

ADDENDUM 1

DATE: January 9, 2023

RFP NUMBER: UTA2023-012

RFP DUE DATE: January 31, 2023

The following changes and/or clarifications are hereby incorporated into the RFP. Your proposal must reflect the following:

RFP UTA2023-002 Round 1 Vendor Questions & Answers

Vendor Q&A

Question 1: We would like to better understand the intent of 5.2.2. Earlier in the RFP, it states that each AUP shall be performed by a CPA licensed in Texas. In 5.2.2, it states that all persons connected with the professional directly in charge of the services must be duly registered/licensed. Does every team member on the project need to be a Texas licensed CPA?

Answer 1: The Auditor In Charge of the engagement (decides on the work, assigns the work, oversees the work, reviews the work) is a CPA that follows the AICPA standards, etc. I think the support staff helping the CPA (leader) could be non-licensed employees provided they were professionally proficient, etc.

Here are the relevant sections from the PAPPG on the AUP

12.4 Agreed Upon Procedures Engagements The option to perform an agreed upon procedures engagement is intended for grant recipients not subject to GAGAS such as non-profit and for-profit organizations. These procedures test and report on grant recipients' compliance with the stated terms of their grant and state regulations and guidelines. The professional standards for the American Institute of Certified Public Accountants (AICPA) describe an agreed-upon procedures engagement (AUP) as an engagement in which **an independent certified public accountant is hired** by individuals responsible for governance over the grantee to issue a report of findings based on specific procedures to be performed on a subject matter. The findings from these procedures must be compiled in an Independent Accountant's Report on Applying Agreed Upon Procedures. **A certified public accountant (CPA) currently licensed by the Texas State Board of Public Accountancy** and selected by those charged with governance over the entity **shall perform an agreed upon procedures engagement**. Those charged with governance means the person(s) with responsibility for overseeing the strategic direction of the entity and obligations related to the accountability of the entity.

12.4.1 Attestation Standards The agreed upon procedures engagement will be conducted in accordance with attestation standards established by the AICPA. Guidance for the performance of such engagements is found in the AICPA professional standards AT Sections 201 and 601. **The role of the CPA is to perform procedures (prescribed by CPRIT) and to report his or her findings attesting to whether the subject matter (in this case, the grantee records) is in agreement with stated criteria. This AUP outlines procedures to be performed by the CPA in order to report their findings.** Distribution of the report is limited to CPRIT.

Question 2: The invitation to bid is only to vendors with active auditing services contracts in place with the UT System. Are we allowed to respond if we have an executed contract by the time the bid is submitted?

Answer 2: As long as the vendor has an executed Auditing Services contract with UT System and can provide a copy of the executed contract with their RFP submittal, the response will be allowable.

Question 3: Can you please confirm the needed issuance of the CPRIT reports? Based on experience with similar clients, it is May 31, 2023 unless an extension has been requested and granted

Answer 3: Yes. The reports are due May 31st.

Question 4: Can you please provide CPRIT reports of UTA and other organizations previously issued.

Answer 4: No. UTA will not provide previous issued CPRIT reports during this active solicitation.

Question 5: Does this work have an incumbent vendor? If so, who was the vendor and what were the annual fees paid?

Answer 5: Not applicable

Question 6: Per the RFP, there were 140 FY22 CPRIT grants. Could you please clarify how many AUP reports would be issued for the FY22 project audits?

Answer 6: AUP reports are issued at the institutional level. For FY 22 this would be 5 reports.

Question 7: Does each institution utilize the same system for CPRIT projects or will each institution have a separate system for tracking grant activity?

Answer 7: This engagement will not require auditors to have access to any University system. Data requested by the selected firm will be provided by the institution.

Question 8: Could you provide a listing of the dollar amounts associated with each of the 140 grants?

Answer: 8: Per CPRIT Policy and Procedure Guide, “Select an appropriate sample of CPRIT awards to address the audit methodology elements when it is not feasible to audit all of the CPRIT awards received.” More information about the Agreed Upon Procedures can be found in the [Policy and Procedure Guide](#) 12.4.4

PLEASE SUBMIT WITH YOUR PROPOSAL

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SIGNED: _____

COMPANY NAME: _____