



Addendum 1

April 11, 2018

RFP 18-006-3

Please acknowledge on Attachment 1 and incorporate into your response.

1. Question 1: On page 17 of 20, Section C – Proposal Content and Organization, the RFP states the length is limited to no more than 20 pages. Can you please provide clarification on what's included and excluded in the page count? The number of pages has been expanded to 40 pages including all required and supplemental material.
2. While Section II.4 specifies that submission of the RFP can be made directly to the Procurement Manager by mail or by electronic means via the online bid submission portal, Section III.B specifies that three copies of the proposal must be submitted in a sealed envelope along with a digital copy of the proposal. How should these two provisions be reconciled, and if submissions must be made via mail by April 19th, does that mean submissions must be postmarked by April 19th or in the University's physical possession by that date? You can submit bids via the electronic portal OR by mail. You will not have to submit both. Proposals sent by mail must be in University possession by April 19th at 3:00 PM MST.
3. Section III.C specifies that each proposal is limited to twenty pages. Does that page count include or exclude the required Attachments (1-4), a cover page and cover letter, the Table of Contents, the Cost Proposal, and/or additional information, such as team member resumes, often provided in an Appendix? The number of pages has been expanded to 40 pages including all required and supplemental material.
4. Is there a preferred (or disliked) basis for the Cost Proposal, such as a preference for a firm Fixed Fee approach as opposed to Time & Materials, or vice versa? The University prefers a firm-fixed fee approach that factors the depth of the entire engagement along with any associated expenses factored into the quoted price.
5. Has New Mexico Highlands University previously conducted a security and privacy audit and gap analysis? If so, when? No.
6. Is there any pending or recent audit or investigation or enforcement action that prompted this request for proposal? Are there any specific deadlines that must be met in order to meet a specific compliance obligation? No.

7. What is the approximate number of total staff? 500
8. What is the approximate number of IT staff? 12-15
9. What is the number of facilities? Approximately 20 buildings including distance centers.
10. Does each facility have a server room? No
11. Is there a centralized data center, in-house or outsourced, accessed by all facilities? Centralized
12. What is the approximate number of desktop workstations in use across all locations? Not known
13. What is the approximate number of laptops in use across all locations? Now Known
14. What is the approximate number of mobile devices that access email? Not known
15. Are all such devices supplied by the organization or do some employees access company email from personally owned devices? Combination of both.
16. Is there an up-to-date inventory of current hardware assets? If so, is it generated by an automated network discovery and mapping tool, or by another method? Yes, through a combination of ERP System and internal excel spreadsheets.
17. Please identify any key vendors who may share a responsibility for safeguarding the confidentiality, integrity, and availability of protected or private information such as student records. Such vendors might include: Not known at this time.
18. IT consultants: Not known
19. Data center or co-location facility: Not known
20. Outsourced email hosting: not known
21. Office Software as a Service (SaaS): not known
22. Cloud file storage: Not known
23. Are there any legacy systems with protect information that are no longer in active use but are still maintained to preserve access to old data? May include old systems or data backups that have been replaced with newer systems, etc. Not known at this time.
24. When was the last enterprise wide risk assessment completed? Would we be able to review a copy of it during the planning phase? To my knowledge, we have not had an enterprise wide risk assessment performed within the past twenty years.
25. Is this the first internal audit RFP prepared by NWHU or a renewal of an expiring contract for internal audit services? If applicable, why are you looking at replacing the previous provider? This is the first internal audit RFP prepared by the University.

26. Do you have an estimated budget in hours and/or fees that you have allocated per year for the internal audit services? Currently, we will only use the RFP on an as-needed basis and have not identified an annual budget. We would like a line card or rate structure for hourly charges for small engagements. For larger engagements, risk assessments, or internal audit plans, detailed scopes will be provided. We would like to know how you go about formulating pricing for larger engagements. Smaller engagement can be negotiated on a per-hour basis, or a quote after reviewing the scope of work.
27. In terms of pricing estimates, are you expecting a fee quote of hourly rates by staff level ("rate card") or are you expecting a fee quote for each internal audit as identified on page 4 of the request for proposal? If the latter, could you please provide additional information regarding the detailed scope and testing expectations to enable estimated hours for each audit segment? See question 26.
28. Have there been any known frauds or material control breakdowns with NMHU that would impact our approach? No.
29. Does the University have a limit on how many firms it will pre-approve for these services?
 - a. If yes, what is the University's cap in terms of the number of firms it will include in its short-list of pre-qualified firms? The award will be made to one firm as we do not see or anticipate needing more than one firm.
30. Is the University ideally seeking one firm for this contract? Yes.
31. Does the University currently contract with one or more companies to provide these services? No.
 - a. If yes, can a list of firms be provided? n/a
32. What are the University's key drivers for seeking external assistance with these services? Most large Universities and/or organizations employ an internal audit department that would normally handle small engagement. New Mexico Highlands does not have the resources to provide these services in-house.
33. Are there any specific projects already planned by the University that may involve external consultants? If yes, please describe. None at this time.
34. When the University has a project need, will it contact all of the firms on this contract and provide them with an opportunity to submit a proposal? If no, what selection process will the University use when project needs arise? Only one firm will be selected from this RFP. When University decides to use the services, we will initiate a request to review the scope of work and request a quote and engagement letter to perform the services.