



UNIVERSITY OF KENTUCKY

Purchasing Division

Written Questions and Answers

UK Internal Audit – Information Technology Audits

RFP UK-2320-23

Closing Date: 3/22/23

Today's Date: 3/3/23

No.	Question	Answer
1	Is this a single-award or multiple-award contract?	See second paragraph of Section 2.1 Intent and Scope
2	What is the anticipated date of award and contract execution?	Unknown at this time.
3	What is the duration of the project?	See section 6.1 Contract Term
4	What is the total number of man-hours required for this project?	Unknown at this time.
5	What is the anticipated timeline for this project?	This will be ongoing as needs arise. The initial phase will be 3 years, followed by two optional 1-year extensions.
6	Do we need to provide resumes for the proposed labor categories?	See Section 4.5b of the RFP.
7	If resumes are required, do these resumes need to be live or sample?	See answer to question #6.
8	If resumes are not required, do we need to only provide the pay rates for the proposed labor categories?	See answer to question #6.
9	Will there be interviews post-evaluation?	No.
10	If interviews are scheduled, will it be for the resource personnel only or for a team from the company including a company representative?	See answer to question #9.
11	Will vendor selection interviews be conducted in person or remotely?	See answer to question #9.
12	If in-person interviews are scheduled, can the client allow us to participate virtually?	See answer to question #9.
13	Considering the current COVID-19 pandemic situation, if the proposed candidates are not available at the time of award, will the agency allow us to provide replacement personnel with similar or more skill sets?	UKIA prefers consistency in consultant assignments, but exceptions may be acceptable with advance notice where skillsets are comparable.

14	If we are shortlisted for the interview and if our proposed personnel are not available at that time, can we propose alternate resources for the interview?	See answer to question #9.
15	Can one proposal be submitted that would address both RFPs (2319 and 2320) if the key components such as hours and fees are clearly articulated based on each RFP?	No, they are two separate RFP's.
16	Other than EPIC, what other key systems and/or technologies are used where specialized technology skillsets would be required of the proposer?	Knowledge of Epic (UK HealthCare's primary EHR), SAP (UK's primary ERP), and ScriptPro (UKHC's pharmacy application) are preferred. Additionally, numerous legacy applications are in place where knowledge may be helpful but not required.
17	Section 3.1 Key Event Dates, when will a decision be made for determining who will be invited to present proposals (i.e., Orals) and when will final decisions be made for partnering in IT (2320-23) and Internal Audit (2319-23)?	Unknown at this time.
18	Section 3.6 Proposed Deviations from the RFP discusses General Terms and Conditions (T&Cs). Is this referring to section 6 or when will the T&Cs be provided to proposers (e.g., Master Services Agreement, etc.)? Should they be redlined and submitted with the proposal (or do they come after the proposal for those selected)?	See section 1 on page 2 of the RFP. Yes, any deviations need to be redlined, noted in the transmittal letter, and submitted with the proposal.
19	Section 6.30 HIPAA/BAA Amendment, states that Attachment A must be completed, signed, and delivered with the proposal. Is there the ability to negotiate the terms within the BAA and should it be redlined and submitted with the proposal?	Redlined, outlined in the transmittal letter, and submitted with the proposal.
20	Section 7.0 Financial Offer Summary, what does University of Kentucky consider to be a reasonable variance to these rates and what would be considered unreasonable that would automatically disqualify a proposer's submission?	Offeror should list their rates and all proposals will be reviewed.

21	<p>Section 7.1 Services Offered, for the Fee Schedule / Proposed Fees, are you specifically requesting the rate card that could be used by level, or a total amount of fees expected per year? If total fees expected per year, what is the average amount of hours for both the IT Audit Plan and the Healthcare Audit Plan, which would be needed to bid upon?</p> <p>a. Section 2.1 Intent and Scope, there is a comment about a 'Not-to-exceed structure for a given yearly period,' how does this tie into a rate card model.</p>	<p>We are specifically requesting the rate card per level.</p> <p>a. This statement refers ONLY to the Kentucky Personal Service Contract.</p>
22	<p>Do you have an existing risk assessment approach or framework you would like us to use?</p> <p>If so, what is it?</p>	<p>UKIA will conduct all global risk assessments to determine project selection.</p>
23	<p>Will any portion of testing be performed by UKIA staff?</p> <p>If so, what percentage will be performed by UKIA staff?</p>	<p>Yes; percentages to be based on project need and internal resource availability.</p>
24	<p>Have there been any testing of IT controls in the past one to three years?</p>	<p>Yes.</p>
25	<p>Who is the intended audience of reports issued?</p>	<p>University operational units, administration, and the Board of Trustees.</p>
26	<p>Section 2.1 of the RFP references categories in scope for projects. Are the following the categories referred to?</p> <ol style="list-style-type: none"> 1. I&T Governance <ol style="list-style-type: none"> a. Software-as-a-Service Governance b. Data Governance c. Software Licensing d. Shadow I&T e. Regulatory Compliance 2. Risk Assessment and Management <ol style="list-style-type: none"> a. Third-Party Risk Management b. Emerging Risks 3. Operations <ol style="list-style-type: none"> a. I&T Asset Management b. Disaster Recovery/Business Continuity c. Vendor Management 4. Infrastructure and Facilities <ol style="list-style-type: none"> a. Data Centers 5. Cybersecurity <ol style="list-style-type: none"> a. Identity and Access Management b. Vulnerability Management c. Security, Event and Incident Monitoring d. Incident Response 	<p>Yes; not all-inclusive.</p>

27	Is there a current system inventory that includes applications, critical hardware, and types of sensitive data stored?	Various asset management systems are in place, but may not be comprehensive.
28	When was the last time an external vulnerability scan was performed?	At least annually.
29	When was the last time an internal vulnerability scan was performed?	Scans are performed regularly.
30	When was the last time an external penetration test was performed?	At least annually.
31	In regards to pricing information is the only information needed hourly rates? If fee numbers are needed please provide a range of hours anticipated for IT audit projects.	See Section 7.0 of the RFP.
32	What is the time frame for projects to be performed and completed?	See Section 6.1 of the RFP.
33	Is this a multi-year engagement? If so, how many years?	See answer to question #3
34	Regarding the financial offer summary (§7.0), the RFP request a fixed-price but the scope (§2.0) only includes as-needed services for which we can only provide an hourly rate. Can you please confirm that there is not an expectation that we propose a fixed-fee financial proposal or provide the intended term of engagement for full-time (i.e. 40hr/week) resources?	The fixed fee is the hourly rate; see RFP section 7.0 for details.
35	Regarding the fee schedule, is the expectation that respondents would submit rates for different levels of experience within each role (i.e. Auditor II Level 2, Auditor II Level 3, etc.)? As level of experience would typically dictate level of staff, we would typically submit rates only by level of staff (i.e. Auditor II/III in Level 2, Audit Manager/Director in Level 3) – let me know if I'm misunderstanding the intent here.	Fee schedule should follow the experience level as listed.
36	Recognizing that some audit activities may require onsite resources, our preference is to perform services remotely whenever possible. Does the University have an onsite preference or guidance regarding remote performance of services?	Remote services may be rendered when circumstances allow; some events (e.g. onsite testing, critical meetings) may require an onsite presence.
37	Will the University accept financial proposals with different rates for onsite and remote work?	See section 7.2 of the RFP.

38	Will the University accept proposals with relevant alternate options for “additional financial commitment” or should proposals be limited to the options listed in §7.4 (i.e. signing bonus, scholarships, etc.)?	Yes.
39	Will the University consider an electronic only delivery through email?	No.
40	What total fee range is expected per project?	Unknown at this time.
41	Section 5.0 of the RFP provides the primary and secondary criteria used for evaluating proposals. Please clarify the relative importance of the evaluation criteria. How are evaluation criteria weighted when determining the final score?	As listed in Section 5.0 of the RFP.
42	Section 7.0 of the RFP states: “Offerors are to provide a fixed price for the services offered.” However, due to the nature of the solicitation, no scope has been provided for individual audits. Please confirm that bidders may provide audit fee ranges, based on estimated hours and hourly rates, in lieu of a fixed price.	See answer to question #34.
43	Is this a new contract or a re-bid of an earlier contract? If it's a re-bid: How many projects were conducted through the previous contract? What is the total dollar value of the projects conducted through the previous contract?	New contract.
44	Does the University have a limit on how many firms it will pre-approve within each of the focus areas listed in Section 2.1 of the RFP? If yes, what is the University's cap in terms of the number of firms it will include in its pool of pre-qualified firms?	No.
45	When the University has a project need, will it contact all of the firms on this contract (within the applicable category in Section 2.1 of the RFP) and provide them with an opportunity to submit a proposal? If no, what selection process will be used when project needs arise?	Ideally, each RFP will be awarded to a single firm. If multiple firms are contracted, firms will be selected based on expertise for individual project needs.
46	When the University has a project need, how much advanced notice is typically provided the consultant before the project needs to commence?	Varies; days or weeks.

47	How many audits does the University anticipate seeking external assistance with each year?	15-20
48	Will you please provide further guidance on the difference between "Technical" and "Financial" proposals, (i.e., are you requesting that rate cards / estimated fee information be independently submitted within a "financial proposal" as opposed to being submitted within the "technical proposal")?	See section 3.7 Proposal Submission and Deadline
49	Would you be open to meeting us for an exploratory call prior to proposal submission?	No.
50	Understanding that the proposed work may be delivered by different consulting organizations, can you provide an estimate or range of the total Audit hours anticipated?	See answer to question #1.