



**OHIO TURNPIKE AND  
INFRASTRUCTURE COMMISSION**  
682 Prospect Street  
Berea, Ohio 44017  
(440) 234-2081

**REQUEST FOR PROPOSALS  
TO PERFORM CONTRACT COMPLIANCE  
AND OTHER MISCELLANEOUS AUDITING SERVICES**

ADDENDUM NO. 2

ISSUE DATE:  
**October 5, 2017**

INQUIRY END DATE:  
**5:00 P.M. (Eastern), October 19, 2017**

PROPOSALS FROM FIRMS TO BE RECEIVED NO LATER THAN:  
***EXTENDED TO 5:00 P.M. (Eastern), ~~October 27~~ NOVEMBER 3, 2017***

**ATTENTION OF RESPONDENTS IS DIRECTED TO:**

**EXTENSION OF DEADLINE TO NOVEMBER 3, 2017**

**-AND-**

**ANSWERS TO QUESTIONS RECEIVED THROUGH  
THE END OF THE INQUIRY PERIOD**

**ANSWERS TO QUESTIONS RECEIVED THROUGH THE END OF THE INQUIRY PERIOD**

**Q#8 The SBE registry on Commission Registry appears to be have very few accounting firms. Is it acceptable to use a MBE firm listed on the Ohio DAS listing?**

*A#8 Yes, the Commission encourages the use of our partner's registries to assist with meeting the Office of Equality and Inclusion's contract goals. Please find below the links below for your use:*

*A. Ohio DAS as MBE: <https://eodreporting.oit.ohio.gov/searchMBE.aspx>*

*B. Ohio DAS as EDGE: <http://eodreporting.oit.ohio.gov/searchEDGE.aspx>.*

*B. ODOT as DBE: <http://www.dot.state.oh.us/Divisions/ODI/SDBE/Pages/UCP.aspx>*

**Q#9 Does a SBE need to be identified in proposal or just a commitment to use a SBE?**

*A#9 Each respondent must identify the percent committed on the Small Business Enterprise Utilization Certification (OEI-1) and the firm(s) utilized to achieve the commitment on the SBE Utilization Plan (OEI-2). See the response to Q#14 and Q#15 for additional information.*

**Q#10 What firm(s) have previously provided these services for the Ohio Turnpike and Infrastructure Commission?**

*A#10 Ciuni & Panichi, Inc. and Experis.*

**Q#11 What MBE/SBE firm was used by the selected firm in the most recent three-year contract? What services did they provide and what percentage of the contract fee did they provide?**

*A#11 The Commission's Business Inclusion Program was not established prior to the selection of the current service providers.*

**Q#12 What are you looking for in terms of hours for this proposal? We see that the total dollars (max) are \$50,000. We are unsure how to quote total hours without knowing the exact scope of the projects.**

*A#12 Please see Section D., under Part VIII. The proposal needs to only provide the hourly rates for the various classifications. No estimate of hours is required in the response.*

**Q#13 In Part VIII. A, a required responsive item is “how it intends to perform the various types of contract compliance audits set forth in this RFP.” What kind of response is desired here? With the scope and magnitude of the project(s) yet to be determined, we are not sure what is requested here. Are you looking for staffing, locations to be performed, etc.?**

*A#13 Information sought here is the structure and composition of the proposed audit team, level of experience of team members, from what office location(s) the team draws from, etc.*

**Q#14 Given that we do not know the exact makeup of the projects, how can we complete Columns 3-5 on OEI-2 ? We are committed to using MBE/SBE firms, but are not able to commit to dollars or work scope until we know the magnitude and scope of the projects. Is this page required to be completed for this RFP?**

*A#14 OEI - 2 is required. Identify certified firms and specific scope of services that the firms will perform on prospective engagements generally described in the RFP to establish a commitment to meeting the 10% goal on OEI-1 and OEI-2 if those services are required on a particular assignment. Because the nature and quantity of the services under this RFP are indefinite, estimate the percentage of fees paid to the respondent that will provide compensation for the scope of services that the certified firm would perform. Upon selection, the Commission’s Office of Equity and Inclusion will review and assess all participation amounts for a given engagement before the assignment is finalized. Alternatively, demonstrate your good faith efforts to achieve the goal using OEI-4 and OEI-5.*

**Q#15 Do we need to have one or more MBE/SBE firms included in the proposal or can we commit to using firms and then subcontract after the project is awarded?**

*A#15: The number of subconsultants used to meet the 10% goal for this RFP is at the discretion of each respondent. The Commission’s Office of Equity and Inclusion (OEI) will monitor the use of each certified firms submitted with the initial proposal. Please identify services that will allow the SBE firms to perform a commercially useful function on the prospective engagements generally described in the RFP. For more information on the Business Inclusion Program, please see the Standards and Practices published on the Commission’s website: <https://www.ohioturnpike.org/docs/default-source/MBE-DBE/turnpike-commission-sbe-mbe-dbe-standards-amp-practices-final-web-published-8-16-17.pdf?sfvrsn=2>*

**Q#16 Are there any specific internal audit project(s) for year one that have been identified?**

*A#16 No.*

**Q#16 Was a risk assessment performed to determine the contracts and other audits in scope**

**or will this exercise be performed by the selected firm? If a risk assessment has been performed can the results be shared?**

*A#16 The audit projects are identified by the Commission and performed at their discretion based upon several factors such as Commission staff availability, unusual trends in revenue data, suspected non-compliance with contract terms, changes in vendor or service provider, etc. The level of sophistication applied to risk assessment and data analytics varies based upon the area under review.*

**Q#17 Are there outstanding issues from prior year audits (internal/external) that may impact the contract or other audits in scope? If so, will any of these issues result in significant changes to policies, processes or systems that may impact the 2017 internal audits?**

*A#17 No.*

**Q#18 Does the Commission maintain any internal audit or internal control professionals that will be assigned to work with your selected service provider?**

*A#18 In general, the audit projects contemplated are expected to be performed in a “turn-key” manner, involving little or no assistance from the Commission’s Internal Audit personnel.*

**Q#19 Does the Commission maintain a governance structure that your service provider will be expected to operate under (i.e., Internal Audit Charter, Audit Committee mandates, Internal Audit Methodology)?**

*A#19 The Commission’s Internal Audit function reports to the organization’s Executive Director on day-to-day matters but is ultimately responsible to the Commission’s Audit Committee. Outside of having input with respect to projects undertaken and being informed of project progress and results, this governance structure is not expected to have a significant bearing on the work of the selected firm(s).*

**Q#20 Are any supporting functions relevant to the contract compliance or other audits outsourced (i.e., payroll, IT, etc.)?**

*A#20 No.*

**Q#21 Does the Commission maintain a contract management system? If so, what system is used?**

*A#21 Each department manages its own contracts with the support of the Department of Contracts Administration.*

**Q#22 Does the Commission maintain a GRC (governance, risk and compliance) tool to support enterprise risk management, compliance and internal audit activities?**

*A#22 No.*

**Q#23 Did the last PCI audit result in any issues? Have such issues been remediated?**

*A#23 Recommendations identified in this area have either been implemented or are in the process of implementation.*

**Q#24 What contract procurement methods are commonly applied (competitive, turnkey, sealed, negotiated, and other)?**

*A#24 Except for personal or professional services, all contracts that exceed \$50,000 are awarded to the lowest responsive and responsible bidder. Contracts for less than \$50,000 follow an informal competitive selection process used to identify the offer furnishing the best value to the Commission. Personal and professional services are performed under contracts awarded through a request for proposal process similar to the subject matter of this Q&A.*

**Q#25 Are miscellaneous audit services subject to the \$50K budget?**

*A#25 Generally speaking, yes. The Commission anticipates spending no more than approximately \$50,000 per year for all projects contemplated for these services.*

**Q#26 Are data analytics used to monitor contract performance, trends and risks?**

*A#26 Yes.*

**Q#27 Are contracts governed by established policies and procedures?**

*A#27 Yes.*

**Q#28 Do you generally get a large number of responders?**

*A#28 The list of respondents to the previous RFP for these services is available here: [https://www.ohioturnpike.org/docs/default-source/doing-business-with-us/rfps/RFP - Contract Compliance Auditing - Tab 7-3-12 .pdf](https://www.ohioturnpike.org/docs/default-source/doing-business-with-us/rfps/RFP_-_Contract_Compliance_Auditing_-_Tab_7-3-12_.pdf)*