

**USAC SOLICITATION FOR**

**Governance, Risk and Compliance Solution**

**CONTRACT INFORMATION:**

**Method of Solicitation:** Request for Proposal (RFP)  
**Solicitation Number:** USAC-22-008  
**Award Effective Date:** TBD  
**Contract Period of Performance:** (12) month base period; two twelve (12) month option period  
**Solicitation Issue Date:** January 14, 2022  
**Offer Due Date:** **February 7, 2022 at 10:00 AM ET**

**CONTRACT TO BE ISSUED BY:**

Universal Service Administrative Co.  
 700 12<sup>th</sup> Street NW, Suite 900  
 Washington, DC 20005

**USAC RFP PRIMARY CONTACT:**

<b>USAC CONTACT INFORMATION</b>	<b>OFFEROR CONTACT INFORMATION</b>
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**OFFEROR SIGNATURE**

\_\_\_\_\_  
 Name and Title

\_\_\_\_\_  
 Date

(RFP) COVER PAGE

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## 1. Company Profile

USAC is a not-for-profit Delaware corporation, which works under the oversight of the Federal Communications Commission (“FCC”). USAC is not a federal agency, a government corporation, a government controlled corporation or other establishment in the Executive Branch of the United States Government. USAC is not a contractor to the Federal Government. The Contract that may be awarded as a result of this RFP will not be a subcontract under a Federal prime contract.

USAC does, however, conduct its procurement activities in accordance with the terms of a Memorandum of Understanding with the FCC, which requires USAC to adhere to the following provisions from the Code of Federal Regulations: 2 C.F.R. §§ 200.318-321; 200.323; 200.325-326 and App. II to C.F.R. Part 200. Additionally, any confidential or proprietary information received from or disclosed by Contractor to USAC is subject to disclosure under the Freedom of Information Act. Information systems at USAC, including any software used by the Contractor, must be compliant with Federal Information Security Modernization Act (FISMA) security requirements as a system managing Federal Funds and interfacing with Department of Treasury systems.

## 2. Objective

USAC is seeking an integrated Governance, Risk, and Compliance (GRC) product to mature USAC’s risk management automation and analysis, modernize and interconnect functions in place, and provide enhanced reporting and dashboard capabilities for an integrated view of enterprise risk and audit data. The GRC product shall connect USAC’s audit and assurance functions, internal controls, enterprise risk activities, fraud-related efforts, information technology security, business risk and compliance management reporting to provide an enterprise view of USAC’s corporate risks.

The tool must have an intuitive design and functionality, be able to accommodate multiple users, and other requirements listed out in this Request For Proposal (RFP).

## 3. Place of Performance

- A. All required Contract Services, must be performed within the United States at either USAC’s headquarters at 700 12th Street NW, Suite 900, Washington, DC 20005 (USAC Headquarters), virtually, or such other location as USAC may approve in its sole discretion.
- B. A Contract Kick-off Meeting may be held at USAC Headquarters or virtually. Status and other meetings may be held telephonically or in person, at USAC’s discretion. USAC will not reimburse Contractor for any travel related expenses for kick-off, status, and other meetings.
- C. Services requiring work at USAC Headquarters, will include appropriate work space and appropriate access to USAC’s computer network. **NOTE: To access USAC IT Systems, Contractor must sign USAC’s IT Security Rules of Behavior Form and**



**complete mandatory IT Security and Privacy Awareness Online Training.**

- D. Status update meetings and other meetings may be held virtually, except to the extent that USAC or the Contractor requires in-person presence and in accordance with USAC and Contractor Continuity of Operations Plan (COOP). While attending USAC Headquarters for meetings or to conduct audits, Contractor staff will be considered as visitors. All visitors are required to complete USAC's Visitor Form, [USAC Visitor Form](#), and wear a badge while on premises. The Contract kick-off meeting and all in-person meetings will be held at USAC Headquarters or other reasonable locations designated by USAC. Contractor may also be required to attend meetings at the FCC Offices located at 445 12<sup>th</sup> St SW Washington, DC 20554.
- E. Upon written request by USAC, Contractor shall provide a COOP including business continuity plans, disaster recovery plans, emergency operations plan and procedures, and associated plans and procedures in the event performance must be conducted virtually.

#### **4. Contract Type**

The contract to be awarded to the selected Contractor pursuant to this RFP will be a firm fixed price single-award contract ("Contract"). The firm fixed price for the work (total project and all line items) is to be set forth in Attachment 1 to the Contractor Proposal submission to the RFP. The firm fixed price is to include all direct and indirect costs set forth in this Section 6, including equipment, product support, supplies, general and administrative expenses, overhead, materials, travel, labor, taxes (including use and sales taxes), shipping, and profit. USAC will not reimburse Contractor for any travel-related expenses.

#### **5. Contract Term**

The contract term shall be for the initial term of twelve (12) months ("Initial Term"), with two additional one (1) year option term, to be exercised by USAC in its sole discretion. The Initial Term of the Contract shall commence on the date in which the contract is signed ("Effective Date").

USAC may require continued performance of any Services beyond the expiration of Contract Term, or any period included in the Term, within the limits and at the rates specified in the Contract. USAC may extend the services more than once, but the total extension of performance hereunder shall not exceed six (6) months.

## 6. Scope of Services and Deliverables

### 6.1 General System Functional Requirements

#### Summary of Product Capabilities Required:

Contractor shall provide a GRC tool that includes support for:

- i. Process automation features to streamline workflows and manual tasks
- ii. Integrated content management supporting internal and external collaboration, document sharing, storage, and archiving
- iii. Case management features for core GRC functions (audits, assessments, risks, investigations, etc.)
- iv. Forms management and template configuration solutions
  - v. Ad-hoc & scheduled reporting and analytics
  - vi. Enterprise and project-specific dashboards with drill down capability
- vii. Enterprise risk management
- viii. Audit planning & audit lifecycle management
- ix. Audit & risk remediation management
- x. Compliance, internal control testing, & policy management features

To better understand how the proposed solution meets USAC's needs, we have developed a "Fit-gap" document, outlining key functional features needed within the tool. The sections below contain some additional information on these features, as well as background on the divisions/teams that will use the solution. In regards to the other non-functional requirements, such as implementation, training/change management, migration, and security, we have provided these requirements in the document below, and request a response outside of the Fit-gap.

#### **PROCESS AUTOMATION**

As USAC looks to implement a single solution to meet many of its GRC requirements, one key area of need is to add process automation features replacing existing manual activities as well as retaining current automation (either from a current internal or external technology). Due to the nature of our business, the ability to have overarching process automation functionality with the capability to configure at the local business level will be needed.

*For detailed requirements please refer to the Process Automation section of the Fit-gap document under the "General" tab.*

#### **INTEGRATED CONTENT MANAGEMENT & COLLABORATION**

USAC currently has multiple locations to manage and collaborate on content, but are seeking a central location to manage and share GRC data and documents, while incorporating business rules controlling security, permissions, and role-based access with the ability to flag retention policy rules. The GRC should not always serve as the final document repository, but should have the ability to point to a location, reducing duplicate



versions and retaining existing permissions. USAC's main document retention is the network drive, with Outlook serving as USAC's primary email application.

*For detailed requirements please refer to the Integrated Content Management & Collaboration section of the Fit-gap document under the "General" tab.*

### **CASE MANAGEMENT**

USAC defined case management as a workflow or "mini project" to accomplish repeatable tasks across a predefined phased lifecycle, with milestones and reviews. These cases are assigned to resources with the ability to manage key activities, associated content/documentation, collaborate with authorized users, trigger reviews, and report case progress and results. Currently, this high level approach is used across all GRC partners, however the scope of each partner varies.. While each GRC partner will use the case management features differently, USAC does have overarching requirements to satisfy all the users.

*For detailed requirements please refer to the Case Management section of the Fit-gap document under the "General" tab.*

### **REPORTING/DASHBOARDING**

In general, reporting for GRC related topics is currently either done manually (excel) or through an existing system. USAC is looking to not only continue its current reporting activities, but also seeking opportunities to automate cross-GRC partner reporting and analysis including drill-down features.

*For detailed requirements please refer to the Reporting/Dashboarding section of the Fit-gap document under the "General" tab.*

### **FORMS MANAGEMENT**

USAC seeks key Forms Management features with capabilities to produce configurable no-code forms and templates in which USAC has the ability to easily modify field types/names and associated data validations to automate the outgoing distribution and the subsequent incoming data inputs, reducing manual efforts.

*For detailed requirements please refer to the Forms Management section of the Fit-gap document under the "General" tab.*

### **ENTERPRISE RISK MANAGEMENT**

The Enterprise Risk Management team drives overall risk appetite and tolerance, and works with the other GRC partners on overarching activities. Specifically, the team's GRC-related activities include:

- Risk Management - collection, analysis and communication of high impact/high likelihood programmatic or operational risks across the enterprise
- Corporate policy & procedure - maintenance and management of all corporate policies & procedures



- Corrective Action Plans (CAPs) - support CAP owners in drafting, monitoring, reporting and following-up on completed CAPs

*For detailed requirements please refer to the Risk Management tab of the Fit-gap document.*

## **AUDIT PLANNING & AUDIT MANAGEMENT**

USAC's Audit Assurance Division (AAD) preserves the integrity of the Universal Service Fund through conducting objective audits, performing quality assessments and evaluating the efficiency and effectiveness of USAC operations. AAD is comprised of four sub-teams, with BCAP & PQA as the largest groups:

- **Beneficiary & Contributor Audit Program (BCAP):** responsible for conducting audits to ensure USAC beneficiaries and contributors are compliant with FCC rules, orders, and Program requirements; resources include both internal and external auditors
- **Payment Quality Assurance (PQA):** conduct assessments to test Universal Service Fund (USF) disbursements and report exceptions known as "improper payments" to the FCC; resources include both internal and external testers
- **Strategic Audit (SA):** Perform audits of USAC's internal operations and partner with Enterprise Risk Management to flag enterprise risks and responses to identified risks; internal staff only (no contractors)
- **Project Management Office (PMO):** Perform AAD operational and project management activities, including vendor management oversight, liaison between AAD and USAC divisions, support reporting obligations, and serve as product owners to AAD technologies; internal staff only (no contractors).

To perform these functions successfully, AAD GRC partners are seeking robust yet intuitive audit planning and management features that support the audit and assessment process lifecycles including the key activities conducted throughout these lifecycles.

*For detailed requirements please refer to the Audit tab of the Fit-gap document*

## **FINANCE**

The Finance division consists of numerous teams although the Internal Controls and Compliance & Reporting teams will be the primary users of the GRC tool.

The Internal Controls team is responsible for testing and monitoring the effectiveness of USAC's internal controls over reporting in accordance with OMB requirements. As part of these requirements, the Internal Controls team prepares and executes a three-year testing plan that covers USAC's key reporting areas and risks. Currently, enterprise applications (e.g., Excel, Outlook, Word) are used to perform activities.

The Compliance & Reporting team tracks, collects, and prepares financial and operational reports to provide to the FCC as required by the Memorandum of Understanding (MOU) between USAC and the FCC. Currently, SharePoint and other enterprise applications are used to track and perform activities.

*For detailed requirements please refer to the Finance tab of the Fit-gap document*

## **OFFICE OF GENERAL COUNSEL - FRAUD RISK GROUP**

USAC's Office of General Counsel Fraud Risk Group (OGC FRG) supports activities for safeguarding the USF by managing fraud or potential fraud, conducting investigations into external entities in coordination with the FCC, and ensure USAC responds with measures including corrective actions for future prevention, detection, and deterrence of fraud, waste, and abuse.

To support FRG's objectives, the FRG seeks primarily case management capabilities (see "case management" section) with tight controls governing role-based security permissions limiting access to confidential investigations to authorized personnel only. Currently, the OGC FRG team uses Outlook, Excel and other enterprise technologies.

*For detailed requirements please refer to the OGC-FRG tab of the Fit-gap document*

### **6.2 General IT non-functional requirements**

#### **The system shall:**

- i. Offer a no-code, highly configurable integrated GRC COTS solution with an intuitive, user-friendly user interface (UI) connecting USAC's GRC functions (audit, risk, compliance, etc.) within a single integrated platform
- ii. Support access to both internal and select external users (external AAD contractors with restricted/limited access)
- iii. Support user population of approximately 200 once fully scaled (2023)
- iv. Provide privacy security features to store sensitive/confidential/PII GRC documents and associated data (e.g. Fraud Risk investigations)
- v. Enable unique role-based permissions controlling access/authorization to both content and tool functionality
- vi. Support open API's to enable bi-directional data flow or similar connection/integration with other USAC systems or applications (e.g. SharePoint, Enterprise Data Warehouse)
- vii. Integrate with USAC's OKTA's Identity and Access Management/MFA software for user authentication and provisioning and provide MFA capabilities
- viii. Support Single Sign On (SSO) capability through OKTA by using SAML based Authentication, and provide create, update, and deactivate capabilities



- ix. Support ability to perform bulk file uploads (e.g. csv, xcl) for populating GRC internal data (e.g. records and fields) and downloadable data exports of all internal records and data
- x. Support document management organization structure based on categories and folders
- xi. Enable automated and manual bulk migration of data and artifacts from existing legacy systems to GRC tool as part of implementation
- xii. Support existing MS suite of applications (e.g. Word, Excel, Powerpoint, Outlook, SharePoint)
- xiii. Integrate with USAC's Enterprise Data Warehouse (EDW)
- xiv. Interface with Outlook/Exchange for outbound and inbound email delivery to support email notifications, email-triggering workflows, bulk-email delivery, and automated entity data collection via templated forms (issued by system via email) or file attachment uploads
- xv. Support the following USAC architecture and infrastructure requirements:
  - **Content Back-up and Restore:** The solution shall provide full and incremental data back-up capabilities on a scheduled and ad-hoc basis. The solution must allow system administrators the ability to perform restoration of content at all levels, from full database restoration to partial restoration of selected content.
  - **Scalability & Capacity:** The system shall flexibly allow growth of data and transaction volume without any degradation of response time or other system processing performance criteria when at full capacity (>80%). This should include but not limited to growth in the number of user accounts, simultaneous transactions, projects/application domains, system records and content, and stored documents and artifacts
  - **Availability:** USAC requires 24/7 access to the GRC solution with a system uptime of >99%. The vendor shall provide SLAs for scheduled system maintenance and response times for addressing system failures.
  - **Performance:** Peak demand for GRC users will be during normal USAC hours on weekdays between 9 AM and 6 PM. The system shall not exceed > 500ms response time for user interactions and support transaction volumes and data transfers with minimal workload processing delays.
  - **Encryption:** For cloud-based solutions, the system shall support the ability to configure encryption at rest and/or in transit for sensitive USAC data, as determined by USAC policy and use cases.



- **Product Development Test/UAT Environments:** USAC requires the ability to perform configuration changes and user acceptance testing in separate technology environments that are isolated from the GRC live production application. The vendor shall propose a solution that includes these multiple, lower environments to meet product development life cycle for deploying features via automated continuous integration.
- **Software Development Life Cycle (SDLC) Artifacts:** USAC requires support of SDLC artifacts during implementation including architecture/integration diagrams, high-level technical design (TDD), test documentation, and security assessment procedures and certification.

**The system is desired but not required to:**

- Provide a built-in Microsoft 365 connector or able to build API to archive documents in OneDrive
- Support UX using USAC branding and 508 compliance

### **6.3 Implementation and Support**

USAC's Strategy & Risk Management team will act as the general project manager for the implementation of the GRC, coordinating with all other GRC partners and IT implementation/support teams. USAC is looking for the implementation team to incorporate best practices/lessons learned, as well as a customized approach to USAC's unique non-profit environment, which also involves limited external access. It is not expected all current GRC users will convert to the new technology in a single cutover, but rather plan to undertake a phased approach to test, migrate, train and use the GRC tool. Due to the change USAC teams would undergo, USAC is also looking for different post go-live support models USAC can explore to add value after go live.

**Please note:** While USAC does not require the implementation & support (professional services) components to be provided by the same vendor hosting the GRC tool, USAC **does require the GRC tool vendor to coordinate implementation & support responses from any potential third party professional services partners/vendors within this RFP.** No separate RFP responses will be considered outside of this RFP.

**The vendor shall:**

- i. Provide a detailed strategy/plan illustrating the vendor's approach and methodology to the configuration, implementation and roll out of the GRC tool
- ii. Provide key implementation planning components, including but not limited to key phases, milestones, timeline, and resources specifying roles and responsibilities.
- iii. Work with USAC Identity Access Manager (and identity management engineers) for configuration of OKTA and MFA with the GRC environment.
- iv. Ensure that GRC functions properly over user VPN.



- v. Assist with role-based access and permissions configuration.
- vi. Incorporate backup protocols and guidance for how GRC will interact with current backup hardware and software for both file structure and work drives as well as disaster recovery systems.
- vii. Assist with follow-up questions regarding any discovered issues.
- viii. Provide administration support for GRC services.
- ix. Provide consultative support for GRC process improvement, redesign, and alignment activities, incorporating industry standards and best practices.
- x. Provide strategy to migrate legacy data to the new GRC tool; include data mapping, migration tasks, dependencies, assumptions, constraints and risks.
- xi. Provide decommissioning strategy for legacy tools so all users leverage the new GRC tool.
- xii. Stand up lower environments for configuration and testing.
- xiii. Identify and document common troubleshooting steps and practice.
- xiv. Telephone support for technical questions.
- xv. Provide support, for 90 Days post-deployment, for any GRC Administration related questions or issues.

## 6.4 Training and Change Management

Adoption of the new GRC tool is paramount for USAC to not only realize the success metrics but also to continue the culture of risk management at USAC. Due to the traditional decentralization and unique usage of the GRC tool by the different users (AAD, Internal Controls, Risk Mgmt, OGC and the Business). USAC would like training for power users across the select teams, IT administrator training and some general user training. Regarding change management, USAC is looking for support with adoption, leadership alignment, stakeholder engagement, communication and sustainability advice and support.

### **The vendor shall:**

- i. Provide customized materials and recommendations for enterprise wide training for admin, core team users, business/general, leadership users as well as for external contractors and new hires using the tool.
- ii. Develop a communications and training plan for impacted users plus administrators based on GRC best practices.
- iii. Identify and document roadblocks and issues that need to be addressed as part of a Change Management Plan.

### **6.5 Deliverables:**

- i. Solution licenses and support.
- ii. Detailed documentation specifying approach and methodology to solution architecture, configuration, implementation and roll-out.
- iii. Gap analysis and mitigation recommendations for any additional system capabilities needed to support USAC's existing legacy system features and functions.
- iv. Implementation and roll-out project plan, including phases, key milestones, and timelines.



- v. Implementation staffing plan, including resource roles and responsibilities.
- vi. GRC roles & profiles implemented in tool.
- vii. Migration strategy for migrating existing legacy data into GRC tool.
- viii. Legacy application decommissioning strategy.
- ix. UAT testing strategy and test scripts.
- x. Configuration and technical support documentation.
- xi. Business Process Model and Notation (BPMN), process documentation and process maps.
- xii. USAC SDLC artifacts required during implementation: solution architecture and integration diagrams, Technical Design Document (TDD), test documentation, security assessment procedures certification.
- xiii. Change Management plan, including leadership alignment, training and communication plans & activities.
- xiv. Administrator training material (technical support documentation).
- xv. End user training material (e.g. user guides).
- xvi. Facilitate core end user and administrator training sessions.
- xvii. Follow up training and change management support as needed.

## **6.6 Vendor Requirements**

- i. US based vendor.
- ii. 5+ years of experience implementing GRC tools.
- iii. Cloud based tools: hosting services must reside in the Continental United States.

## **6.7 Key Personnel & Meetings**

The vendor shall assign a Project Manager whose primary duties will be the implementation and oversight of the project. The Project Manager shall provide USAC with any support necessary for performance of the contract requirements. Vendor can propose, if necessary, additional Key Personnel as required to ensure adherence to all Services, Deliverables, and activities outlined in the Contract.

Contractor shall schedule, prepare an agenda and coordinate a Project Kick-Off Meeting to be held at USAC's offices within ten (10) business days of execution of the Contract. The project kick-off meeting is intended to serve as an introduction between Contractor personnel who will perform the Services under the Contract, and USAC personnel who will be involved with the Project. The meeting shall provide the forum to discuss technical or business questions, Project roles and responsibilities of the respective parties and any Project communications.

Beginning ten (10) business days after contract award Vendor must schedule and participate in weekly status meetings. Contractor shall prepare a status report and submit it to USAC once per week. The report must include the current status for each of the project work streams including percentage of completion, achievements, and any risks/issues relating to Contract performance or payment. The report must include an expected completion date and the circumstances surrounding any possible delays. The report shall be submitted one (1) business day before each regularly scheduled status meeting and no



later than Friday noon (12:00 PM ET) during weeks in which the meeting is scheduled for Monday or when no status meeting is scheduled.

## 7. Instructions and Evaluation Criteria

### 7.1 Contract Terms and Conditions Sheet

The Contract awarded as a result of this RFP will be governed by, and subject to, terms and conditions set forth in Attachment 5 (USAC Terms and Conditions Jan 2022) and all attachments herein. Offeror's submission of a proposal constitutes its agreement to the Terms and Conditions and their precedence over any other terms, requirements, or conditions proposed by offeror.

**Offeror's proposal shall identify deviations from, or revisions, exceptions or additional terms (collectively "exceptions") to the Terms and Conditions document, but only if such exceptions are clearly identified in a separate Attachment B to Volume II, "Exceptions to RFP Terms." Proposals that include material exceptions to the Terms and Conditions may be considered unacceptable and render Offeror ineligible for award unless the Offeror withdraws or modifies any unacceptable exceptions prior to USAC's selection of the successful Offeror for award. USAC will only review changes or additions to the Terms and Conditions that are included in Offeror's proposal. After selection of the awardee, USAC will not consider or negotiate any exceptions to the Terms and Conditions.**

### 7.2 Period for Acceptance of Offers

Offeror's shall ensure that its proposal remains valid for 120 calendar days from the date specified for receipt of offers, unless another time period is specified in an addendum to the solicitation.

Offeror's shall ensure that its proposal:

- A. Concisely address USAC's requirements, as set forth in this RFP, and **should not contain a significant** amount of corporate boilerplate marketing information.
- B. Is submitted to USAC Procurement Department no later than **10:00 AM ET on February 7, 2022 ("Proposal Due Date")**.
- C. Is submitted in the form of one electronic copy submitted to [rfp@usac.org](mailto:rfp@usac.org) and [susana.iannino@usac.org](mailto:susana.iannino@usac.org). The subject line for all email communication related to this solicitation should only state the Solicitation Number of this RFP.

To be timely, Offeror's proposal must be received by USAC by the proposal due date at the email address specified above. Any offer, modification, revision, or withdrawal of an offer received at the USAC office designated in the solicitation after the proposal due date and time is "late" and will not be considered by USAC, unless USAC determines, in its sole discretion, that circumstances beyond the control of Contractor prevented timely submission, consideration of the offer is in the best interest of USAC, or the offer is the only proposal

received by USAC. Proposals, once submitted, cannot be withdrawn for 120 calendar days from the date specified for receipt of offers, except with the written consent of USAC.

### 7.3 Submission of Questions

USAC will only accept written questions regarding the RFP. All questions must be emailed to [rfp@usac.org](mailto:rfp@usac.org) and [Susana.iannino@usac.org](mailto:Susana.iannino@usac.org) no later than **January 26, 2022, 10:00 AM Eastern Time (ET)**. **USAC plans to post all questions and responses under this procurement on our website on January 28, 2022 5:00 PM ET.**

### 7.4 Amend, Revise, or Cancel RFP

USAC reserves the right to amend, revise or cancel this RFP at any time at the sole discretion of USAC and no legal or other obligations are assumed by USAC by virtue of the issuance of this RFP, including payment of any proposal costs or expenses, or any commitment to procure the services sought herein.

### 7.5 Documentation Requirements

Each document deliverable shall be submitted in an acceptable electronic unprotected format, using Microsoft® Excel, Microsoft® Word, Microsoft® Project Professional, PDF, or any other format that is mutually agreed upon by USAC and Contractor.

### 7.6 RFP Key Dates

DATE	EVENT
January 14, 2022	RFP Released
January 26, 2022	Questions Due to USAC by 10:00 AM ET at <a href="mailto:susana.iannino@usac.org">susana.iannino@usac.org</a>
January 28, 2022	Answers posted by USAC by 5:00 PM ET
February 7, 2022	Proposal Due to USAC by 11:00 AM ET at <a href="mailto:rfp@usac.org">rfp@usac.org</a>
February 17- March 4, 2022	Demonstrations / Vendor Discussions
March 10, 2022**	Final Proposal Revisions and Best and Final Offers Due by 11:00 AM ET at <a href="mailto:rfp@usac.org">rfp@usac.org</a>

\*\* Dates will be adjusted if needed

### 7.7 Contract Award

USAC will evaluate proposals and may award a contract resulting from this solicitation to the Contractor whose offer will be most advantageous to USAC. USAC may reject any or all offers if such action is in the public's or USAC's interest; accept other than the lowest offers; and waive informalities and minor irregularities in offers received. USAC may further choose to award only the CSC or only the CRM portions of this solicitation if a single vendor's proposal is not found to meet the requirements of both portions. Offerors should note that if a CSC only contract is implemented, that Vendor will be required to use a CRM that may differ from what it proposed.

## 7.8 Identification of Confidential Information

Offeror's proposal shall clearly and conspicuously identify information contained in the proposal that Contractor contends is confidential information.

All deliverables submitted by Contractor to USAC are considered Confidential Information of USAC and are the sole property of USAC. USAC may use, copy, distribute or disclose the deliverables in its sole discretion.

## 7.9 Proposal Cover Page

Offeror's must ensure that its proposal contains a cover page which includes the following information:

- A. The name of Offeror's organization;
- B. Offeror's contact name;
- C. Offeror's contact information (address, telephone number, email address, website address);
- D. Offeror's DUNS number;
- E. The date of submittal;
- F. A statement verifying the proposal is valid for a period of 120 days; and
- G. The signature of a duly authorized offeror representative.

## 7.10 Proposal Content

Offeror's proposal shall be comprised of the following two (2) volumes. All text shall be 12 point font size, and page limits shall be followed as indicated.

- A. **Technical (Volume I) – Word / page limits as indicated per section.**
  - 1. A cover page, as outlined above.
  - 2. Capabilities Matrix. Identify the tool(s) and services that satisfy the technical requirements. Provide a brief explanation of how your company would mitigate those tool and service requirements that your solution does not currently satisfy. Provide a roadmap and a tentative timeline to implement the tools and services requested in the RFP.
  - 3. Sign acknowledgment of Attachment 2 (Confidentiality and Security Procedures). List all exceptions (if any).
  - 4. Complete Attachment 3 (Vendor GRC Functional Fit Gap 2022) provided by USAC, filling the information on the different tabs.
  - 5. Respond to Attachment 4 (Informational Request).



6. List any exceptions to USAC Terms and Conditions as indicated in Section 7.1.
7. Experience. Describe your firm's experience with providing the tools and related services as detailed in Section 6 of this RFP. Provide a minimum of three (3) examples of projects and personnel to include project scope
  - i. an overview of the engagement;
  - ii. a description of the scope of work performed;
  - iii. its relevance to this effort;
  - iv. the results achieved.
8. Professional References. Include 3 professional references with the following information:
  - i. Company Name
  - ii. POC name and title
  - iii. POC email and phone number

#### **B. Price proposal (Volume IV)**

This volume must include:

1. Cover Page. A cover page, as outlined above.
2. Pricing Information.
  - a. Completed pricing information in the format of Attachment 1 (Bid Sheet).
  - b. The proposed price should be fully burdened and must include wages, overhead, general and administrative expenses, travel, taxes and profit.

#### **C. Page Count Limits**

Page count, for each Volume including the Cover page, may not exceed the below:

1. Volume I – Technical; may not exceed eight (9) pages including Cover page; however excluding **Attachments 2-6**.
2. Volume II – Price; may not exceed two (2) pages, including Cover page and Attachment 1.

Any proposals received exceeding the page count, will be considered technically unacceptable and may not receive further consideration.

#### **7.11 Evaluation Criteria**

USAC will award a contract resulting from this solicitation to the responsible contractor whose offer conforming to the solicitation will be most advantageous to USAC, price and other factors considered. The following factors, which are listed in descending order of importance, shall be used to compare offers and select the contractor – Technical and Price. When combined, the Technical factor is significantly more important than Price.

1. **Technical:** The technical sub-factors listed below in descending order of importance:

- a. Tool
- b. Service Capabilities
- c. Experience

2. **Price Evaluation:** USAC will evaluate price based on the firm fixed price, listed in the Bid Sheet. Price is the least important evaluation factor and USAC may not necessarily award a Contract to the lowest priced Offeror. USAC further recognizes that the size of a company, its name-recognition, geographical offerings and the expertise/experience of staff impacts the price of the service category rates offered by the firms, thus making comparisons of differently situated firms less meaningful. Therefore, when considering rates, USAC will use the rates of similarly situated companies for reasonableness and comparison purposes. Price may become a more important selection factor if the ratings for the non-price factors are the same or very close to the same. In addition to considering the total prices of the Offerors when making the award, USAC will also evaluate whether the proposed prices are realistic (i.e., reasonably sufficient to perform the requirements) and reasonable. Proposals containing prices that are determined to be unrealistic or unreasonable will not be considered for award.

## 7.12 Down-Select Process

USAC may determine that the number of proposals received in response to this RFP are too numerous to efficiently conduct a full evaluation of all evaluation factors, prior to establishing a competitive range. In such a case, USAC may conduct a down-select process to eliminate Offerors prior to discussions, from further consideration based on a comparative analysis of offeror proposals, with primary focus on the price proposal, but USAC may, in its sole discretion, consider other factors such as quality of proposal, technical capabilities and past performance. Proposals that include proposed prices that are significantly higher than the median proposed price for all offerors may be excluded from the competition without evaluation under the other evaluation factors. Proposals that contain prices that are unrealistically low in terms of sufficiency to perform the Contract may also be excluded from the competition.

## 7.13 Responsibility Determination

USAC will only award Contracts to a responsible offeror. USAC will make a responsibility determination based on any available information, including information submitted in an offeror's proposal. In making a responsibility determination USAC will consider whether:



- A. Offeror has sufficient resources to perform the Contract;
- B. Offeror has a satisfactory record of performance, integrity and business ethics;
- C. Offeror has the internal controls, quality assurance processes and organizational structure and experience necessary to assure that contract work will be properly performed consistent with Program rules, policies and procedures, and accurately invoiced; and
- D. Offeror has the facilities, technical and personnel resources required to perform the Contract.

**ATTACHMENTS**

1. **Attachment 1: Bid Sheet**
2. **Attachment 2: Confidentiality and Security Procedures**
3. **Attachment 3: Vendor GRC Functional Fit Gap**
4. **Attachment 4: Information Request**
5. **Attachment 5: USAC Terms & Conditions**
6. **Attachment 6: Key Personnel Resumes (To be provided by Contractor)**