NSPAA
Technical Assistance Workshop

The

COMPLIANCE MATRIX

A workshop for creating this essential strategic tool to prepare compliant federal contract proposals

Presented By **Phenomenal Management Partners**

PMP
We Are Phenomenal

INTRODUCTIONS

Sharon Brooks Hodge, CEO/Managing Partner
LaTonia Jones, Founder of The Knowledge Sharing Center

WORKSHOP OBJECTIVES

By the time this session is over, you will …

Understand why a compliance matrix is more than just a checklist and what makes it a strategic tool.

Be able to use an RFP's Statement of Work to map proposal responses directly to the evaluation factors, showing the reviewer exactly where and how the proposal addresses each requirement.

Understand that when the technical approach mirrors the evaluation framework, the proposer builds trust and demonstrates readiness.

PMP
We Are Phenomenal

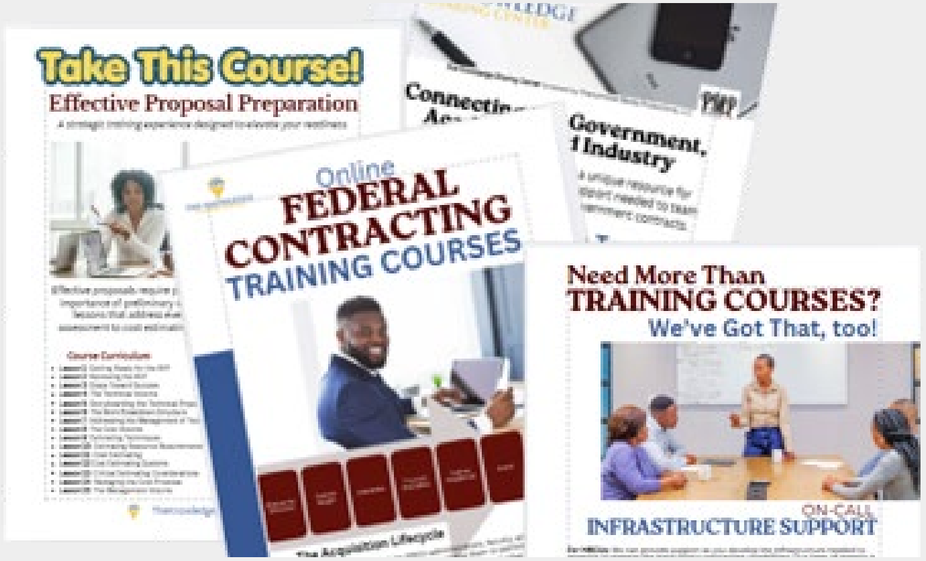
KNOWLEDGE ASSESSMENT —

Who Knows?

What is a compliance matrix why it is important in preparing a contract proposal?

RFP Section	Requirement Summary	Response Location	Compliant (Y/N)	Notes
I. Statement of Work	Provide cybersecurity risk assessments and mitigation strategies for federal systems	Technical Volume, Section 2.1	Y	Includes tailored threat modeling and NIST-aligned mitigation plans
II. Contractor Qualifications	Prime contractor must be an HBCU or HBCU-led consortium	Cover Letter, Section 1	Y	Lead institution: [Insert HBCU Name], with documented leadership and past performance
III. Key Personnel	Identify certified cybersecurity professionals (CISSP, CEH, etc.)	Technical Volume, Section 3.2	Y	Bios and certifications included for all key personnel
IV. Past Performance	Demonstrate successful delivery of cybersecurity services to federal or public sector clients	Past Performance Volume, Section 1	Y	Includes 3 federal contracts with performance ratings
V. Socioeconomic Participation	Include subcontracting plan with small, minority, and women-owned businesses	Business Volume, Section 4	Y	Subcontracting plan includes 40% participation from SDBs and WBEs
VI. Capacity Building	Describe how the project will build cybersecurity capacity within the HBCU and community	Technical Volume, Section 5	Y	Includes student internships, faculty training, and community workshops
VII. Technical Approach	Detail approach to continuous monitoring, incident response, and compliance reporting	Technical Volume, Section 2.3	Y	Aligned with FedRAMP, FISMA, and CMMC frameworks
VIII. Project Management	Provide timeline, milestones, and risk mitigation strategies	Technical Volume, Section 6	Y	Gantt chart and risk register included
IX. Cost Proposal	Submit detailed budget with labor categories and indirect rates	Cost Volume, Section 1	Y	Fully itemized with supporting documentation

PMP
We Are Phenomenal



HANDOUTS

How to Create a Federal Contract Proposal

Compliance Matrix

Here's a detailed, step-by-step guide to help you build one from scratch.

1. **Read the RFP Thoroughly** — Understand every requirement, instruction, and evaluation criterion. Review all sections: Statement of Work (SOW), Evaluation Criteria, Proposal Instructions, and Appendices.
2. **Identify Key RFP Sections** — Break the RFP into manageable components. Create a list of all relevant sections (SOW, Technical Approach, Key Personnel, Past Performance). Include any referenced documents or attachments.
3. **Extract Requirements Line-by-Line** — Capture every requirement in clear, actionable language. For each section, extract specific requirements (e.g., "Provide a cybersecurity risk assessment plan"). Include both technical and administrative instructions.
4. **Interpret and Rephrase for Clarity** — Make each requirement understandable and measurable. Rephrase complex language into plain terms. Ensure each requirement can be answered with "Yes" or "No" for compliance.
5. **Build the Matrix Structure** — Create a table that tracks compliance. Create columns for RFP Section, Requirement Summary, Response Location, Compliant Y/N, and Notes. Optional columns for priority level, and evaluation weight.
6. **Map Your Proposal Content** — For each requirement, indicate the section/page of your proposal that responds to it. Use consistent naming (e.g., "Technical Volume, Section 2.1").
7. **Mark Compliance Status** — Confirm whether each requirement is met. Use "Y" for Yes, "N" for No, and "P" for Partial if needed. Add notes explaining partial compliance or mitigation strategies.
8. **Review for Gaps and Risks** — Identify missing or weak responses before submission. Scan for any "N" or "P" entries and address them. Ensure formatting, page limits, and submission instructions are followed.
9. **Update Throughout the Proposal Process** — Keep the matrix current as the proposal evolves. Update response locations and compliance status as sections are written. Use it as a checklist during final reviews.
10. **Attach to Proposal (Optional)** — Provide reviewers with a roadmap of your compliance. Include the matrix as an appendix or internal QA tool. Label it clearly (e.g., "Appendix A – Compliance Matrix").

Creating a compliance matrix is a powerful way to ensure your proposal aligns with every requirement in an RFP ... especially when you're leading equity-driven, technical, or federally funded projects.

© PMP

Sample Compliance Matrix – HBCU-Led Cybersecurity RFP

RFP Section	Requirement Summary	Response Location	Compliant (Y/N)	Notes
I. Statement of Work	Provide cybersecurity risk assessments and mitigation strategies for federal systems	Technical Volume, Section 2.1	Y	Includes tailored threat modeling and NIST-aligned mitigation plans
II. Contractor Qualifications	Prime contractor must be an HBCU or HBCU-led consortium	Cover Letter, Section 1	Y	Lead institution: [Insert HBCU Name], with documented leadership and past performance
III. Key Personnel	Identify certified cybersecurity professionals (CISSP, CEH, etc.)	Technical Volume, Section 3.2	Y	Bios and certifications included for all key personnel
IV. Past Performance	Demonstrate successful delivery of cybersecurity services to federal or public sector clients	Past Performance Volume, Section 1	Y	Includes 3 federal contracts with performance ratings
V. Socioeconomic Participation	Include subcontracting plan with small, minority, and women-owned businesses	Business Volume, Section 4	Y	Subcontracting plan includes 40% participation from SDBs and WBEs
VI. Capacity Building	Describe how the project will build cybersecurity capacity within the HBCU and community	Technical Volume, Section 5	Y	Includes student internships, faculty training, and community workshops
VII. Technical Approach	Detail approach to continuous monitoring, incident response, and compliance reporting	Technical Volume, Section 2.3	Y	Aligned with FedRAMP, FISMA, and CMMC frameworks
VIII. Project Management	Provide timeline, milestones, and risk mitigation strategies	Technical Volume, Section 6	Y	Gantt chart and risk register included
IX. Cost Proposal	Submit detailed budget with labor categories and indirect rates	Cost Volume, Section 1	Y	Fully itemized with supporting documentation
X. Proposal Format	Follow specified formatting, page limits, and submission instructions	Entire Proposal	Y	Compliant with all formatting and submission guidelines

Compliance Matrix

RFP #:

RFP Section:	Requirement Summary	Response Location	Compliant Y/N	Notes
			Yes ☐ No ☐	
			Yes ☐ No ☐	
			Yes ☐ No ☐	
			Yes ☐ No ☐	
			Yes ☐ No ☐	
			Yes ☐ No ☐	
			Yes ☐ No ☐	
			Yes ☐ No ☐	

Title of Project:
Neurodegenerative Disease Scientific Data Analysis Services

Statement of Need, Purpose, and/or Objective:
The purpose of this requirement is to procure scientific data analysis services related to neurodegenerative diseases in support of the National Institute on Aging (NIA), Center for Alzheimer's and Related Dementias (CARD).

Background Information:
Alzheimer's disease (AD) and related dementias have no effective treatments to halt or reverse disease progression. The complexity of these diseases, driven by genetic, molecular, and environmental factors, requires an innovative, data-driven approach to accelerate scientific discovery. Bioinformatics, at the intersection of biology, computer science, and statistics, is a critical tool that empowers researchers to address this challenge. Together, the scientific staff at the National Institute on Aging (NIA) Center for Alzheimer's and Related Dementias (CARD) will work directly with the contractor's bioinformatics team on the integration and analysis of large, multidimensional datasets—imaging, genomic, proteomic and transcriptomic data integrated with clinical measurements— to enable the identification of novel drivers of disease pathogenesis, the discovery of biomarkers for stratification and early diagnosis, as well as new therapeutic targets.

The necessity of advanced analytics in Alzheimer's disease and related dementias research is underscored by the increasing volume and complexity of data generated by new platforms such as spatial transcriptomics and single cell proteomic, epigenetic and transcriptomic. CARD needs a partner in advanced analytics that can keep pace with these new platforms and analytical tools, to uncover insights needed to fully understand the molecular underpinnings of disease. Bioinformatics, analytics and statistics will provide the computational tools to integrate diverse data types, identify patterns and

PMP
We Are Phenomenal

1 Read the RFP Thoroughly

Understand every requirement, instruction, and evaluation criterion. Review all sections: Statement of Work (SOW), Evaluation Criteria, Proposal Instructions, and Appendices.

PMP
We Are Phenomenal

2 Identify Key RFP Sections

Break the RFP into manageable components. Create a list of all relevant sections (SOW, Technical Approach, Key Personnel, Past Performance). Include any referenced documents or attachments.

PMP
We Are Phenomenal

3 Extract Requirements Line-by-Line

Capture every requirement in clear, actionable language. For each section, extract specific requirements (e.g., "Provide a cybersecurity risk assessment plan"). Include both technical and administrative instructions.

4 Interpret and Rephrase for Clarity

Make each requirement understandable and measurable. Rephrase complex language into plain terms. Ensure each requirement can be answered with "Yes" or "No" for compliance.

PMP
We Are Phenomenal

5 Build the Matrix Structure

Create a table that tracks compliance. Create columns for RFP Section, Requirement Summary, Response Location, Compliant Y/N, and Notes. Optional columns for priority level, and evaluation weight.

PMP
We Are Phenomenal

6 Map Your Proposal Content

For each requirement, indicate the section/page of your proposal that responds to it. Use consistent naming (e.g., “Technical Volume, Section 2.1”).

PMP
We Are Phenomenal

7 Mark Compliance Status

Confirm whether each requirement is met. Use “Y” for Yes, “N” for No, and “P” for Partial if needed. Add notes explaining partial compliance or mitigation strategies.

8 Review for Gaps and Risks

Identify missing or weak responses before submission. Scan for any "N" or "P" entries and address them. Ensure formatting, page limits, and submission instructions are followed.

PMP
We Are Phenomenal

9 Update Throughout the Proposal Process

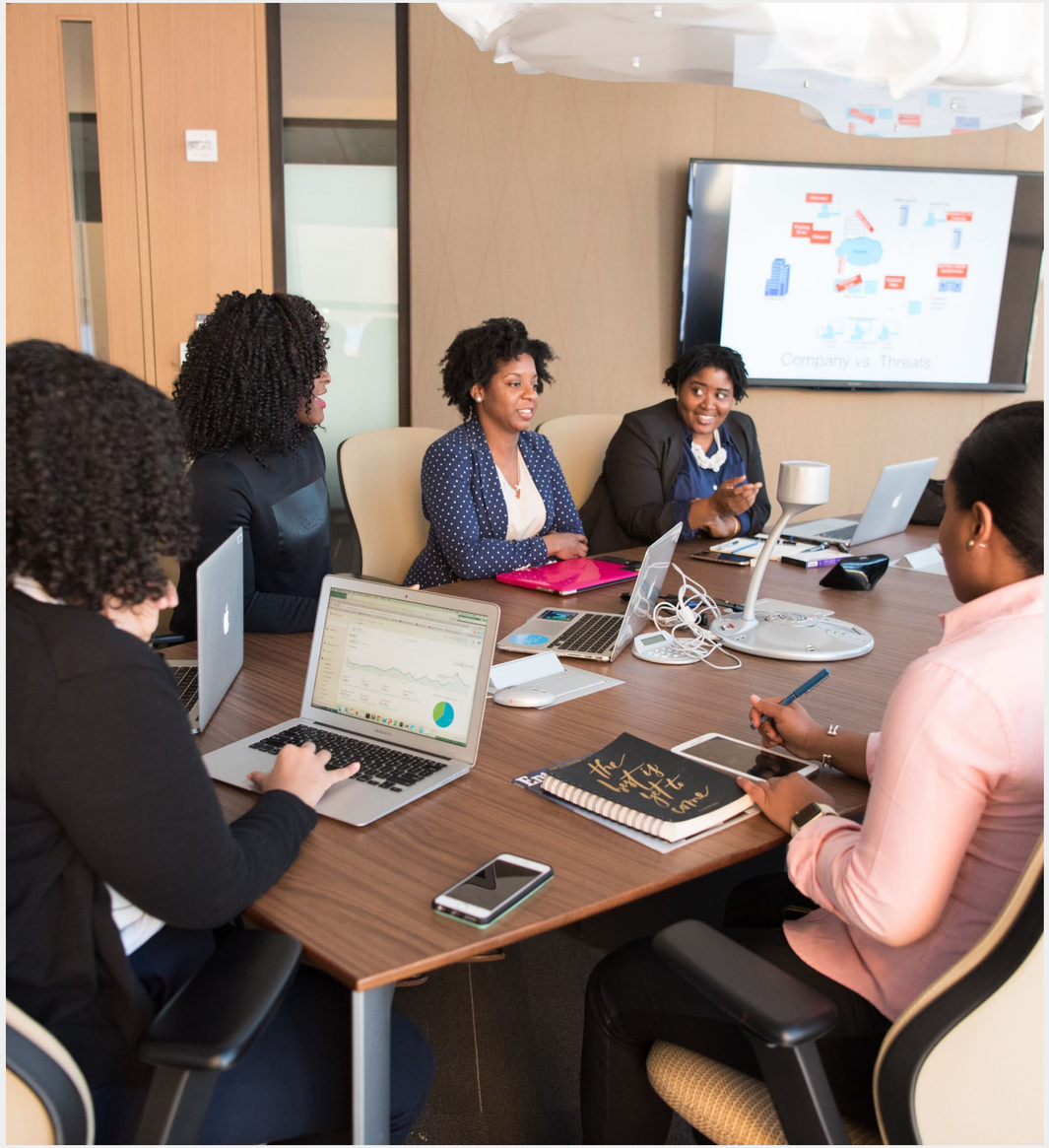
Keep the matrix current as the proposal evolves. Update response locations and compliance status as sections are written. Use it as a checklist during final reviews.

PMP
We Are Phenomenal

10 Attach to Proposal (Optional)

Provide reviewers with a roadmap of your compliance. Include the matrix as an appendix or internal QA tool. Label it clearly (e.g., "Appendix A – Compliance Matrix").

PMP
We Are Phenomenal



ACTIVITY

- Use the sample Statement of Work from a Request for Proposals to build a Complaince Matrix.

- Your matrix should address all requirements identified in the Statement of Work.

PMP
We Are Phenomenal

REVIEW — *Now You Know*

RFP Section	Requirement Summary	Response Location	Compliant (Y/N)	Notes
I. Statement of Work	Provide cybersecurity risk assessments and mitigation strategies for federal systems	Technical Volume, Section 2.1	Y	Includes tailored threat modeling and NIST-aligned mitigation plans
II. Contractor Qualifications	Prime contractor must be an HBCU or HBCU-led consortium	Cover Letter, Section 1	Y	Lead institution: [Insert HBCU Name], with documented leadership and past performance
III. Key Personnel	Identify certified cybersecurity professionals (CISSP, CEH, etc.)	Technical Volume, Section 3.2	Y	Bios and certifications included for all key personnel
IV. Past Performance	Demonstrate successful delivery of cybersecurity services to federal or public sector clients	Past Performance Volume, Section 1	Y	Includes 3 federal contracts with performance ratings
V. Socioeconomic Participation	Include subcontracting plan with small, minority, and women-owned businesses	Business Volume, Section 4	Y	Subcontracting plan includes 40% participation from SDBs and WBEs
VI. Capacity Building	Describe how the project will build cybersecurity capacity within the HBCU and community	Technical Volume, Section 5	Y	Includes student internships, faculty training, and community workshops
VII. Technical Approach	Detail approach to continuous monitoring, incident response, and compliance reporting	Technical Volume, Section 2.3	Y	Aligned with FedRAMP, FISMA, and CMMC frameworks
VIII. Project Management	Provide timeline, milestones, and risk mitigation strategies	Technical Volume, Section 6	Y	Gantt chart and risk register included
IX. Cost Proposal	Submit detailed budget with labor categories and indirect rates	Cost Volume, Section 1	Y	Fully itemized with supporting documentation

What is a compliance matrix why it is important in preparing a contract proposal?

PMP
We Are Phenomenal

EVALUATION

https://forms.gle/9M4TpHCM59kqW6mz7