

## **ADDENDUM 1**

**DATE:** March 10, 2023

**RFP NUMBER:** UTA2023-014

**RFP DUE DATE:** March 23, 2023 at 03:00 p.m.

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

### **QUESTIONS AND ANSWERS SUBMITTED BY DEADLINE**

**SEE APPENDIX A BELOW**

**PLEASE SUBMIT WITH YOUR PROPOSAL**

Charlie Brooks -- Contract Specialist -- 817-272-2140

**SIGNED:** \_\_\_\_\_

**COMPANY NAME:** \_\_\_\_\_

## ADDENDUM 1

### UTA2023-014 SUBMITTED QUESTIONS AND ANSWERS

- 1) How often does the Compliance Services team conduct a compliance risk assessment?  
**Risk assessments are intended to be conducted every year.**
- 2) When was the most recent assessment performed, and can a copy of the results be shared? **I am in in the middle of conducting risk assessments for this fiscal year. I would share the assessments with the contractor chosen to perform the project.**
- 3) Can you describe the overall objectives for performing the compliance risk assessment and is it part of the university's overall enterprise risk assessment process? **The overall objective is to identify, document and mitigate risks for about 25 high-risk operational areas across campus. This risk assessments are one component of UTA's overall enterprise risk assessment process.**
- 4) What application software is currently used to gather and house the compliance risk assessment documents/data? **Microsoft Office applications (Word and Excel) are used.**
- 5) Is the risk assessment currently performed under a specific framework used as a guideline? **Risk assessments are performed in accordance with internal Compliance Services procedures.**
- 6) Are you able to share any information about the maturity of the current compliance risk assessment process? **There is an existing and managed process in place that includes forms, procedures, points of contact, and past assessment documentation.**
- 7) Does the University have an expectation for the number of interviews to be performed as part of the project? **Interviews are expected to be limited to the compliance management analyst and possibly two other compliance members. The review should not expand beyond the compliance team.**
- 8) Can you share the number of policies, regulations, laws, or other applicable rules that you expect to be in-scope? We are trying to gauge the level of effort the University is expecting so that we can price the proposal accordingly. **Ballpark estimate of 10 or less documentary resources.**
- 9) Does the University expect the interviews to be conducted with both central compliance individuals as well as individuals in other departments/functions that have compliance responsibilities (e.g., Human Resources, Research). **Interviews are expected to be limited to the compliance management analyst and possibly two other compliance members. The review should not expand beyond the compliance team.**
- 10) What technology, systems, and/or data analytic platforms are you currently using in your compliance risk assessment model? **Microsoft Office (Word and Excel).**
- 11) Do you have a current GRC (Governance, risk management, and compliance) software? **No**
- 12) What software does UTA use for internal audit work? **The compliance office uses Microsoft Office (Word and Excel) to document risk assessments.**
- 13) Would you expect the work to be on-site, remote, or a combination? **Combination. I expect one week on site would likely be sufficient.**
- 14) In terms of the scope of work, can you provide further details on compliance risk:
  - a. If the current compliance process is centralized or decentralized? **Centralized**

- b. What of compliance areas will be reviewed or how many areas of compliance will be reviewed or interviewed as requested in this RFP. **Interviews expected to be limited to three compliance staff members.**
  - c. Do you have a target/budget in mind for number of hours for the project or number of areas to review? **No.**
- 15) Please confirm if this RFP does not require to utilize the HUB Subcontracting Plan as noted in this RFP below.
- 2.5 Historically Underutilized Businesses (does not apply to this procurement)
  - 1.9.6 Proposer must also submit the HUB Subcontracting Plan (also called the HSP) as required. by Section 2.5.

**Bad editing on my part. I should have deleted or, at the very least, edited Section 1.9.6 - Section 2.5 is correct. To clarify, this is a one-and-done activity and is not expected to come anywhere close to meeting or exceeding the \$100,000 requirement for HSP submission. (Just so you know, I did, however, submit to several HUBS. And, if you have a HUB opportunity, please bring them on board as a sub to your proposal response.)**