**The City of Santa Fe**

**AND**

**City Manager’s Office**

**REQUEST FOR PROPOSALS (RFP)**

**Internal Audit Services**



**RFP#**

**23/46/P**

Questions & Answers

Proposal Due Date: June 1, 2023

**Internal Audit Services**

RFP# 23/46/P

Questions and Answers

|  | Questions | Answers | RFP Section | RFP PG # |
| --- | --- | --- | --- | --- |
| 1 | Is the City looking for a single auditing firm to provide all audits, or will they consider firms who can provide specialized audits, e.g. IT audits? | The Internal Audit Services will result in a single award and only firms that can provide all audits will be considered.  | 1.C Introduction | 1 |
| 2 | In regard to the RFP in the subject line, are Offerors or selected Vendor required to be on the approved auditors list from the State of New Mexico’s Auditor’s Office? | The Internal Auditors do not have to be approved by the State of New Mexico Auditor’s Office.  |  |  |
| 3 | Can the City describe, in more detail, the scope and needs of the financial audits described in the scope of work? | The internal auditor will determine whether internal controls over financial and operating data are adequate and effective to provide reasonable assurance that the financial and operating information is accurate, complete, and reliable.The internal auditor will determine whether controls over City of Santa Fe operations provide reasonable assurance that resources are used efficiently and economically.The internal auditor will determine whether controls over operations and programs are adequate and effective to provide reasonable assurance that the operations and programs are being carried out as planned and that the results of operations are consistent with goals and objectives. |  |  |
| 4 | Is there an anticipated budget or number of audits to be performed for this engagement? If so, can you please provide this information? | We are unable to provide this information.  |  |  |
| 5 |  Do you have anticipated hours or an audit plan that can be used to determine engagement hours and timing?There is a mention of a pre-proposal conference in the RFP, but there is not much information about when or where this will occur. Can you please provide the time and meeting link for the pre-proposal conference? | The creation of a Risk and Audit Plan will need to be completed by the offered firm in collaboration with the City Manager’s Office. **Pre-Proposal Conference:**[https://santafenm-gov.zoom.us/j/86995466451?pwd=VS9jRmVhQXdIUkRlSi9Va1dydVR3QT09](https://gcc02.safelinks.protection.outlook.com/?url=https%3A%2F%2Fsantafenm-gov.zoom.us%2Fj%2F86995466451%3Fpwd%3DVS9jRmVhQXdIUkRlSi9Va1dydVR3QT09&data=05%7C01%7Clsarchulettamaestas%40santafenm.gov%7Cb3e8d9dfa27a4289592108db4833e0cc%7C77b69f5a55ed436386164867b0bc707f%7C0%7C0%7C638183159866151909%7CUnknown%7CTWFpbGZsb3d8eyJWIjoiMC4wLjAwMDAiLCJQIjoiV2luMzIiLCJBTiI6Ik1haWwiLCJXVCI6Mn0%3D%7C3000%7C%7C%7C&sdata=xPzRnenIPjqgdS7VrqG6%2F9yiiKLkSyKkZK%2BXSfQAZ8g%3D&reserved=0) Meeting ID: 869 9546 6451 Passcode: 438966 One tap mobile +16694449171,,86995466451#,,,,\*438966# US +16699006833,,86995466451#,,,,\*438966# US (San Jose) Dial by your location         +1 669 444 9171 US         +1 669 900 6833 US (San Jose)         +1 719 359 4580 US         +1 253 205 0468 US         +1 253 215 8782 US (Tacoma)         +1 346 248 7799 US (Houston)         +1 646 931 3860 US         +1 689 278 1000 US         +1 929 205 6099 US (New York)         +1 301 715 8592 US (Washington DC)         +1 305 224 1968 US         +1 309 205 3325 US         +1 312 626 6799 US (Chicago)         +1 360 209 5623 US         +1 386 347 5053 US         +1 507 473 4847 US         +1 564 217 2000 US Meeting ID: 869 9546 6451 Passcode: 438966 Find your local number: <https://santafenm-gov.zoom.us/u/kcoGrkM2P>  | Amendment #1 & Amendment #2 |  |
| 6. | What is the City’s estimated budget for the requested internal audit services?  | We are unable to provide this information. |  |  |
| 7. | What are the estimated hours per fiscal year to perform the requested internal audit services? | The offeror will be asked to submit a risk assessment and plan based on their expertise along with guidance from the Audit Committee and City Manager’s office.  |  |  |
| 8. | Will the Audit Committee be determining which audits the Contractor will perform each fiscal year? | Yes, in coordination with the City Manager’s Office.  |  |  |
| 9. | Will the Contractor be expected to prepare and/or update a risk assessment annually? | The contractor can submit one risk assessment for the duration of the contract with the ability to adjust yearly as need be.  |  |  |
| 10. | Will the Contractor be expected to prepare an audit plan each fiscal year? | The contractor can submit one risk assessment for the duration of the contract with the ability to adjust yearly as need be.  |  |  |
| 11. | Other than in-person quarterly meetings with the Audit Committee, does the City have other expectations for the Contractor to work onsite at the City? | No, the auditors can visit department staff in-person as they see fit and as approved by the City.  |  |  |
| 12. | Has the City previously hired a Contractor to perform internal audit services?  If so,* 1. What Contractor performed the most recent internal audit services?
	2. What was the time period of the internal audit services performed?
	3. What were the fees and hours expended for the internal audit services?
 | * + - * 1. The City has worked with other internal auditors. Most recently, RedW LLC performed internal audits.
				2. The most recent internal audit was completed in early 2022.
				3. Inquiring parties may submit a formal IPRA request for this information.
 |  |  |
| 13. | If we have exceptions to the draft contract (Appendix H), under which section of our proposal should we include alternative language?  | The draft contract (Appendix H) can be redlined with specific alternative language and included in “Other Supporting Materials” with your technical proposal.  | II.C.15 | 12-13 |
| 14. | Should we add a section at the end of our proposal, i.e., “Other Required Forms,” for Appendix F - Non-Collusion Affidavit and Appendix G - Conflict of Interest, or include them in a different section of our proposal? | Include these documents under “Other Supporting Material”  | III.C.1 | 20 |
| 15. | Our Financial Stability information is confidential, proprietary information. * 1. May we submit other information in our proposal that substantiates our financial stability and then provide our financial statements if invited to the oral interviews?
	2. Would we be able to upload to the proposal Sharefile link a separate confidential document that would be excluded from public record requests?
 | 1. No, respond as stated in the RFP.
2. Confidential is described in the RFP. If said document contains information that matches the confidential description, watermark the document confidential and name it “unredacted”
 | I.F.10, I.F.30, II.B.a | 3, 5, 19 |
| 16. | Will a list of attendees and minutes of the May 16, 2023 conference be distributed/posted? | A public log of attendees, not minutes, is kept on file with the City of Santa Fe’s Central Procurement Office and posted on the City’s website at the request of any party.  | II.B.3 | 7 |
| 17. | Has an audit plan been created for FY2024? If so, could you please provide it? If not, could you please estimate the number of audits expected? | There has not been an audit plan created for FY2024. The city anticipates between three and six audits to be completed in FY2024. The offeror will be asked to submit a Risk Assessment and Plan based on their expertise along with guidance from the Audit Committee and City Manager’s office |  |  |
| 18. | What is the estimated number of hours you anticipate needing for FY24? | The number of hours will need to be assessed by the awarded firm during the Risk Assessment and Planning stages of the contract.  |  |  |
| 19. | Has an audit firm been contracted with previously? If so, could you provide a list of audits conducted under that contract? | Yes. The former contractors performed five internal audits under the contract timeframe.  |  |  |
| 20. | Are testing and review activities able to be done remotely? | Yes, remote work is acceptable.  |  |  |