



## **REQUEST FOR PROPOSAL (RFP)**

**Title:** Request for Proposals for Information Technology Security Risk Assessment Consulting

**RFP #:** SB1-2018

**Date Issued:** October 11, 2018

**DUE DATE:** November 1, 2018 @ 3:00 p.m. CST

### **1. General Information**

#### **1.1 Background**

As a private, comprehensive university enriched by its United Methodist heritage and partnership with the Dallas-Fort Worth area, Southern Methodist University (“SMU”) seeks to enhance the intellectual, cultural, technological, ethical, and social development of a diverse student body. SMU offers undergraduate programs centered on the liberal arts and excellent graduate, professional, and continuing education programs. The SMU experience also includes accessible faculty in small classes and abundant opportunities for research experience, international study, leadership development, and service and internship opportunities beyond campus – all with the goal of preparing students to become contributing citizens and leaders for our state, nation and world.

SMU has approximately 11,000 students studying in seven degree-granting schools: Cox School of Business, Dedman College of Humanities and Sciences, Meadows School of the Arts, Bobby B. Lyle School of Engineering, Dedman School of Law, Annette Caldwell Simmons School of Education and Human Development, and Perkins School of Theology.

SMU operations span three campus locations. The main campus in Dallas, Texas includes 107 buildings sitting on 234 acres approximately five miles north of downtown Dallas. The main campus has grown significantly since 2008 with new construction as well as renovated space for instruction and research. The SMU-in-Plano campus operates in 4 buildings on 16 acres and houses The Guildhall, one of the world’s premier graduate programs in video game development as well as noncredit continuing education and professional programs and K-12 summer programs. SMU-in-Taos is located within the Carson National Forest. In the 13 buildings located on 423 acres, summer credit courses are offered in the natural and social sciences, humanities, arts and business, as well as archaeological research and summer field study.

#### **1.2 Purpose**

SMU is requesting pricing proposals for an independent and non-product affiliated information technology security consultant to perform the services described in this Request for Proposal (“RFP”), primarily, conducting a comprehensive assessment (the “Assessment”) of SMU’s information

technology (and, as and where applicable, physical) security protocols and safeguards, including any potential or realized gaps in compliance with international, federal, and state regulations. The assessment should also provide recommendations to address any gaps identified and to realign existing or additional SMU resources for ongoing compliance. Examples of the regulations to be reviewed include, but should not be limited to:

- the European Union’s General Data Protection Regulation,
- the National Institute of Standards and Technology’s Special Publication 800-171,
- the Health Insurance Portability and Accountability Act (including the Health Information Technology for Economic and Clinical Health Act), and
- the Gramm-Leach-Bliley Act.

The Assessment is expected to incorporate all the security controls related to the regulatory requirements of healthcare, research, defense contractors, and higher education. The awardee(s) will be provided with appropriate network security information. Where applicable, recommendations should be based on function matching need at lowest total cost of ownership, not brand name.

In order to simplify SMU’s task of evaluating all of the proposals, SMU has developed a format in which all proposals must be prepared. Failure to adhere to this format or to omit any of the information that is required could result in a proposal being disqualified.

The awardee(s) will be the consultant, firm, contractor, offeror or proposer (“Consultant”) who will best satisfy all of SMU’s needs with regard to the Assessment at optimum cost and service performance. Cost will not be the sole criteria for determining the awardee(s). SMU (and/or SMU’s outside counsel) shall issue a firm, fixed-price contract (the “Contract”) for the services resulting from this RFP. Notwithstanding the preceding, SMU reserves the right to award Contracts to multiple Consultants, if SMU determines (at its sole discretion) that it is in SMU’s best interest to do so.

## **2. RFP Schedule and Proposal Submittal**

### **2.1 Schedule**

Issue Request for Proposal	October 11, 2018
Last Day for Questions to be Submitted	October 18, 2018
Questions Answered	October 23, 2018
Closing Date – Responses Due at 3 PM CST	November 1, 2018
Potential Interviews with Selected Consultants	Week of November 12, 2018
Notice of Award	Week of December 3, 2018

### **2.2 Questions and Inquiries**

All inquiries concerning this RFP should be directed to:

Shannon Brown, Director of Purchasing  
SMU - Purchasing  
Email: [shannonbrown@smu.edu](mailto:shannonbrown@smu.edu)  
Phone: 214-768-4909

Questions should be submitted in writing via email. Written questions should be directly tied to the RFP and should be asked in consecutive order, following the organization of the RFP and referencing the RFP section. General questions will be shared with all those Consultants participating in the process.

Short procedural inquiries may be accepted by telephone or email, however, oral explanations or instructions given over the telephone shall not be binding upon SMU.

### **2.3 Consultant Responsibility**

Each Consultant assumes sole responsibility for the complete effort required in this RFP. No special consideration shall be given because of a printer's failure to be knowledgeable of all the requirements of this RFP. By submitting a proposal in response to this RFP, the Consultant represents that it has satisfied itself, from its own investigation, of all the requirements of this RFP.

### **2.4 Cost Liability**

SMU assumes no responsibility and bears no liability for costs incurred by Consultants or printers in the preparation and submittal of proposals in response to this RFP.

### **2.5 Revisions to this RFP**

In the event that it becomes necessary to clarify or revise this RFP, such clarification or revision will be by an Amendment. Any RFP Amendment will be emailed to all participants. Any amendment to this RFP shall become part of this RFP.

### **2.6 Proposal Acceptance/Rejection**

SMU reserves the right to reject any or all proposals, to accept or reject any or all the items in the proposal and to award the Contract, in whole or in part, as deemed to be in the best interest of SMU. SMU reserves the right to negotiate with any Consultant if such action is deemed to be in the best interest SMU.

## **3. Scope of Work**

SMU is soliciting proposals from Consultants in the business of providing services as listed in this RFP. Each proposal shall include, at a minimum, the following information. Failure to include these items may be grounds for rejection of a proposal.

- A. Demonstrated Qualifications and Capabilities of the firm and assigned personnel.
1. The Consultant shall present evidence that the firm or its officers have been engaged for at least the past five (5) years in providing services as listed in this RFP.
  2. Provide a description of Consultant, how long it has been in business, an organizational chart indicating all individuals (name, title, address, telephone & fax number, and email address) that will be assigned to provide services to SMU.
  3. Provide the length of time that the individuals that will be assigned to SMU have been with the firm, their qualifications, and resumes.

4. Provide the total number of qualified personnel that could be available if SMU needs them, along with location(s) of the firm.
5. Acknowledgement and acceptance of SMU's terms and conditions. Any requested and proposed exceptions must be submitted with justification and alternate language and MUST be submitted with the proposal.
6. Demonstrated experience providing similar services to other institutions of higher education of similar (or larger) size and scope (specifically provide detail on this experience in the State of Texas).
  - a. Include a summary of at least three (3) comparable projects (preferably in connection with institutions of higher education); and
  - b. Include the methodology for conducting a risk assessment.
7. Describe any other relevant experience that Consultant may have.
8. Demonstrate satisfaction of minimum insurance requirements of no less than \$1 million errors and omissions.

B. References

Provide three (3) current and two (2) former client references that Consultant has provided similar services, including the institution's name, contact name, position, and telephone number. Preference will be given to proposals that include references from institutions of higher education.

C. Fee Proposal

Each Consultant shall submit a detailed cost proposal to include all aspects of providing the scope of work associated with this RFP, to include consulting fees and expected reimbursables, if applicable.

No other fees will be paid unless agreed to in writing prior to service being rendered. Fees paid by SMU (and/or SMU's outside counsel) shall constitute full payment for all services rendered. No other fees of any kind shall be earned unless there is prior written disclosure to SMU and subsequent approval by SMU.

State Consultant's fee schedule for the various types of services offered, to include expenses, which are to remain firm for the entire award period including any contract extensions. All costs must be identified in Consultant's proposal, as SMU will not pay for any hidden costs.

State the name, telephone & fax number and e-mail address of the person authorized to represent and speak for Consultant in all business and contractual matters relating to this RFP.

D. Proposal Content Requirements

Proposals should include comprehensive responses to the following and address items as specified in the Scope of Work. Proposals are required to follow the exact order as provided in the RFP document so that all proposals can be evaluated on an equal and timely basis.

1. Approach
2. Team
3. Process
4. Timeline
5. Deliverables
6. Pricing Proposal – including rates and hours, if applicable
7. Responsibilities of SMU
8. Responsibilities of Consultant
9. References

**4. Proposal Submittal**

For consideration, Consultants must submit a comprehensive response that meets the minimum requirements as stated in this RFP. Proposals are required to follow the exact order as provided in the RFP document so that all proposals can be evaluated on an equal and timely basis. Copies of proposals must be submitted as stated below and not to any other office or department at SMU.

**Proposals must be received by 3:00 p.m. CDT on or before November 1, 2018.**

Each firm is required to provide their proposal in the following manner

- **One (1)** clearly marked hardcopy “original” in 8.5” x 11” double-sided, non-binding form. No metal or plastic binding – may use binder, folder, or clip for easy removal of proposal; **and**
- **One (1)** flash drive containing a “single” continuous, no folders, electronic copy of the proposal, that is PC readable, labeled, and is not password protected.

Delivery information is as follows:

Hard Copy: Shannon Brown  
Director of Purchasing  
6116 North Central Expressway, Suite 205A  
Dallas, Texas 75206

Electronic: shannonbrown@smu.edu

Proposals, modifications or withdrawals received after the date set for receipt of proposals may not be considered. Offers submitted in response to the RFP shall be valid for 120 days from the closing date.

Consultants shall not contact any person within SMU directly, in person, by email or by telephone, other than the Director of Purchasing, concerning this RFP.

Any confidential and/or proprietary documents must be on a separate flash drive and labeled appropriately. Consultant must check all flash drives before submitting. No company marketing materials should be included. All photos must be compressed to small size formats.

## **5. RFP Evaluation Committee**

Each proposal will be evaluated by the RFP Evaluation Committee comprised of SMU representatives from Office of Legal Affairs, Business & Finance Representatives and others from within the SMU community. The RFP Evaluation Committee will initially review all proposals for completeness and compliance with the terms and conditions of this RFP. Proposals clearly inconsistent with the RFP requirements will be eliminated from further consideration. Proposals that pass the completeness and compliance review will be evaluated against the Evaluation Criteria outlined below. The RFP Evaluation Committee will make a recommendation to SMU's General Counsel. The General Counsel, with the consultation of outside counsel, will be the sole judge of the best proposals and reserves the right to accept or reject any or all proposals. Each Consultant recognizes this process by submitting a proposal.

## **6. Evaluation Criteria**

The award shall be made to the most responsive and responsible Consultant(s) submitting the best value and most economical offer. All Consultants, in submitting offers, concur with this method of award and will not under any circumstances or in any manner, dispute any award made using this method. SMU (and/or SMU's outside counsel) will enter into contract negotiations with the Consultant(s) who most nearly meet(s) the service needs of SMU, has a strong background in the services requested, and provides a favorable financial offer. SMU is the sole judge of the best offer and reserves the right to accept or reject any or all proposals. Each Consultant recognizes the process, and acknowledges SMU's rights as outlined in the preceding sentence, by submitting a proposal. SMU will evaluate proposals and, if a Consultant is to be selected, select, in descending order of importance, the Consultant firm on the basis of:

- Demonstrated capabilities and qualifications of the Consultant and assigned personnel to meet SMU's needs as outlined in this RFP. SMU can, in its discretion, determine this through references, past experience, and any other appropriate method of determining the Consultant's qualifications. (35%)
- Demonstrated experience as outlined in the RFP response. (25%)
- Cost of services, including expenses. (15%)
- Acknowledgement and acceptance of the SMU's terms and conditions. All requested exceptions must be submitted with justification and proposed alternate language and MUST be submitted with the proposal. (15%)