

January 18, 2022

ADDENDUM #1

RP011-22, Provide Information Technology and Other Internal Auditing Services on an Annual Contract

Questions & Answers:

- Q1. Please disclose the incumbent vendor's name(s) if applicable and, if possible, please share their proposal(s).**
- A1. The incumbent vendor is Rausch Advisory Services, LLC. A copy of their proposal can be requested via an Open Records Request through Gwinnett County's website.
- Q2. If there are incumbents, are they eligible for contract award on this solicitation? If not, or if some are and some are not, what is the reason?**
- A2. Yes, the incumbents are able to submit a proposal for this solicitation.
- Q3. What service challenges is the County experiencing with the current contract arrangement?**
- A3. Currently, the County is not experiencing any major service challenges.
- Q4. What was the amount spent on the previous contract?**
- A4. The amount spent during the previous contract to date is \$510,205.00.
- Q5. What is the estimated budget for this RFP?**
- A5. There is approved funding for this project. Gwinnett County expects each firm to submit comprehensive pricing to be scored as part of the proposal evaluation.
- Q6. Are all personnel/roles involved with this project required to be available for on-site work or are some roles anticipated to be exclusively remote?**
- A6. All roles involved with this contract shall be available for on-site work. No roles are anticipated to be exclusively remote. At Internal Audit's discretion, there may be remote work opportunities in certain situations for established project team members.
- Q7. If some personnel/roles are anticipated to be exclusively remote, is the County open to offshore as well as US based remote work?**
- A7. Gwinnett County does not anticipate having any remote personnel.
- Q8. Is the County seeking local vendors or is the County equally open to awarding an out of state vendor?**
- A8. Gwinnett County is seeking vendors who can provide in-person staff augmentation but may accept out of state vendor(s) with local staffing availability.
- Q9. Is Gwinnett County planning on awarding this proposal to one single vendor or multiple vendors?**
- A9. *The County reserves the right to make an award as deemed in its best interest, which may include awarding a proposal to a single proposer or multiple proposers; or to award the whole proposal, only part of the proposal, or none of the proposal to single or multiple proposers, based on its sole discretion of its best interest.*

Q10. Does the County have an average project / audit size it is targeting for each of the topic areas listed, or is the risk assessment activity we perform expected to size the level of effort we spend in each of the areas?

A10. An initial assessment of risk will be a factor in determining the expected level of effort. The size of each area may vary depending on the scope and risk of operations.

Q11. Has Gwinnett County Internal Audit or IT leadership performed independent risk assessments (such as a CIS-RAM exercise for implementation of controls aligned to the CIS Critical Security Controls framework) that we would be able to leverage in performing a risk assessment to prioritize the audits?

A11. There may be opportunities to leverage risk assessment activities already performed by Internal Audit or ITS, but IT operations continue to evolve. We believe an initial assessment of risk will be necessary to gain sufficient understanding of the environment to successfully prioritize and perform the engagement, but we do not necessarily expect the risk assessment activity to consume a significant portion of the hours.

Q12. The CIS Framework is listed as preferred – does Gwinnett County IT align security policies and controls formally to that or any other security frameworks?

A12. Gwinnett County IT uses the CIS control framework to determine completeness and identify appropriate controls.

Q13. Is the selected proposal expected to cover all 12+ areas with the 4 – 5 audits budgeted, or does the selected vendor have the ability to prioritize and focus in only those risk areas of utmost importance to the organization and within specific entities or operating units as agreed upon in planning?

A13. Internal Audit will work with the selected vendor to prioritize areas for focus based on risk.

Q14. Is the 100 – 300 hours anticipated for a Manager / Director resource included in or excluded from the 1,400 – 1,900 total audit hours per year?

A14. The 1,400-1,900 total audit hours includes the 100-300 hours anticipated for a Manager or Director (Security Expert).

Q15. In addition, is that total hours bucket inclusive of or exclusive of risk assessment activities we need to perform to prioritize the audits themselves?

A15. The 1,400-1,900 total audit hours includes the risk assessment activities needed to prioritize the audits themselves.

Q16. Due to the ever-changing nature of COVID restrictions, is there any flexibility for contractors to work remotely?

A16. Currently, Internal Audit is operating 100% on site while following safety protocols for COVID. The County recently enacted a mask mandate for all County facilities. Internal Audit does not anticipate shifting to a remote or hybrid operating model, but it is possible there may be opportunities for remote work in certain situations at Internal Audit's discretion.

Q17. Please provide examples and expectations of non-IT related auditing services.

A17. On Internal Audit's web page, there is an "Audit Reports" page that has the 2021 Audit Plan and several non-IT audit reports that were approved for posting. The proposal includes many expectations that apply to all audits, including General Expectations (page 3), Project Management (page 4), and Deliverables and Performance Expectations (page 5).

- Q18. Per the pre-proposal call, we understand that the value of the incumbent contract was \$510,000. Can you provide the associated hours incurred by the incumbent?**
A18. The incumbent incurred approximately 4,000 hours from the contract's commencement in April 2019 to date.
- Q19. Gwinnett County Internal Audit Department uses SharePoint for workpaper management. Does the department use any other GRC software tools?**
A19. Internal Audit use of SharePoint extends beyond workpaper management and involves functionality such as lists, views, tasks, look-up fields, and libraries. There are no other software tools utilized at this time.
- Q20. Does the Cost Proposal need to be provided separately or only as part of the unbound original?**
A20. The Cost Proposal should ONLY be submitted in a separate sealed envelope. It should NOT be included in any of the following: Original unbound, any of the copies, or on the flash drive.
- Q21. Are any bonds required for this solicitation?**
A21. No, there are no bonds required for this contract.
- Q22. Will this contract be funded by a federal grant or under a prime federal grant?**
A22. No, this contract will not be funded by a federal grant or under a prime federal grant.
- Q23. Would the County be open to utilizing multiple individuals for the same role throughout the year if they had the required certifications, experience, etc?**
A23. The County has found that continuity of staffing is important to the engagement based on departmental feedback as well as Internal Audit experience. Successful performance requires ongoing collaboration with County personnel and an understanding of County-specific risks and controls. Excessive turnover may result in waste and/or disruption to the project. The awarded firm will be responsible for any on boarding required for personnel changes during an engagement.
- Q24. Does Gwinnett County want actual resumes or sample resumes of the key staff?**
A24. Gwinnett County is requesting for actual *resumes to include background, experience, certifications, and qualifications of key personnel that will be assigned to this Contract.*
- Q25. Would Gwinnett County be willing to receive a fee quote based on a blended hourly rate? This rate would be used to price the overall engagement and can provide a breakdown of hourly rates by staffing level that equal our blended rate.**
A25. No, please submit fees in the format provided in the RFP on page 9.
- Q26. How many personnel are in the Information Technology Services department?**
A26. As of January 13, 2022, Information Technology Services has approximately 112 full-time and 11 part-time employees. This does not include vacancies or contractors.
- Q27. How many different IT applications / systems are there?**
A27. The enterprise application portfolio includes 93 systems according to a document published by Information Technology Services in August 2021. For Information Technology audit purposes, applications are tested on a sample basis.

Q28. Are there any unremediated/open findings from previous internal audit reports? Is the County able to share or at least quantify how many there are?

A28. Yes, there are open findings that management is currently in the process of remediating. Further information can be requested via an open records request through Gwinnett County's website per Open Records Law.

Q29. Are there any restrictions on when internal audits can be performed (e.g. not during annual close or external audit, etc.)?

A29. Busy periods may vary depending on the IT business areas being audited. There may occasionally be one-off circumstances related to large projects, upgrades, or other initiatives. It is also possible unexpected circumstances may arise requiring the full attention of certain personnel. For these reasons, Internal Audit must work with Information Technology Services each year and on an ongoing basis to determine suitable timing for audit work.

Q30. Would Gwinnett County please provide copies of the most current (2020 and/or 2021 fiscal year) documentation/deliverables related to the internal audits: Risk Assessment, Four-Year Strategic Internal Audit Plan, Current Detailed Internal Audit Plan (identifying the three internal audits comprising the current year's audit plan), Current Bi-annual Information Technology Threat and Vulnerability Assessment ("TVA"), Most recent "deeper probe" into higher risk areas of IT in the latest year that the TVA was not performed, and Sample of an Internal Audit Report issued in 2021?

A30. Internal Audit Reports that have been approved for public consumption can be found at the following link:

<https://www.gwinnettcounty.com/web/gwinnett/departments/countyadministrator/internalaudit/auditreports>

Q31. What is the strength of the County's internal audit program?

A31. Internal Audit currently has five full-time positions including the Internal Audit Director. Internal Audit performed 14 engagements in 2021, including seven audits and seven advisory services.

Q32. Are processes well-established, or does the County require guidance on key areas, number of audits, etc.?

A32. Internal Audit determines key areas and number of audits primarily based on risk and available resources. The Internal Audit web page contains the 2021 Audit Plan with a high-level overview of the methodology used to establish the plan.

Q33. Will the selected service provider be responsible for following up on the implementation status of prior recommendations and/or remediation testing (for audits completed by the selected service provider and/or audits completed by the previous internal audit function)?

A33. Internal Audit is responsible for following up on the implementation status of prior recommendations. Follow-up does not depend on which internal or external staff members were involved in original recommendations. Remediation testing will be built into the audit plan when applicable, primarily based on remediation status and risk.

Q34. Can the requested certifications be replaced by experience?

A34. Internal Audit has generally found certifications to be a good indication of the specific expertise needed. In terms of experience, Internal Audit is most interested in the nature and extent of a candidate's closely comparable experience. This includes the level of detail in audit work as well as the technical areas being audited. Please see section XI, page 29 of the RFP: *"The County reserves the right to reject or accept any or all proposals and to waive technicalities, informalities, and minor irregularities in the proposals received."* Proposing firms are encouraged to submit experience/certifications for consideration and to be scored accordingly.

Q35. Will the entire scope of work need to be completed by the contracted firm?

A35. The scope of audit work should be completed by the contracted firm with Internal Audit providing general review and oversight. Please see Section II, page 4 of the RFP: *"Internal Audit may internally designate a Gwinnett County employee as senior program manager to oversee work product quality and delivery, working closely with external staff. Depending on audit work and available resources, Internal Audit may designate an additional County employee to work alongside external staff as IT senior auditor."*

Q36. Will the audit work be done locally?

A36. Yes, all audit work is local.

Q37. What software is currently being used?

A37. Information about the County's Enterprise applications can be found at the following link:
<https://www.gwinnettcounty.com/web/gwinnett/departments/informationtechnologyservices/organization/enterpriseapplicationsdevelopment>

Q38. Are there any future implementations that may impact the contract?

A38. There is always a possibility that future implementations may impact the timing or scope of areas audited. Internal Audit generally takes these factors into account in determining the annual audit plan. When necessary, Internal Audit can adjust the audit plan to account for business changes and emerging risks to promote appropriate allocation of available resources.

Q39. Provide the list of attendees at the pre-proposal conference.

A39. Please see the list below.

This addendum should be acknowledged in the line provided on the Consultant Information Form. Failure to do so may result in your quote being deemed non-responsive.

Thank you,

Brittany Bryant

Brittany Bryant
Purchasing Associate II

RP011-22 PRE-BID CONFERENCE

	<u>Representative Name</u>	<u>Company Name</u>	<u>Phone #</u>	<u>E-Mail Address</u>
	(DEPARTMENT REPRESENTATIVES SIGN-IN AT BOTTOM)			
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	Mike Lisenby (CEO & Pres.)	Rausch Advisory Services	404-989-4533	jfeller@rauschadvisory.com
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6.	Jesse Feller (Client Rel. Mgr.)			
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<u>Department Representative Name</u>	<u>Department</u>	<u>Department Representative Name</u>	<u>Department</u>
Leslie Villanueva	CA	Brittany Bryant	DOFS
Mark Brown	CA	Laurie Puckett	DOFS
Kaley Ivins	DOFS		

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	<u>Representative Name</u>	<u>Company Name</u>	<u>Phone #</u>	<u>E-Mail Address</u>
	(DEPARTMENT REPRESENTATIVES SIGN-IN AT BOTTOM)			
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