESPONDENT must anticipate and identify project risks and issues. Through participating in targeted meetings and other activities to provide the services identified within this RFP, the RESPONDENT shall perform deliverable based reviews focused on quality and risks.

Key Activities:

- Identify risks and issue on a deliverable basis
 - Propose a recommended course of action for those risks or issues of greatest importance
- Deliverables:
- Provide a Risk and Issues Log (and/or inputs to the Project Risk and Issues Log)
 - Recommended Risk/Issue Responses (e.g., for risks accept, transfer, mitigate, avoid) and Action Plans

3.9 Deliverable Evaluation and Reporting

The RESPONDENT must provide a deliverables-based status report with the following information:

- Deliverable Review
- Summary of the current status (e.g., schedule, scope, budget, risks, issues)
- Status of existing/risks issues and identification of new risk/issues
- Other relevant topics
- Prepare and distribute additional reports to the System Chief Information Security Officer or other stakeholders upon request to support updates.

Key Activities:

- Provide periodic executive status reports on project reviews and recommendations regarding risk anticipation, prevention and mitigation
- Develop and deliver ad hoc reports on project efforts upon request

Deliverables:

- Deliverable based Status Reports
- Ad Hoc Reports

3.10 Other Requirements

3.10.1 Staffing Requirements

In determining proposed staff plans for this Project, the RESPONDENT will need to take in account the planned strategy defined earlier.

3.10.2 Specific Skills

The RESPONDENT will propose an individual(s) with the most appropriate experience and

expertise to address the requirements for the RFP.

Proposals must include resumes of the proposed staff. The resumes will show employment history for all relevant and related experience, and all education and degrees (including specific dates, names of employers, and education institutions).

3.10.3 Locations

The Services required under this RFP will be primarily performed by the successful RESPONDENT at an A&M System designated facility located in College Station, Texas.

3.10.4 Hours of Operation

A&M System standard hours are 8:00 a.m. – 5:00 p.m. Central Time Zone (CDT), Monday through Friday. A&M System anticipates that Services will be provided by successful RESPONDENT will be conducted during A&M System standard hours of operation, with occasional work after-hours, weekends and holidays to meet critical deadlines.

3.10.5 Workspace and Parking

A&M System shall provide workspace for the successful RESPONDENT's personnel to include utilization of A&M System printers, copiers, phones, cubicles, network, and internet access. A&M System will not provide computer equipment for use by the successful RESPONDENT's personnel.

A&M System currently has parking spaces for contract workers assigned to the location specified in this RFP, however, the continuation of these parking spaces cannot be guaranteed over the life of the agreement resulting from the RFP. If parking spaces become unavailable, the successful RESPONDENT's staff must find alternative parking arrangements during their assignments under any resulting agreement from this RFP. A&M System shall not reimburse the successful RESPONDENT or its employees or contract worker(s) for parking or similar expenses under any circumstances. Parking spaces are under the direct control of Texas A&M University Parking and Transportation Services and RESPONDENT's personnel must abide by applicable parking regulations.

If any staff from the successful RESPONDENT's team requires reasonable accommodations for a disability or work limitation, please note such in the appropriate section of the proposal response.

3.10.6 Substitution and Removal of Personnel

The RESPONDENT shall be responsible for providing all personnel and resources necessary to perform the services described in this RFP, unless specifically stated as the responsibility of A&M System, or other service provider (e.g., acceptable specialist subcontractor). Throughout the term of the agreement resulting from this RFP, the successful RESPONDENT shall:

- Provide qualified personnel to perform all Services required in this RFP with the approval of A&M System cybersecurity leadership;
- Promptly remove and replace personnel at the request of A&M System;
- Provide A&M System written notice of any plan to add, remove and replace personnel; and

In the event the successful RESPONDENT needs to add or substitute personnel during a term of the resulting Agreement, the successful RESPONDENT shall provide A&M System

cybersecurity leadership with several qualified candidates as potential replacements. Detailed resumes of proposed personnel replacements must be provided to A&M System cybersecurity leadership within fifteen (15) calendar days prior to either the proposed start date of any additional personnel or, in the event of substituted personnel, the last working day of the replaced individual. A&M System shall have the right to conduct an interview of all such personnel. A&M System cybersecurity leadership shall provide the successful RESPONDENT with written notice of approval or rejection of proposed personnel within three (3) business days of receipt of the resume packet. A&M System cybersecurity leadership shall have the right to reject assignment of any of successful RESPONDENT's personnel. Within five (5) calendar days of A&M System's written notification of rejection, the successful RESPONDENT shall provide A&M System with additional resumes of proposed individuals for review. This process shall be repeated until A&M System cybersecurity leadership provides written notice to the successful RESPONDENT of the individual selected. The approved replacement individual must be on-site at A&M System within fifteen (15) calendar days of selection notice.

The A&M System cybersecurity leadership, in its reasonable discretion, may request that the successful RESPONDENT remove a particular individual who is providing Services under the resulting agreement if A&M System Cybersecurity leadership reasonably believes that such individual is not providing the services as described within this RFP and the successful RESPONDENT, after notice, has been unable to resolve performance issues relative to such individual. The successful RESPONDENT shall provide A&M System cybersecurity leadership with the resume of qualified replacement individuals on or before the fifteenth (15th) calendar day following the last working day of the removed individual. A&M System Cybersecurity leadership shall have the right to conduct an interview of all such personnel. A&M System cybersecurity leadership shall provide the successful RESPONDENT with written notice of approval or rejection of proposed personnel within three (3) business days of receipt of the resume packet. A&M System cybersecurity leadership shall have the right to reject assignment of any of the successful RESPONDENT's personnel. Within five (5) calendar days of A&M System's written notification of rejection, the successful RESPONDENT shall provide A&M System cybersecurity leadership with additional resumes of proposed individuals for review. This process shall be repeated until A&M System provides written notice to the successful RESPONDENT of the individual selected. The approved replacement individual must be on-site at the A&M System within fifteen (15) calendar days of selection notice.

3.11 Technical Proposal

RESPONDENTS shall address the following items in the proposal response:

1. Highlight the capabilities and experience of your company as it relates to the scope of this RFP.
2. A demonstrated ability to deliver the scope per Section 3.
3. Provide information regarding the strength of the proposed team assigned to the project to include resumes.
4. Provide a timeline for completion of the scope as defined in Section 3. This may be stated in phases, deliverables or other categories to better define the expectation for progress made throughout the term of the project.
5. Cost Proposal to include:

- Proposed hourly rates to accomplish the scope listed in Section 3.
- Any additional fees such as incidentals or travel not included in hourly rates
- Total aggregate cost for providing the services outlined in Section 3.

3.12 Company References

RESPONDENTS shall provide at least three (3) references, preferably one from an institution of higher education with a similar project scope. Each reference shall include at least the following:

- Company name
- Contact person name and title
- Contact phone number and email address
- General description of the completed scope and services provided

Note: References provided may be from experience for a member of the proposed team and not necessarily from the company who is responding. For all references make it clear who on your team was responsible for each one provided.

3.13 HUB Subcontracting Plan

It is the policy of the state of Texas and the A&M System to encourage the use of Historically Underutilized Businesses (HUBs) in our prime contracts, subcontractors, and purchasing transactions. The goal of the HUB program is to promote equal access and equal opportunity in A&M System contracting and purchasing.

Based on the scope of this RFP, RESPONDENTS must determine if they can perform the entire scope with their own resources or if it will be necessary to subcontract any portion of the scope. Subcontracting opportunities are defined as those opportunities contracted with a vendor to provide services, supply commodities, or contribute toward completing work for a governmental entity.

Subcontracting opportunities are possible for this RFP and therefore a HUB Subcontracting Plan (HSP) is **required**. Failure to submit a comprehensive, acceptable HSP will be considered a material failure to comply with the requirements of the RFP and will result in rejection of the submittal. The HUB Subcontracting Plan shall be submitted **with** the RFP response by the date and time specified.

RESPONDENTS shall complete the HSP form attached or as found on the following site; <https://www.tamus.edu/business/hub-procurement/hub-programs-3/system-offices-hub-program/> and submit it with the RFP response. If there are pre-existing agreements in place with companies who will be hired as subcontractors, the RESPONDENT will show those vendors as subcontractors on the HSP and provide an explanation as to why solicitations were not done, e.g. contractual requirements. If no pre-existing agreements with companies who will be hired as subcontractors exist, then the RESPONDENT will be expected to make a good faith effort according to the HSP instructions. Don't forget to include any backup documentation and sign the HSP form.

If the Respondent is completing as **self-performing** a statement which attests that the respondent shall perform the subcontracting opportunities identified by the agency, with its own employees

and resources is required. The sections in the HSP form to be completed for self-performing are Section 1, 2a (check No), 3 with your statement included in the open text field, and 4.

For information regarding the HUB Subcontracting Plan requirements, please contact Jeff Zimmermann from the A&M System's HUB Program at (979) 458-6410 or jzimmermann@tamus.edu for assistance in determining available HUB subcontractors and proper completion of the HSP. Respondents have the opportunity to submit a draft of the HSP prior to submittal of their response to the RFP for review by Mr. Zimmermann.

SECTION 4 - GENERAL TERMS AND CONDITIONS

4.1 TERMS AND CONDITIONS

The A&M System reserves the right to accept, reject, modify, and/or negotiate any and all proposals received in conjunction with this RFP. It reserves the right to waive any defect or informality in the proposals on the basis of what it considers to be in its best interests. Any submittal which the A&M System determines to be incomplete, conditional, obscure, or which has irregularities of any kind, may be rejected. The A&M System reserves the right to award to the firm, or firms, which in our sole judgment, will best serve our long-term interest.

This RFP in no manner obligates the A&M System to the eventual purchase of any products or services described, implied, or which may be proposed, until confirmed by written agreement, and may be terminated by the A&M System without penalty or obligation at any time prior to the signing of an agreement.

4.2 GOVERNING LAW

The validity of any resultant agreement and all matters pertaining to any resultant agreement, including but not limited to, matters of performance, non-performance, breach, remedies, procedures, rights, duties, and interpretation or construction, shall be governed and determined by the Constitution and the laws of the State of Texas.

4.3 NON-DISCRIMINATION

The parties agree that in the performance of any contract they shall not discriminate in any manner on the basis of race, color, national origin, age, religion, sex, genetic information, veteran status, sexual orientation, gender identity, or disability protected by law. Such action shall include, but is not limited to the following: employment, upgrading, demotion, transfer, recruitment or recruitment advertising; layoff or termination; rates of pay or other forms of compensation. By submitting a submittal, RESPONDENTS certify that they will conform to the provisions of the federal Civil Rights Act of 1964, as amended.

4.4 IMMIGRATION REFORM AND CONTROL ACT OF 1986

By submitting a proposal, the RESPONDENT certifies it does not and will not, during the performance of this contract, employ illegal alien workers or otherwise violate the provisions of the federal Immigration Reform and Control Act of 1986, as amended.

4.5 DEBARMENT STATUS

By submitting a statement of qualification, RESPONDENT certifies it is not currently debarred from submitting proposals on contracts nor is it an agent of any person or entity that is currently debarred from submitting bids on contracts.

4.6 INDEMNIFICATION AND HOLD HARMLESS

The RESPONDENT shall defend, indemnify and hold harmless the A&M System, its officers, employees and agents, against any and all liability of whatever nature which may arise directly or indirectly by reason of the RESPONDENT's performance under the resultant agreement.

4.7 RESPONDENT LIABILITY

The RESPONDENT will be liable for any associated costs of repairs for damage to buildings or other A&M System property caused by the negligence of the RESPONDENT's employees.

4.8 CIVIL RIGHTS REQUIREMENTS

All RESPONDENTS must comply with applicable civil rights laws.

4.9 NON-COLLUSION CLAUSE

The Non-Collusion Affidavit found in **EXHIBIT B** must be executed as a part of the RESPONDENT's submittal.

4.10 ENTIRE AGREEMENT

The resultant agreement, when fully executed, shall supersede any and all prior and existing agreements, either oral or in writing, and will contain all the covenants and agreements between the parties with respect to the subject matter of the agreement. Any amendment or modification to the agreement must be in writing and signed by the parties hereto.

4.11 SEVERABILITY

It is understood and agreed that if any part, term, or provision of the resultant agreement is by the courts held to be illegal or in conflict with any law of the State of Texas, the validity of the remaining portions or provisions shall be construed and enforced as if the agreement did not contain the particular part, term, or provision held to be invalid.

4.12 PUBLICITY

RESPONDENTS must refrain from giving any reference to this project, whether in the form of press releases, brochures, photographic coverage, or verbal announcements, without specific written approval from the A&M System.

Information provided to RESPONDENT by the A&M System, including but not limited to information from the members, officers, agents, or employees of the A&M System or any of its members, and information provided to RESPONDENT by members of the public or any other third party shall belong to the A&M System.

4.13 INDEPENDENT CONTRACTOR

The successful RESPONDENT agrees that in all respects its relationship with the A&M System will be that of an independent contractor, and that it will not act or represent that it is acting as an agent of the A&M System or incur any obligation on the part of the A&M System without written authority of the A&M System. As an independent contractor, RESPONDENT will be solely responsible for determining the means and methods for performing the services described. RESPONDENT shall observe and abide by all applicable laws and regulations, policies and procedures, including but not limited to, those of the A&M System relative to conduct on its premises.

4.14 PUBLIC INFORMATION ACT

(a) RESPONDENT acknowledges that A&M System is obligated to strictly comply with the Public

Information Act, Chapter 552, *Texas Government Code*, in responding to any request for public information pertaining to this RFP, as well as any other disclosure of information required by applicable Texas law.

- (b) Upon an A&M System written request, RESPONDENT will provide specified public information exchanged or created under this RFP that is not otherwise excepted from disclosure under chapter 552, *Texas Government Code*, to A&M System in a non-proprietary format acceptable to A&M System. As used in this provision, “public information” has the meaning assigned Section 552.002, *Texas Government Code*, but only includes information to which A&M System has a right of access.
- (c) RESPONDENT acknowledges that A&M System may be required to post a copy of the fully executed Agreement(s) as a result of this RFP on its Internet website in compliance with Section 2261.253(a)(1), *Texas Government Code*.

4.15 OWNERSHIP OF DOCUMENTS

Upon completion or termination of any resultant agreement, all documents prepared by the RESPONDENT for the benefit of the A&M System shall become the property of the A&M System. At the A&M System’ option, such documents will be delivered to the System Procurement Office. The A&M System acknowledges that the documents are prepared only for the contracted services specified. Prior to completion of the contracted services, the A&M System shall have a recognized proprietary interest in the work product of the RESPONDENT.

4.16 INSURANCE

The RESPONDENT shall obtain and maintain, for the duration of the resultant agreement or longer, the minimum insurance coverage set forth below. With the exception of Professional Liability (E&O), all coverage shall be written on an occurrence basis. All coverage shall be underwritten by companies authorized to do business in the State of Texas or eligible surplus lines insurers operating in accordance with the Texas Insurance Code and have a financial strength rating of A- or better and a financial strength rating of VII or better as measured by A.M. Best Company or otherwise acceptable to the A&M System. By requiring such minimum insurance, the A&M System shall not be deemed or construed to have assessed the risk that may be applicable to the RESPONDENT. RESPONDENT shall assess its own risks and if it deems appropriate and/or prudent, maintain higher limits and/or broader coverage. RESPONDENT is not relieved of any liability or other obligations assumed pursuant to the agreement by reason of its failure to obtain or maintain insurance in sufficient amounts, duration, or types. No policy will be canceled without unconditional written notice to the A&M System at least ten days before the effective date of the cancellation.

Coverage

Limit

A. Worker’s Compensation

Statutory Benefits (Coverage A)
Employers Liability (Coverage B)

Statutory
\$1,000,000 Each Accident
\$1,000,000 Disease/Employee
\$1,000,000 Disease/Policy Limit

Workers’ Compensation policy must include under Item 3.A. on the information page of the workers’ compensation policy the state in which work is to be performed for the A&M System. Workers’ compensation insurance is required, and no “alternative” forms of

insurance will be permitted

B. Automobile Liability

Business Auto Liability Insurance covering all owned, non-owned or hired automobiles, with limits of not less than \$1,000,000 Single Limit of liability per accident for Bodily Injury and Property Damage;

C. Commercial General Liability

| | |
|---------------------------------|-------------|
| Each Occurrence Limit | \$1,000,000 |
| General Aggregate Limit | \$2,000,000 |
| Products / Completed Operations | \$1,000,000 |
| Personal / Advertising Injury | \$1,000,000 |
| Damage to rented Premises | \$300,000 |
| Medical Payments | \$5,000 |

The required commercial general liability policy will be issued on a form that insures RESPONDENT or its subcontractors' liability for bodily injury (including death), property damage, personal and advertising injury assumed under the terms of the agreement.

- D. RESPONDENT will deliver to the A&M System: Evidence of insurance on a Texas Department of Insurance approved certificate form verifying the existence and actual limits of all insurance after the execution and delivery of the agreement and prior to the performance of any services by RESPONDENT under this Agreement. Additional evidence of insurance will be provided on a Texas Department of Insurance approved certificate form verifying the continued existence of all required insurance no later than thirty (30) days after each annual insurance policy renewal.

All insurance policies, with the exception of worker's compensation, employer's liability and professional liability will be endorsed and name The Board of Regents for and on behalf of The Texas A&M University System and The Texas A&M University System as Additional Insureds up to the actual liability limits of the policies maintained by RESPONDENT. Commercial General Liability and Business Auto Liability will be endorsed to provide primary and non-contributory coverage. The Commercial General Liability Additional Insured endorsement will include on-going and completed operations and will be submitted with the Certificates of Insurance.

All insurance policies will be endorsed to provide a waiver of subrogation in favor of The Board of Regents of The Texas A&M University System and The Texas A&M University System. No policy will be canceled without unconditional written notice to the A&M System at least ten days before the effective date of the cancellation. **All insurance policies** will be endorsed to require the insurance carrier providing coverage to send notice to the A&M System ten (10) days prior to the effective date of cancellation, material change, or non-renewal relating to any insurance policy required in this Section.

Any deductible or self-insured retention must be declared to and approved by the A&M System prior to the performance of any services by RESPONDENT under the agreement. RESPONDENT is responsible to pay any deductible or self-insured retention for any loss. All deductibles and self-insured retentions will be shown on the Certificates of Insurance.

Certificates of Insurance and Additional Insured Endorsements as required by the agreement will be mailed, faxed, or emailed to the following the A&M System contact:

The Texas A&M University System
Attn: Jeff Zimmermann
301 Tarrow Street, Rm 361
College Station, TX 77840
Facsimile Number: (979) 458-6101
Email Address: jzimmermann@tamus.edu

The insurance coverage required by this Agreement will be kept in force until all services have been fully performed and accepted by the A&M System in writing.

4.17 DISPUTE RESOLUTION

The dispute resolution process provided in Chapter 2260, *Texas Government Code*, and the related rules adopted by the Texas Attorney General pursuant to Chapter 2260, shall be used by the A&M System and RESPONDENT to attempt to resolve any claim for breach of contract made by RESPONDENT that cannot be resolved in the ordinary course of business. RESPONDENT shall submit written notice of a claim of breach of contract under this Chapter to the Deputy Chancellor and Chief Financial Officer for the A&M System, who shall examine RESPONDENT's claim and any counterclaim and negotiate with RESPONDENT in an effort to resolve the claim.

4.18 VENUE

Pursuant to Section 85.18, *Texas Education Code*, venue for any suit filed against the A&M System shall be in the county in which the primary office of the chief executive officer of the A&M System is located. At the date of this RFP, such county is Brazos County, Texas.

4.19 STATE AUDITOR'S OFFICE

RESPONDENT understands that acceptance of funds under this Agreement constitutes acceptance of the authority of the Texas State Auditor's Office, or any successor agency (collectively, "Auditor"), to conduct an audit or investigation in connection with those funds pursuant to Section 51.9335(c), *Texas Education Code*. RESPONDENT agrees to cooperate with the Auditor in the conduct of the audit or investigation, including without limitation, providing all records requested. RESPONDENT will include this provision in all contracts with permitted subcontractors.

4.20 CONFLICT OF INTEREST

RESPONDENT and each person signing on behalf of RESPONDENT certifies, and in the case of a sole proprietorship, partnership or corporation, each party thereto certifies as to its own organization, that to the best of their knowledge and belief, no member of The A&M System or The A&M System Board of Regents, nor any employee, or person, whose salary is payable in whole or in part by The A&M System, has direct or indirect financial interest in the award of this Agreement, or in the services to which this Agreement relates, or in any of the profits, real or potential, thereof.

4.21 PROHIBITION ON CONTRACTS WITH COMPANIES BOYCOTTING ISRAEL

By submitting a proposal, the RESPONDENT certifies it does not and will not, during the performance of any resultant Agreement, boycott Israel. PROVIDER acknowledges any resultant

Agreement may be terminated if this certification is or becomes inaccurate.

4.22 CERTIFICATION REGARDING BUSINESS WITH CERTAIN COUNTRIES AND ORGANIZATIONS

Pursuant to Subchapter F, Chapter 2252, Texas Government Code, PROVIDER certifies it is not engaged in business with Iran, Sudan, or a foreign terrorist organization. PROVIDER acknowledges any resultant agreement may be terminated if this certification is or becomes inaccurate.

- 4.22 RESPONDENT shall neither assign its rights nor delegate its duties under the resultant agreement without the prior written consent of the A&M System.

EXHIBIT A
EXECUTION OF OFFER

RFP01 SOC-18-026

DATE:

In compliance with this RFP, and subject to all the conditions herein, the undersigned offers and agrees to furnish any or all commodities or services at the prices quoted.

A.1 Respondent Affirmation

NOTE TO RESPONDENTS: SUBMIT ENTIRE SECTION WITH RESPONSE.

This execution of offer must be completed, signed, and returned with the respondent's qualifications. Failure to complete, sign and return this execution of offer with the qualifications may result in rejection of the qualifications.

Signing a false statement may void the submitted qualifications or any agreements or other contractual arrangements, which may result from the submission of respondent's qualifications. A false certification shall be deemed a material breach of contract and, at the A&M System's option, may result in termination of any resulting contract or purchase order.

Addenda Acknowledgment

Receipt is hereby acknowledged of the following addenda to this RFP by entering yes or no in space provided and indicating date acquired. Enter "0" if none received.

| | |
|------------------------|------------------------|
| No. 1 _____ Date _____ | No. 3 _____ Date _____ |
| No. 2 _____ Date _____ | No. 4 _____ Date _____ |

A.2 Signature

By signing below, the Respondent hereby certifies as follows, and acknowledges that such certifications will be included in any resulting contract:

- (i) the Response and all statements and information prepared and submitted in response to this RFP are current, complete, true and correct;
- (ii) it is not given, nor intends to give at any time hereafter, any economic opportunity, future employment, gift, loan, gratuity, special discount trip, favor or service to a public servant in connection with the submitted response or any subsequent proposal. Failure to sign below, or signing a false statement, may void the response or any resulting contracts at the A&M System' option, and the RESPONDENT may be removed from all future proposal lists at this state agency;
- (iii) the individual signing this document and the documents made part of the RFP is authorized to sign such documents on behalf of the RESPONDENT and to bind the Respondent under any contract which may result from the submission of the Response;
- (iv) no relationship, whether as a relative, business associate, by capital funding agreement or by any other such kinship exists between RESPONDENT and an employee of the A&M System;
- (v) Respondent has not been an employee of the A&M System within the immediate twelve (12) months prior to the RFP response;
- (vi) no compensation has been received for participation in the preparation of this RFP (ref. Section 2155.004 Texas Government Code);

- (vii) all services to be provided in response to this RFP will meet or exceed the safety standards established and promulgated under the Federal Occupational Safety and Health law (Public Law 91-596) and its regulations in effect as of the date of this solicitation;
- (viii) Respondent complies with all federal laws and regulations pertaining to Equal Employment Opportunities and Affirmative Action;
- (ix) to the best of its knowledge, no member of the Board of Regents of The Texas A&M University System, or the Executive Officers of The Texas A&M University System or its member institutions or agencies, has a financial interest, directly or indirectly, in the Project;
- (x) each individual or business entity proposed by RESPONDENT as a member of its team that will engage in the practice of engineering or architecture will be selected based on demonstrated competence and qualifications only;
- (xi) if the RESPONDENT is subject to the Texas franchise tax, it is not currently delinquent in the payment of any franchise tax due under Chapter 171, Texas Tax Code, or is exempt from the payment of such taxes. A false certification may result in the Respondent's disqualification;
- (xii) under Section 231.006, Family Code, the vendor or applicant certifies that the individual or business entity named in this contract, bid, or application is not ineligible to receive the specified grant, loan, or payment and acknowledges that this contract may be terminated and payment may be withheld if this certification is inaccurate; and,
- (xiii) under Section 2155.004, Government Code, the vendor certifies that the individual or business entity named in this bid or contract is not ineligible to receive the specified contract and acknowledges that this contract may be terminated and payment withheld if this certification is inaccurate.

RESPONDENT should give Payee Identification Number (PIN) (Formally Vendor ID), full firm name and address of Vendor (enter in block provided if not shown). Failure to manually sign submittal will disqualify it. The person signing the submittal should show title or authority to bind his/her firm in contract. The Payee Identification Number is the taxpayer number assigned and used by the Comptroller of Public Accounts of Texas. Enter this number in the spaces provided on the Execution of Offer.

Federal EIN/TAX ID: _____

Vendor/Company Name: _____

Authorized Signature (INK): _____

Name: _____

Title: _____

Street: _____

City/State/Zip: _____

Telephone No.: _____

Fax No.: _____

E-mail: _____

| |
|---|
| <p>* By signing this RFP, RESPONDENT certifies that if a Texas address is shown as the address of the respondent, respondent qualifies as a Texas Resident Bidder as defined in Texas Government Code, § 2252.001(4).</p> |
|---|

EXHIBIT B
NON-COLLUSION AFFIDAVIT

The undersigned, duly authorized to represent the persons, firms and corporations joining and participating in the submission of the foregoing Proposal (such persons, firms and corporations hereinafter being referred to as the "RESPONDENT"), being duly sworn, on his or her oath, states that to the best of his or her belief and knowledge no person, firm or corporation, nor any person duly representing the same joining and participating in the submission of the foregoing Proposal, has directly or indirectly entered into any agreement or arrangement with any other RESPONDENTS, or with any official of the A&M System or any employee thereof, or any person, firm or corporation under contract with the A&M System whereby the RESPONDENT, in order to induce acceptance of the foregoing Proposal by said the A&M System, has paid or is to pay to any other RESPONDENT or to any of the aforementioned persons anything of value whatever, and that the RESPONDENT has not, directly or indirectly entered into any arrangement or agreement with any other RESPONDENT or RESPONDENTS which tends to or does lessen or destroy free competition in the letting of the contract sought for by the foregoing Proposal.

The RESPONDENT hereby certifies that neither it, its officers, partners, owners, providers, representatives, employees and parties in interest, including the affiant, have in any way colluded, conspired, connived or agreed, directly or indirectly, with any other RESPONDENT, potential RESPONDENT, firm or person, in connection with this solicitation, to submit a collusive or sham bid, to refrain from bidding, to manipulate or ascertain the price(s) of other RESPONDENTS or potential RESPONDENTS, or to obtain through any unlawful act an advantage over other RESPONDENTS or the A&M System.

The prices submitted herein have been arrived at in an entirely independent and lawful manner by the RESPONDENT without consultation with other RESPONDENTS or potential RESPONDENTS or foreknowledge of the prices to be submitted in response to this solicitation by other RESPONDENTS or potential RESPONDENTS on the part of the RESPONDENT, its officers, partners, owners, providers, representatives, employees or parties in interest, including the affiant.

CONFLICT OF INTEREST

The undersigned RESPONDENT and each person signing on behalf of the RESPONDENT certifies, and in the case of a sole proprietorship, partnership or corporation, each party thereto certifies as to its own organization, under penalty of perjury, that to the best of their knowledge and belief, no member of the A&M System, nor any officer, employee, or person, whose salary is payable in whole or in part by the A&M System, has a direct or indirect financial interest in the award of this Proposal, or in the services to which this Proposal relates, or in any of the profits, real or potential, thereof, except as noted otherwise herein.

Signature _____

Company Name _____

Date _____

Subscribed and sworn to before me this

_____ day of _____, 2018.

Notary Public in and for the County of _____, State of

_____. My commission expires: _____

THE EXECUTION OF OFFER AND NON-COLLUSION AFFIDAVIT MUST BE COMPLETED, SIGNED, AND RETURNED WITH RESPONDENT'S SUBMISSION. FAILURE TO SIGN AND RETURN THESE DOCUMENTS WILL RESULT IN THE REJECTION OF YOUR SUBMISSION.