**Appendix 1**

**GENERAL QUESTIONNAIRE**

**RFP ETD0060**

**Information Technology Audits and Consulting**

The purpose of these questionnaires 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 identifying number of each question, 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 submitting a Proposal are found in RFP Section 2 Preparing and Submitting a Proposal .

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.

You (Proposer) must be able to perform the Services according to the requirements contained in the RFP.

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

**GENERAL QUESTIONNAIRE**

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

# 1.0 Staffing and Experience

## 1.1 Contact Information

Provide your company name, main office address, website, telephone number and name of the authorized official responsible for all activities relating to your Proposal.

## 1.2 Firm Experience

Your organization must have at least 10 years of experience conducting information technology audits and providing IT consulting services. Confirm this in writing within your Proposal.

## 1.3 Firm Profile

Describe:

1. Number of employees.
2. Your organization’s contribution to or involvement with professional organizations, such as the Institute of Internal Auditors.
3. Your organization’s information technology audit capability.
4. Location of your office(s), and number of employees in each office from which the work on this engagement is to be sourced.
5. Any pending agreements to merge or sell your company.

## 1.4 Management Profile

Identify your 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.

## 1.5 Ownership and Client Profile

Describe your principal business and client base. The response must address the following:

1. Your volume of business and market share in relation to the services solicited in this RFP.
2. 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.
3. The type of IT audits and IT consulting services provided by the 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.
4. Is your organization a subsidiary or affiliate of another company? Describe in detail.
5. Provide full disclosure of all direct or indirect ownership of your organization, including information regarding all situations where any insurance or investment company has any ownership or monetary interest in your organization.

## 1.6 Discipline and Litigation

Your organization 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 your organization 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 your organization 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 written statement within your Proposal indicating that your organization 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.

## 1.7 Contract Performance

Submit information regarding past contract performance. Include specific detailed information regarding the following:

1. All situations where your organization has defaulted on a contract.
2. All litigation regarding audit contracts in which your organization 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 your organization.

## 1.8 Quality Control

Your organization must have an internal quality control system in place. Describe your 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 you would apply quality control processes to each stage of this engagement.

## 1.9 Current Resources

Provide a statement as to the extent to which your organization 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 your organization and how that will be addressed.

## 1.10 Problem Resolution

Describe your 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.