

PROPOSAL APPENDIX FORMS

This document indicates the proposal requirements for the RFP which shall be submitted by the deadline set for submission of proposals. Offeror shall complete the appropriate proposal requirements, sign all appropriate forms, and attach (upload) the completed Appendixes to their HlePRO online RFP submission.

APPENDIX CHECKLIST

THE FOLLOWING APPENDIXES IN THIS TABLE MUST BE COMPLETED AS PART OF THE RFP AND SHALL BE UPLOADED WITH THE OFFERORS HlePRO SUBMISSION.

APPENDIX DESCRIPTION	APPENDIX
Proposal Letter	Appendix A
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The University is not responsible for any issues with the uploading of the Appendixes into HlePRO

APPENDIX A
PROPOSAL LETTER
UNIVERSITY OF HAWAII

We propose to provide the culinary management services named in the Request for Proposals (RFP) No. 27-6275 to Provide a Compliance Gap Analysis for University of Hawaii System, Honolulu, Hawaii.

It is understood that this proposal constitutes an offer.

It is understood and agreed that we have read the University of Hawaii's specifications described in the RFP and that this proposal is made in accordance with the provisions of such specifications. By signing this proposal, we guarantee and certify that all items included in this proposal meet or exceed any and all such specifications.

We agree, if awarded the contract, to deliver goods or services which meet or exceed the specifications.

Respectfully submitted,

Legal Name of Offeror

Date

Authorized Signature (original) **(Typed Name)**

Title

Street Address

Telephone No.

City, State, Zip Code

Fax No.

Social Security OR Federal Tax Payer ID No.

Email

Remittance Address (if different from street address)

Hawaii General Excise Tax License No.

City, State, Zip Code

Location of Offeror's Plant

Offeror is: ☐ Individual ☐ Partnership ☐ Corporation* ☐ Joint Venture

State of Incorporation: ☐ Hawaii ☐ Other:

Is Corporate Seal Available In Hawaii: ☐ Yes** ☐ No

* Attach to this page evidence of authority of the above officer to submit an offer on behalf of the corporation, giving also, the names and addresses of the other officers.

** If yes, affix corporate seal

APPENDIX B**BUSINESS CLASSIFICATION CERTIFICATION STATEMENT**

CONTRACTORS: Please complete the information below. Terms used are taken from the U.S. Small Business Administration (SBA) Rules and Regulations (<https://www.sba.gov/>) and the U.S. Code of Federal Regulations (CFR). The term “controlled” refers to the management and daily operation of the business concern.

The company identified below (check all that apply):

1. _____ **IS NOT** a small business concern as defined in the regulations
(If you checked here, **STOP. GO TO CERTIFICATION BELOW.**)
- _____ **IS a small business concern**, defined as one that is independently owned and operated, is organized for profit, is not dominant in its field, meets the SBA size standard eligibility (see reverse side of this form for examples of size standards), is registered and has its status represented in the U.S. Government’s System for Award Management (SAM) database. See <http://www.sba.gov/content/what-sbas-definition-small-business-concern>.
2. _____ IS a **small disadvantaged business concern** of which at least 51% is unconditionally and directly owned and controlled by one or more socially disadvantaged and economically disadvantaged persons who are U.S. citizens. See 13 CFR 124.105 for exceptions.
3. _____ IS a **women-owned small business concern** of which at least 51% is unconditionally and directly owned and controlled by one or more women who are U.S. citizens. See 13 CFR 127.
4. _____ IS a **HUBZone small business concern** that meets the certification eligibility requirements set by the U.S. SBA. See 13 CFR 126.
5. _____ IS a **veteran-owned small business concern** of which at least at least 51% is unconditionally and directly owned by one or more veterans or service-disabled veterans. See 38 CFR 74.
6. _____ IS a **service-disabled veteran-owned small business concern** of which at least 51% is unconditionally and directly owned by one or more service-disabled veterans. In the case of any publicly owned business, not less than 51% of the stock of which is owned by one or more service-disabled veterans. The management and daily business operations of which are controlled by one or more service-disabled veterans, or in the case of a veteran with a permanent and severe disability, a spouse or permanent caregiver of such veteran. See 13 CFR 125.11 et al.

CERTIFICATION

I hereby certify the information supplied herein to be true and correct. (Any misrepresentation shall be subject to the provisions stated in item B on the next page.)

Company Name: _____

Signature of Company Officer

Company Address: _____

Print Name: _____

Title: _____

Date: _____

Type of Goods/Services: _____

North American Industry Classification System (NAICS) Code: _____

APPENDIX B

A. A small business concern is one that is independently owned and operated, is organized for profit, is not dominant in its field, has a place of business in the U.S., and operates primarily within the U.S. or makes a significant contribution to the U.S. economy. Size standard eligibility is based on the average number of employees for the preceding 12 months or on sales volume averaged over a 3-year period. See 13 CFR 121.201 for size standards identified by NAICS codes. The size standards for a few industries are shown below and are subject to change at any time.

1. SPECIALTY TRADE CONTRACTORS – “Small” if average annual receipts for preceding 3 years do not exceed \$15 million.
2. CONSTRUCTION, GENERAL CONTRACTORS – “Small” if average annual receipts for preceding 3 years do not exceed \$36.5 million.
3. MANUFACTURING – “Small” if 500 employees or less, except for some specific products which will increase the complement of employees to 750 or 1,000.
4. TRANSPORTATION – “Small” if average annual receipts for preceding 3 years do not exceed the amount shown for specific services.
\$27.5 million – general freight trucking, local.
5. WHOLESALE TRADE, DURABLE AND NON-DURABLE GOODS – “Small” if 100 employees or less.
6. RETAIL TRADE – “Small” if average annual receipts for preceding 3 years do not exceed the amount shown for specific products.
\$7.5 million – hardware stores.
7. SERVICES – “Small” if average annual receipts for preceding 3 years do not exceed the amount shown for specific services:
 - a) \$27.5 million – computer systems design services, custom computer programming services
\$20.5 million – security guards and patrol services
 - b) \$18 million – janitorial services
 - c) \$38.5 million – passenger car rental
 - d) \$32.5 million – office machinery and equipment rental & leasing
 - e) \$7.5 million – general automotive repair

Annual receipts of a concern which has been in business for less than 3 complete fiscal years means the total receipts for the period the concern has been in business divided by the number of weeks in business, multiplied by 52. See 13 CFR 121.104.

- B. Notice. Under 15 U.S.C. 645(d), any person who misrepresents a firm’s status as a small business concern, a qualified HUBZone small business concern, a small business concern owned and controlled by socially and economically disadvantaged individuals, or a small business concern owned and controlled by women in order to obtain a contract to be awarded under the preference programs established pursuant to 15 U.S.C. sections 637(a), 637(d), 638, 644, or 657(a), shall:
1. Be punished by imposition of fine, imprisonment, or both;
 2. Be subject to administrative remedies including suspension and debarment; and
 3. Be ineligible for participation in a program conducted under the authority of the Small Business Investment Act of 1958.

APPENDIX C
COST PROPOSAL

Provide a **firm fixed price** for each deliverable. Prices must include all labor, travel (including travel to Hawai'i and between islands), lodging, per diem, materials, survey tools, overhead, and profit. No other costs will be paid. Payment will be made after the CCEO accepts each deliverable in writing. The price for D1 may not exceed 10% of the Total Proposed Price.

No.	Deliverable	Firm Fixed Price
D1	Project Management Plan	\$
D2	Compliance Inventory and Ownership Map	\$
D3	Assessment Report	\$
D4	Operating Model and Strategic Roadmap	\$
D5	Executive Summary and Briefings	\$
	Subtotal	\$
	Hawai'i General Excise Tax (GET), if applicable (rate: _____ %)	\$
	TOTAL PROPOSED PRICE (used to score Section 4.4)	\$

Hourly rates for additional services (not scored). These rates apply only to work outside this Scope of Work that the University requests through a written contract amendment.

Role	Hourly Rate
Project Director	\$
Lead Consultant	\$
Consultant / Analyst	\$

Company:	Authorized Signature:	Date:

APPENDIX D**EXPERIENCE, QUALIFICATIONS, AND REFERENCES****Part 1: Offeror Information**

Name of Company	Point of Contact (Name and Title)	Email	Phone

Part 2: Experience and Qualifications

Years providing compliance consulting services (minimum 10)	
Number of higher education compliance assessments completed (minimum 5)	

Key Personnel	Name	Years of Compliance Experience	Credentials (CCEP, LPEC) or CCO Experience (Institution, Dates)
Project Director			
Lead Consultant			

Part 3: Higher Education Experience and References

List at least five (5) higher education compliance assessments. Check “Reference” for the three (3) comparable projects, completed within the past five (5) years, that the University may contact. References may not be University of Hawai‘i employees or employees of the Offeror.

#	Name of Company / Institution	Point of Contact (Name and Title)	Email	Phone	Project Description	Completed	Ref
1							☐
2							☐
3							☐
4							☐
5							☐

APPENDIX E**MINIMUM QUALIFICATIONS CHECKLIST**

Complete and include documentation as specified for each requirement, state where the supporting documentation is found in the proposal.

No.	Minimum Qualification (Section 2.8)	How to Show It (Proof to Submit)	University Use: Meets?
1	At least 10 years of compliance consulting	Firm history stating the year it began compliance consulting, plus at least one client engagement from 10+ years ago (client name, year, scope of work).	☐ Yes ☐ No
2	At least 5 completed higher education compliance assessments	List of the 5 assessments: institution name, start and completion dates, and a contact person. Attach 1–2 redacted final reports or executive summaries.	☐ Yes ☐ No
3	Experience assessing programs against the Seven Elements	A redacted sample report or excerpt showing findings organized by the Seven Elements (e.g., a rating or scorecard for each element), with the client name and date.	☐ Yes ☐ No
4	Project Director: at least 8 years of compliance experience (attach résumé)	Résumé listing employers, job titles, and dates totaling 8+ years of compliance experience. Identify which positions were in higher education.	☐ Yes ☐ No
5	Lead Consultant: CCEP, LPEC, or higher education CCO experience (attach résumé and certification)	Résumé, plus a copy of the CCEP or LPEC certificate (with number and expiration date), or, for CCO experience, the institution, title, and dates served.	☐ Yes ☐ No

No.	Minimum Qualification (Section 2.8)	How to Show It (Proof to Submit)	University Use: Meets?
6	3 comparable projects completed within the past 5 years	For each of the 3 projects: client name, project dates, a short description of the work, and a reference contact the University may call.	☐ Yes ☐ No

I certify that the information in this proposal is true, accurate, and verifiable.

Company:	Signature:	Name and Title:	Date:

APPENDIX F

KEY PERSONNEL

Offerors shall provide the following:

1. Key personnel of the project team;
2. Each member's role and percentage of time on the project; and
3. Resumes and certifications for the Project Director and Lead Consultant.

In addition, Key Personnel named in the proposal must remain on the project, any substitutions require the University's written approval of a replacement with equal or better qualifications.

APPENDIX G

TECHNICAL APPROACH AND WORK PLAN

- A. Offerors shall provide its technical approach to the Scope of Services as outlined in section 2.4 which are to include, but not limited to, the following:
 - 1. Approach to the compliance and preliminary risk assessment;
 - 2. Maturity model and risk-ranking method;
 - 3. Stakeholder engagement plan for all campuses, including investigative file sampling; and
 - 4. Proposed peer group and approach to the operating model
- B. In addition, a project schedule showing all deliverables and due dates in Section 2.5, Deliverables and Schedule, shall be included.
- C. Up to TWO (2) redacted sample work products may be attached.