**Appendix 1**

**GENERAL QUESTIONNAIRE**

**RFP ETI0049**

**Information Technology Audits and Consulting**

**This General Questionnaire section is scored. (300 total points)**

The purpose of this questionnaire is to provide the Department with a basis for determining the Proposer’s capability to undertake the Contract.

All Proposers must respond to the following by restating the identifying number of each question (for example, 1.1), restating each question or statement, and providing a detailed written response. The Proposal, at a minimum, must address the items listed below, and be organized and labeled in the order indicated below. Instructions for formatting the written response to this section are found in Section 2.4 Proposal Organization and Format.

Include all requested documents at the end of the section in your Proposal that corresponds to the RFP Section in which the document is requested. Label the document provided with the section number it applies to.

The Proposer must be able to perform the Services according to the requirements contained in this RFP.

The Proposer must provide sufficient detail for the evaluation committee and the Department to understand how the Proposer will comply with each requirement. If the Proposer believes Proposer’s qualifications go beyond the minimum requirements or add value, indicate those capabilities in the appropriate section of the Proposal. **Associated costs should ONLY be listed in the Cost Proposal. Do not include cost/pricing information in any other section of the Proposal.**

**1.0 Staffing and Experience**

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| 1.1 | Contact InformationProvide Proposer’s company name, main office address, website, telephone number and name of the authorized official responsible for all activities relating to the Proposal.  |
| 1.2 | **Firm Experience**Proposer must have at least 10 years of experience conducting information technology audits and providing IT consulting services. Confirm this. |
| 1.3 | **Firm Profile**i. Describe:1. Number of employees.
2. Proposer’s contribution to or involvement with professional organizations, such as the Institute of Internal Auditors.
3. Proposer’s information technology audit capability.
4. The location of Proposer’s office(s), and number of employees in that office or offices, from which the work on this engagement is to be sourced.
5. Any pending agreements to merge or sell the firm.

ii. Submit Proposer’s audited financial statements for the two (2) most recent fiscal years including the audit opinion, balance sheet, statement of operations, and notes to the financial statements, or evidence of the firm’s financial and organizational stability. |
| 1.4 | **Management Profile**Identify Proposer’s principal supervisory and management staff, including engagement partners, managers, other supervisors and specialists who would be assigned to this engagement. Include:1. Information on the qualifications, experience, training and IT audit and consulting experience of each person who will be involved with this engagement, including certifications, such as CIA, CISA, CISSP, and membership in professional organizations relevant to the performance of the audit.
2. Whether or not the persons listed above, in the past five (5) years, have been the subject of any disciplinary action or inquiry in any jurisdiction. Senior managers who may be assigned to this engagement must be specifically identified.
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| 1.5 | **Ownership and Client Profile**Describe Proposer’s principal business and client base. The response must address the following:1. Proposer’s volume of business and market share in relation to the services solicited in this RFP.
2. The percentage of Fortune Global 500 companies Proposer has served.
3. The number of IT audits and IT consulting service engagements Proposer has performed for clients with more than 300 full-time/full-time equivalent employees in the past three years by the office from which the work on this engagement is to be sourced.
4. The type of IT audits and IT consulting services provided by the Proposer’s office that will manage this engagement. List separately engagements that are relevant to the proposed services with public pension funds, insurance industry clients, state, federal and non-profit organizations, including type and scope of engagements in the past three years.
5. Is Proposer a subsidiary or affiliate of another company? Describe in detail.
6. Provide full disclosure of all direct or indirect ownership of Proposer, including information regarding all situations where any insurance or investment company has any ownership or monetary interest in Proposer.
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| 1.8 | **Discipline and Litigation**Proposer must not have been the subject of any disciplinary action or inquiry during the past five (5) years. Provide detailed and specific information regarding all situations where Proposer has been investigated, cited, or threatened with a citation or disciplinary action, by any state or federal regulatory agency within the last five (5) calendar years. Provide a detailed description of any litigation involving other contracts in which your firm has been or is involved. The response must include all such situations including the date such action was initiated and how the matter was resolved. 1. Has Proposer been subject to any litigation alleging breach of contract, fraud, breach of fiduciary duty, or other willful or negligent misconduct? If so, provide details including dates and outcomes. The Department reserves the right to reject a response based on this information.
2. Provide a statement indicating that Proposer has, or has not been in bankruptcy and/or receivership within the last five (5) calendar years, whichever statement is true.

During the term of the Contract, Contractor shall keep the Department apprised of any litigation or disciplinary action the Contractor may become involved in. |
| 1.9 | **Quality Control**Proposer must have an internal quality control system in place. Describe Proposer’s internal quality control procedures for keeping good records, documenting business processes, checking for errors, and reviewing processes for effectiveness and opportunities to improve. Describe how Proposer’s quality control processes would be applied to each stage of this engagement.  |
| 1.10 | **Current Resources**Provide a statement as to the extent to which Proposer can perform the proposed Services using only present staff and computer equipment/software/technology, and the extent to which additional resources will be needed by Proposer and how that will be addressed by Proposer. |
| 1.11 | **Contract Performance**Submit information regarding past contract performance. Include specific detailed information regarding the following: 1. All situations where Proposer has defaulted on a contract.
2. All litigation regarding audit contracts in which Proposer has been or is involved.
3. All situations where a contract has been canceled or where a contract was not renewed due to alleged fault on the part of Proposer.
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| 1.12 | **Problem Resolution**Describe Proposer’s problem resolution process in the event an issue arises that requires escalation beyond the key audit staff. 1. Outline the problem resolution process including escalation steps.
2. Name the title(s)/individual(s) with problem resolution authority.
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**2.0 Data Security**

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| 2.1 | Provide a copy of Proposer’s policy related to responding to unauthorized disclosure of personal data. |
| 2.2 | Provide the number of unauthorized disclosures of personal information the Proposer has experienced in the last two (2) years. |