

**KENTUCKY STATE UNIVERSITY  
REQUEST FOR PROPOSAL (RFP)  
FOR  
NCAA COMPLIANCE AUDIT SERVICES  
RFP 24-01**



**Issue Date: January 31, 2024**

**Closing Date and Time: February 28, 2024**

**Issued by:  
Fran Pinkston  
Kentucky State University  
Academic Services Building (ASB), Suite 429  
400 East Main Street  
Frankfort, KY 40601  
502-597-6434  
[Frances.Pinkston@ksu.edu](mailto:Frances.Pinkston@ksu.edu)**

## TABLE OF CONTENTS

|            |  |    |
|------------|--|----|
| Section 10 | Purpose, Overview & Schedule.....          | 3  |
| Section 20 | Background and Current Business Need ..... | 5  |
| Section 30 | Procurement Requirements.....              | 6  |
| Section 40 | Scope of Work.....                         | 12 |
| Section 50 | Proposal Submission.....                   | 14 |
| Section 60 | Proposal Evaluation.....                   | 18 |
| Section 70 | Negotiations .....                         | 20 |
| Section 80 | Attachments .....                          | 20 |

## SECTION 10 – PURPOSE, OVERVIEW & SCHEDULE

### 10.1 Purpose

Kentucky State University (KSU)

Athletics Department

the  
KSU

Proposer, Offeror, Contractor, Provider, or Vendor;  
Buyer, Purchaser, or Contract Officer;  
RFP, Solicitation, or Procurement;  
Bid, Proposal, or Offer;  
Kentucky State University, KSU, University.

For the purpose of this RFP, the following terms are defined:

Requirements  
requirement.

icate a mandatory

#### **10.4 Restrictions on Communications**

The Kentucky State University Buyer named on the Cover Sheet of this RFP shall be the sole point of contact throughout the procurement process. All communications, oral and written (regular, express, or electronic mail, or fax), concerning this procurement shall be addressed to the Buyer.

**From the issue date of this RFP until a Vendor is selected and the selection announced, Vendors shall not communicate with any other University staff concerning this RFP. The University shall reserve the right to disqualify the Vendor's proposal response if the communication restriction clause is violated.**

#### **10.5 Questions Regarding this RFP**

Vendors are encouraged to submit written questions pursuant to Section 10.7 of this RFP71 Tm0 G[(

**10.6 Notification of Award**

The procurement process will provide for the evaluation of proposals and selection of the successful proposal in accordance with State law and regulations. Kentucky State

The University and problem solvers. Additional information about the University including the 2016-2021 Strategic Initiatives is available at <https://www.kysu.edu/search/index.php?query=strategic+plan>

The Kentucky State Board of Regents is the governing body of Kentucky State University. The Board consists of eleven (11) members, including a staff representative, a student representative, faculty representative and eight (8) Governor-appointed members. The Student Government Association (SGA) President serves as the Student Regent for one academic year and is replaced by his/her successor. More information about the Board of Regents is available at <https://www.kysu.edu/board-of-regents/index.php>

Dr. Koffi C. Akakpo currently serves as president of Kentucky State University.

30. The accounting and financial reporting functions of the University utilize Ellucian Banner as the current financial management system and are centralized under the Finance and Administration Office. More information about current financial status is available at <http://cpe.ky.gov/data/reports/ksufinancialassessment.pdf>.

### **30.1 Contract Components and Order of Precedence**

The University acceptance of the Vendor by the issuance of a contract award by Kentucky State University, shall create a valid contract between the Parties consisting of the following:

1. Procurement Statutes, Regulations and Policies;
2. Any written Agreement between the Parties;







written consent of the other party. Such material will be kept confidential subject to State and Federal public information disclosure laws. Upon signing of the contract by all parties, terms of the contract become available to the public, pursuant to the provisions of the Kentucky Revised Statutes. The contractor shall have an appropriate agreement with its subcontractors extending these confidentiality requirements to all employees.

**30.18 Confidential Information**

The contractor shall comply with the provisions of the Privacy Act of 1974 and instruct its employees to use the same degree of care as it uses with its own data to keep confidential information concerning client data, the business of the University, its financial affairs, its





and not available for public disclosure, the Vendor shall declare in the Transmittal Letter [see Section 60.6 (A)] the inclusion of proprietary information and shall noticeably label as proprietary each sheet containing such information. Proprietary information shall be

Fifteen (15) copies of the final report shall be provided to

of Insurance Certificates are to be furnished to the KSU Purchasing Department. Modification of this requirement must be requested in writing with supporting statements,

include embedded documents or hyperlinks to external content. DO NOT SUBMIT ANY PRICING INFORMATION IN THE TECHNICAL PROPOSAL.

The Cost Proposal: The Vendor should submit one (1) original paper copy of the cost proposal, clearly marked as the original. Pricing shall only be provided in the Cost Proposal. All costs shall be in compliance with the Kentucky General Assembly, Government Contract Review Committee policy

Proprietary Information: The Vendor should submit one (1) original copy of the proprietary information and one (1) thumb/flash drive having an exact copy of the original as a .pdf included. The copy requested is necessary in the evaluation of the bid proposal. Bid proposals shall not include embedded documents or hyperlinks to external content.

3he outside c912 0 612 792 1o6444.43 Tm143/F3 14.04 Tf1 0 0 no0Gb[( )] TJETQ EMC /P AMCID

**E-mailed Proposals shall not be accepted.**

Proposals shall be submitted to:

**Kentucky State University  
Attn: Fran Pinkston  
Academic Services Building (ASB), Suite 429  
400 East Main Street  
Frankfort, KY 40601**

Proposals shall be submitted by the RFP Closing Date and Time (both are identified on the cover page of this RFP). Bidders are cautioned to allow adequate delivery time to ensure timely delivery of bid proposals. Late bid proposals are ineligible for consideration.

**ANY PROPOSAL RECEIVED AFTER THE CLOSING DATE AND TIME  
SHALL BE REJECTED.**

The outside c912 0 612 792 1o6444.43 Tm0 G[(AC /P kg reW\* n8 reW\* nBT/F3 12792 re(1n0 G[( )]

All proposals must be received no later than the closing date and time listed on the cover page of this RFP. All submitted Proposals shall remain valid for a minimum of six (6) months



2. Disclose any potential conflicts of interest with representing Kentucky State University with this engagement, including any potential conflicts of interest of employees assigned to this engagement. KSU reserves the unqualified right to disqualify an entity or cancel any contract for any potential conflict of interest raised initially and/or during the life of any contract awarded.

Part 4 Direct Relevant Experience pertinent to this RFP 200 points maximum

1. Specialty areas in the field of compliance auditing;
2. Experience with NCAA compliance and eligibility requirements;
3. Capability in performing risk assessments (including enterprise risks, financial risks, general technology risks, information security risks, fraud risks, compliance risks) operations and reputation related risks in higher education;
4. Capability to provide internal audit assurance services in areas such as compliance, operations and administration;
5. Capability to provide consulting, advisory and training services in higher education.

Part 5 - Proposed Services 300 points maximum

1. Describe in detail your strategies for assisting Kentucky State University (KSU) with NCAA compliance auditing services in accordance with federal, state and any other applicable law, regulations and policies.
2. Include the depth of expertise in using data analytics, continuous auditing, institutional research analysis and fraud investigations.
3. List the software tools used by your firm for execution of audit services and risk assessments.
4. f an athletics department.
5. Provide an example of a typical audit plan and scope of work which includes, but not limited to the following:
  - Key performance indicators and standards usually relating to cost, timing and quality
  - Expected timelines for audits; statement of work timeline with milestones;
  - Engagement of scope and objectives;
  - Proposed testing to evaluate whether controls are designed adequately to mitigate risk;
  - Communication and reporting plans, e.g., progress, draft, interim and final reports

The three (3) vendors with the highest number of points after the level 1 review will become the finalists and move to a level 2 review.

## **50.5 Format of Technical Proposal**

The Technical Proposal should be arranged and labeled in the manner set forth below:

1. Page Numbering: The technical proposal should include page numbecome the



factual and correct information with their proposal to enable the evaluator(s) to afford each Vendor the maximum score based on the available data submitted as part of the proposal.

| <b>Criteria</b>                    | <b>Maximum Points Possible</b> |
|------------------------------------|--------------------------------|
| Part 1 Company History             | 50                             |
| Part 2 Capacity and Qualifications | 100                            |
| Part 3 Disclosures                 | 100                            |
| Part 4 Direct Relevant Experience  | 200                            |
| Part 4 Proposed Services           | 300                            |
| <b>Maximum Points Possible</b>     | <b>750</b>                     |

### **Cost Proposal**

portion of the Evaluation Criteria.

The lowest cost firm will receive 250 points; other firms will be assigned points based on this cost formula. The Vendor with the lowest price receives the maximum score. The

