**HPTE Unsolicited Proposal Policy**

*November, 2019*

# Annex A: Conceptual Proposal Form

Phase One of HPTE’s Unsolicited Proposal process involves submitting all required information and completing each section identified below. The Conceptual Proposal must be no longer than six pages in total. If HPTE determines that the Unsolicited Proposal should proceed to Phase Two, HPTE will issue a Request for Detailed Proposal.

***1. Basic Information***

Proposer Information:

Name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Address:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Further contact information: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Type of organization: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Technical personnel names & contact information: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Business personnel names & contact information: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

*These individuals should be responsible for answering HPTE’s technical or business questions concerning the proposal or any subsequent agreement concerning the proposal.*

***2. Conceptual Proposal Executive Summary***

Title of the proposal: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

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Executive summary (1/2 page maximum) \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

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***3. Conceptual Proposal – Key Information***

Title of the proposal: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Key information must include:

* + 1. Objectives;
    2. Method of approach;
    3. Nature and extent of anticipated results; and
    4. Manner in which the work will help support accomplishment of HPTE’s mission.

Technical expertise the Proposer needs from HPTE: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

***4. Financial Information***

Proposed price or total estimated cost: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Proposed method of revenue generation: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

*Be concise but provide sufficient detail for HPTE to meaningfully evaluate the proposal.*

Financial information the Proposer needs from HPTE: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

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***5. Procedural Information***

Period of time for which the proposal is valid: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**6. Request for Confidentiality**

A request for confidentiality has been submitted with this proposal and is deemed confidential by the Proposer in the event of a request submitted to HPTE under the Colorado Open Records Act (CORA). Proprietary data has been separated, clearly designated, identifies the basis for the claim of confidentiality, and follows all the procedures outlined in Section 16.

Yes No

***7. Signature***

Name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

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

*The individual who signs this form must be authorized to represent and contractually obligate the Proposer.*

# Annex B: Unsolicited Proposal use of data prior to the contract is prohibited

All HPTE and CDOT personnel must exercise extreme care to ensure that the information in this Unsolicited Proposal is not disclosed to an individual who has not been authorized access to such data and is not duplicated, used, or disclosed in whole or in part for any purpose other than evaluation of the Unsolicited Proposal, without the written permission of the Proposer. If a contract is awarded on the basis of this Unsolicited Proposal, the terms of the contract shall control disclosure and use.

**YES**

**YES**

**YES**

**NO**

**NO**

**NO**

* Acknowledge receipt of the Conceptual proposal;
* Confirm Inclusion of all required content (see Annex A: Conceptual Proposal Form);
* Confirm compliance with the procedures for submission of confidential/proprietary information for use and disclosure of data (see Section 16); and
* Confirm receipt of the Conceptual Proposal fee ($5,000).

*HPTE staff will strive to complete this phase in 20 business days of receipt of a complete submission.*

**THRESHOLD REVIEW Meets all Threshold Requirements**

Information presented to HPTE Board of Directors

**HPTE Board Feedback**

**Letter to Proposer: Discontinue process**

**PHASE ONE Proceed to Conceptual Proposal**

* Notify Proposer of HPTE’s decision to proceed to evaluation; and
* Evaluate Conceptual Proposal, including meetings with the Proposer as necessary.
* Offers benefits to HPTE, its customers, and the community;
* Within HPTE’s jurisdiction/control and complies with HPTE’s statues;
* Consistent with HPTE’s objectives and goals;
* Can be reasonably accommodated in HPTE’s capital and operating budgets without displacing other planned expenditures;
* Offers goods or services that HPTE did not intend to purchase through the normal contract process; and
* Contains relevant high-level financial, technical and legal components.

*HPTE staff will strive to complete this phase witin 40 business days.*

**PHASE ONE Meets HPTE Evaluation Criteria**

* HPTE issues a Request for a Detailed Proposal that informs the Proposer to proceed to Phase Two and requests payment of the Detailed Proposal Evaluation fee ($50,000); and
* Proposer submits a Detailed Proposal, including fee and all required technical and supporting information; and
* Processing and evaluation of Detailed Proposal begins.

**PHASE TWO Proceed to Evaluation of Detailed Proposal**

* Proposer’s capabilities, related experience, facilities and techniques;
* Proposer’s financial capacity to deliver proposed goods or services;
* Viability of the proposed schedule
* HPTE’s capacity to enter into a contract under its enterprise status;
* Qualifications, capabilities and experience of key personnel;
* Specific details of the cost/revenue generated; and
* Any other factors appropriate for the particular Detailed Proposal.

*HPTE staff will strive to complete this phase in 60 business days of receipt of a complete submission.*

**PHASE TWO Meets HPTE Evaluation Criteria**

**The Review Team submit recommendation(s) to HPTE Board of Directors for review and approval**

Proposer notified of decision.

If Unsolicited Proposal meets criteria for a Sole Source: Proceed to Contract negotiation

If not Sole Source: pursue competitive process as described in Section 15.

**Completion of Process**

# Annex C: Unsolicited Proposal Policy Flow Chart