

**RESPONSES TO WRITTEN QUESTIONS
FINANCIAL OPERATIONS ASSESSMENT
RFP#2021-11
Q & A**

ISSUED ON 09/16/2021

Question #1:

Would you say that the company is adequately staffed to meet current and future business needs (outsourced or insourced)?

Answer #1:

We believe that this is part of what we would like the Assessment to help us determine.

Question #2:

Does UPO have any process and technology structure / architecture documentation that is available today?

Answer #2:

Yes – If this is for the Office of Finance, we have the process documented. However, the question about “technology structure/architecture documentation” is not clear.

Question #3:

Can UPO provide a current technology/systems and applications map with their respective integrations?

Answer #3:

Yes – but without the integrations mapping and it can be shared with the Contractor.

Question #4:

Can UPO provide an organizational structure and/or FTE counts for the entire organization?

Answer #4:

Yes

Question #5:

Can UPO provide descriptions of the existing roles and responsibilities?

Answer #5:

Yes, this will be shared with the Contractor.

Question #6:

What level of process design will be most impactful for this initiative (e.g. stream, process, activity, task, desktop, work group interdependencies/collaboration points, etc.)?

Answer #6:

UPO has no defined direction on process design and will review recommendations from proposers.

Question #7:

Outside of the roles provided within the RFP, please provide the name of any additional organizational teams/roles which may be considered "in-scope" as a part of the assessment.

Answer #7:

Fiscal Management Specialist in the Office of Early Learning (OEL).

Question #8:

Is there a particular format in which you would prefer our response to your request to be formatted i.e. PowerPoint vs. MS Word?

Answer #8:

The prospective proposer should use the format that provides the most comprehensive assessment response. There is no single way that UPO must receive the response.

Question #9:

Is there an expectation to optimize your current technology investments only, or would UPO be open to recommendations for new technology, if necessary?

Answer #9:

All recommendations will be accepted and considered.

Question #10:

When does UPO anticipate the Chief Financial Officer, Director of Financial Operations, and Grants Supervisor positions are to be filled for the long-term? Will the temporary personnel be available, and at what level, for interviews after the contract is awarded?

Answer #10:

UPO is embarking upon an executive search for the next CFO. The interim CFO will be available for answering questions. Interviews at the Financial Operations, Director and Executive levels of the agency will be available for the engagement.

Question #11:

What type of relationship (e.g. transactional, analytical, etc.) does the Finance team have with UPO as an organization?

Answer #11:

Answers will be provided to the Contractor as part of discovery.

Question #12:

Is there currently an established Procurement process with the respective review routes and approval matrices?

Answer #12:

Yes, as a recipient of Federal and D.C. Government funding, we have an established process.

Question #13:

What is the level of detail around the existing operating procedures for financial and accounting transaction management including processes that secure the integrity of financial and cash management and reporting?

Answer #13:

We have defined operating procedures for financial and accounting transactions, including separation of duties, necessary review and approval, and monthly reconciliation.

Question #14:

Which finance processes will be considered "in-scope" for this assessment (e.g. billing, purchasing, A/P, A/R, etc.)?

Answer #14:

All customary financial processes will be considered in-scope including billing, procurement, A/R, A/P, cash management, financial systems and reporting, etc. along with an assessment of current finance manuals and business technologies.

Question #15:

Does UPO experience difficulty preparing grant reporting upon year end?

Answer #15:

This is a definite part of the scope of the assessment. Included should be a complete review of the grant administration process from cradle to grave.

Question #16:

Are there written policies for the accounting system as it relates to federal and state regulatory cost requirements?

Answer #16:

Yes.

Question #17:

Does UPO have written policies or procedures that include purchasing authorization thresholds and limitations as well as USG procurement standards?

Answer #17:

Yes.

Question #18:

Describe UPO's indirect rate structure used for Federal/state awards.

Answer #18

We currently have an approved indirect cost rate through 9/30/21. We are in the process of preparing submissions for FY19 and FY20, which are delinquent. However, many of our grants are capped at lower rates including a de minimis rate of 10%.

Question #19:

Please provide the breakdown of contracts (federal, state, non-federal).

Answer #19:

This will be shared with the Contractor.

Question #20:

Please provide the amount of contract/grant funding received by agency (federal, state, non-federal).

Answer #20:

This will be shared with the Contractor.

Question #21:

Please provide the amount of subcontracts, vendor and/or sub-recipient awards that UPO performs as the prime.

Answer #21:

This will be shared with the Contractor

Question #22:

Please describe the indirect cost rate structure used on Federal and State awards (e.g., de minimums 10%, single rate, apply G&A/OH/Fringe rate, etc.).

Answer #22:

Some awards are at the de minimis 10% and others are at government approved 15.82%.

Question #23:

Is UPO currently using any planning or budgeting software?

Answer #23:

Not actively. UPO procured the Prophix System but we are not using it regularly. UPO will soon have a 3rd party review Prophix with existing UPO staff to assess its efficacy for UPO.

Question #24:

What is the anticipated/preferred start date?

Answer #24:

October 25, 2021.

Question #25:

Is there flexibility around the requirement that the “period of performance should not exceed 60 calendar days”? Would UPO be open to a timeline that exceeds 60 days?

Answer #25:

If there is a reasonable need for an engagement beyond 60 days, UPO may consider it, however, the goal is an engagement that can be completed in 60 days.