

**UNIVERSITY OF LOUISVILLE
PURCHASING DEPARTMENT – BELKNAP CAMPUS
LOUISVILLE, KY 40292**

**PERSONAL SERVICE CONTRACT
REQUEST FOR PROPOSAL
COVER/SIGNATURE PAGE**

REQUEST DATE:

1. 9/12/2023

2. NAME OF DEPARTMENT: Audit Services**CONTACT PERSON: Amber Horn, Procurement Services****3. Service**

This request for proposal is to perform a quality assurance review (QAR) of the University of Louisville Audit Services department as required by IIA standards.

4. Due Date

10/30/2023

5. Time Due

2:00 PM, EDT

6. Email:**amber.horn@louisville.edu**

Proposals should be sent to the department by the following method:

7. MAIL or EMAIL PROPOSALS TO:

Department name: Procurement Services, Attn: Amber Horn
Address: 2215 S. Brook Street, Rm 208A, Louisville, KY 40208
EMAIL: amber.horn@louisville.edu

The bottom portion of this form is to be completed by the vendor.

Equal Employment Opportunity – All parties must be in compliance with executive order 11246 of September 24, 1965 as amended by executive order 11375 of October 13, 1967.

STATEMENT OF NON-COLLUSION AND NON-CONFLICT OF INTEREST

I hereby swear (or affirm) under penalty for false swearing as provided by KRS 523.040:

1. That attached Request For Proposal has been submitted without collusion with, and without any agreement, understanding, or planned common course of action with, any other vendor of materials, supplies, equipment or services described in the Request For Quotation designed to limit independent competition.
2. That the proposer is legally entitled to enter into the contract with the University of Louisville, an agency of the Commonwealth of Kentucky, and is not in violation of any prohibited conflict of interest, including those prohibited by the provisions of KRS 45A.325, to 45A.340, 34A.990 and 164.990 and 164.821 (7).
3. That I have fully informed myself regarding the accuracy of the statements made above.

SIGNED BY: _____ TELEPHONE: _____ FAX: _____

PRINT NAME: _____

FIRM: _____

ADDRESS: _____

CITY: _____ STATE: _____ ZIP CODE: _____

REQUEST FOR PROPOSAL COMPONENTS

1) Scope of Services:

The selected independent provider will:

- Provide an opinion as to whether the department conforms to the *International Standards for the Professional Practice of Internal Audit* as published by the Institute of Internal Auditors (IIA).
- Assess the efficiency and effectiveness of the internal audit function based on standards and benchmark information.
- Review the University of Louisville audit universe and the annual risk assessment methodology used to develop the annual audit plan
- Evaluate the Audit Services organizational structure, staffing, and internal audit approach.
- Determine the perception of Audit Services through interviews and surveys with identified constituencies, including administration and governance.
- Identify ways to enhance Audit Services policies and procedures.
- The results of this review will be communicated in a written report.

The response to this RFP should identify the membership and credentials of the review team, including an organizational chart and the primary contact. The team membership should include at least one member with higher education experience.

2) Informational Background:

The University of Louisville is a state supported research university located in Kentucky's largest metropolitan area. The University has three campuses. Belknap Campus is located three miles from downtown Louisville and houses seven of the university's 12 colleges and schools. The Health Science Center is situated in downtown Louisville's medical complex and houses the university's 4 health related schools. Shelby Campus is located in eastern Louisville, is home to several university centers, as well as the Shelbyhurst office park for business and technology endeavors. Founded in 1798, the University of Louisville pursues excellence and inclusiveness in its work to educate and serve its community through;

1. Teaching diverse undergraduate, graduate, and professional students in order to develop engaged citizens, leaders, and scholars,
2. Practicing and applying research, scholarship and creative activity, and
3. Providing engaged service and outreach that improve the quality of life for local and global communities.

The university is committed to achieving preeminence as a nationally recognized metropolitan research university.

Audit Services provides an independent review of key functional, operational, financial, and compliance controls of all University units and its affiliated organizations. The department will provide information on best practices and cost saving opportunities when appropriate. In addition, management consulting projects are available. The department employs a staff of 6 professionals, including the Vice President for Risk, Audit, and Compliance, who reports administratively to the University President and functionally to the Audit, Compliance, and Risk Committee of the Board of Trustees.

An annual audit plan is developed with an annual risk assessment methodology.

3) Cost:

Include in the proposal the following:

- Proposed cost of the project, including an explanation of cost assumptions and calculations used in the estimate.
- Travel related expenses, including lodging, transportation, and meal expenses.
- A list of at least 3 references. References are to be non-University contacts.

4) Method of Award:

The contract will be awarded based on the following weights and criteria:

1.	Organizational experience in performing QAR projects using IIA criteria.	50%
2.	Experience level and expertise of the project team.	20%
4.	Cost	30%

5) Contract Period:

Desired contract start and end dates are December 1, 2023 through June 30, 2024.

No services are to be provided prior to the start date indicated on the fully executed Personal Services Contract (sample provided). A subsequent additional contract may be established from this RFP process to run from July 1, 2024 through November 30, 2024 with all terms, conditions and pricing remaining the same. This will require a new contract be executed.

6) Foreign Corporation Registration (Out-of-State Corporations):

Pursuant to KRS 271B.15-010, any Out-of-State corporate contractor must be properly registered with the Kentucky Secretary of State, before transacting any business within the state of Kentucky. The statute states “(a) foreign corporation... shall not transact business in this state until it obtains a certificate of authority from the Secretary of State.” The registration form and instructions are found at https://web.sos.ky.gov/forms/corp/FBE-Certificate%20of%20Authorization_Foreign%20Business%20Entity.pdf

7) Reciprocal Preference:

In accordance with KRS 45A.490 to 45A.494, a resident Offeror of the Commonwealth of Kentucky shall be given a preference against a nonresident Offeror. In evaluating proposals, the University will apply a reciprocal preference against an Offeror submitting a proposal from a state that grants residency preference equal to the preference given by the state of the nonresident Offeror. Residency and nonresidency shall be defined in accordance with KRS 45A.494(2) and 45A.494(3), respectively. Any Offeror claiming Kentucky residency status shall submit with its proposal a notarized affidavit affirming that it meets the criteria as set forth in the above referenced statute.

Forms can be found at <http://louisville.edu/purchasing/forms>.

8) Questions:

All questions regarding this RFP are due by Wednesday, October 4, 2023 at 2:00 PM Eastern Standard Time and are to be emailed to Amber Horn at amber.horn@louisville.edu. Answers to questions will be issued as an addendum and posted to the website location of the RFP by Tuesday, October 10, 2023.