

Public Records Request #3064

The following materials have been gathered in response to public records request #3064. These materials include:

- RFQ #269-2020-011 – CBIZ Response
- RFQ #269-2020-011 – Focal Point Data Risk Response
- RFQ #269-2020-011 – Talson Solutions Response

This information was provided as a response to a public records request on 1/24/20 and is current to that date. There is a possibility of more current information and/or documents related to the stated subject matter.

There are some materials provided for this request that have not been posted to the Open Data Portal. For these materials please contact the Citywide Records Program.

Further Information

For further information about this request or the Citywide Records Program, please contact:

Cheyenne Flotree
Citywide Records Program Manager
City of Charlotte/City Clerk's Office
600 East 4th Street, 7th Floor
Charlotte, NC 28202
Cheyenne.Flotree@charlottenc.gov

Amelia Knight
Public Records Specialist
City of Charlotte/City Clerk's Office
600 East 4th Street, 7th Floor
Charlotte, NC 28202
Amelia.Knight@charlottenc.gov



CBIZ Risk & Advisory Services, LLC

3314 Market Street, Suite 306 ■ Camp Hill, PA 17011
Main: 866.956.1983 ■ www.cbiz.com/RAS

Internal Audit Support and Consulting Services, RFQ # 269-2020-011

Reply to section 4.1.1

September 20, 2019

Amelia Beonde
City of Charlotte, Department of General Services, City Procurement
9th Floor, CMGC 600 East Fourth Street
Charlotte, North Carolina 28202

Dear Ms. Beonde,

CBIZ, Inc. is a business consulting, tax and financial services provider that is publicly traded on the New York Stock Exchange under the symbol CBZ. With over 100 offices and over 4,000 employees in major metropolitan areas and suburban cities, we are proud to be one of the Top Ten accounting providers in the nation, as ranked by Accounting Today, INSIDE Public Accounting and Public Accounting Report. CBIZ Risk Advisory services, LLC is a wholly owned subsidiary of CBIZ, Inc.

Our headquarters are in Cleveland Ohio. The address is 6050 Oak Tree Blvd, Cleveland, OH 44131. The engagement could be staffed out of our Charlotte, Camp Hill, New York, and Philadelphia offices.

Our business consulting, tax and audit professionals function as a team to support all your needs, providing a seamless level of service to our clients. We serve public and private entities ranging from small to mid-sized businesses to large corporations across the United States. Our clients belong to a variety of industries, including government, financial services, commercial and health care.

For over 20 years, organizations have chosen to add our team of experts to their internal controls staff through co-sourcing and outsourcing. Each of CBIZ's trusted local advisors is backed by an extensive network of internal audit and risk advisory professionals. This approach ensures your engagement is comprised of the right mix of people, technology, and resources to meet your needs on time and on budget. It also provides the flexibility for us to quickly adjust as your business needs evolve.

Responsible Person

The Managing Director for this engagement, if successful, is Mr. Remonde Brangman, 3314 Market Street, Suite 306, Camp Hill, PA 17011. He may be reached by email or phone through his Business Development Manager, Jennifer Travis at jtravis@cbiz.com or 717-421-4393.

Accuracy and Authorization

I, Remonde Brangman, attest to the accuracy of the data provided in the response to the Request for Information and that I am authorized to sign agreements on behalf of CBIZ Risk & Advisory Services, LLC.

Understanding of the Project

We understand that the City of Charlotte's Internal Audit Department is seeking outside consultants to provide selected accounting, financial, risk advisory/management, or other consulting services as required.

While the City is flexible with respect to certain elements of the Internal Audit Support and Consulting



CBIZ Risk & Advisory Services, LLC

3314 Market Street, Suite 306 ■ Camp Hill, PA 17011
Main: 866.956.1983 ■ www.cbiz.com/RAS

Services, the City has specific requirements and preferences for the Service delivery method. The Consultant(s) shall be established, qualified, and experienced audit or consulting firms capable of providing internal audit resources, support, and consultation in the areas of local government along with emerging internal audit issues. CBIZ meets all the above criteria. We are prepared and capable of performing a number of roles including but not limited to:

- Providing staff augmentation through co-sourcing when the need arises;
- Providing specific technical expertise in local government auditing, to include planning, risk assessment, reporting, and other support services as needed;
- Providing for interim staff while recruiting to fill positions;
- Sourcing specific technical experience in local government, e.g., public safety, transit, aviation, and public works;
- Providing construction project audit support;
- Conducting specific system-wide or institutional audits with oversight by Internal Audit;
- Conducting quality assurance reviews to assess the effectiveness and efficiency of internal controls, policies, and procedures and identify opportunities for improvement;
- Providing thought leadership along with internal audit practices and tools that enhance internal audit within the City;
- Performing internal audit quality assurance reviews; and
- Providing specialized services that may be required by an internal audit group.

Approach to Performing Services

CBIZ's internal audit approach is focused primarily on the value that an effective internal audit function brings to your organization. In our approach, we evaluate the control environment, including an assessment of management's understanding of the critical business risks and controls, and we work with management to improve and enhance the control environment, as well as business processes. Throughout the process, we also evaluate whether management activities support the overall business strategy and direct management's attention to either potential improvements or resource waste.

Our audit approach includes a formal relationship management plan designed to both engage management and gain a better understanding of your business. We also use this process to provide insights to management based on our unique view of the organization and our external industry perspectives. It is through this formal relationship that we find our most effective impact on the organization. This has led to several requests for audit support and involvement in various initiatives.

We believe that the City is looking for an internal audit support function that can demonstrate, high quality auditing, exceptional skills, strong management relationships, innovation, critical thinking, excellent quality work and great communication. Our people are the key to our internal audit success. While our approach provides consistent results, our highly qualified resources are what separate CBIZ from others. Specifically, our resourcing model is built around seasoned professionals providing high quality services at very competitive prices. CBIZ does not staff engagements with a large percentage of junior auditors who have little industry experience. Instead, clients are provided with active engagement by our management team throughout every audit. This includes a significant commitment from our Managing Directors, regardless of our pricing model.

Finally, knowledge transfer is a key part of our methodology – both with your personnel and our own professionals. Our team of professionals will have the right match of requirements and expertise that will be dedicated to this engagement. The team will work closely with your internal audit personnel to ensure they understand all aspects of each audit from planning to final report. CBIZ will invest internally to ensure that additional team members are identified and trained on the engagement with the internal audit group, in case of unexpected changes to the dedicated team.



CBIZ Risk & Advisory Services, LLC

3314 Market Street, Suite 306 ■ Camp Hill, PA 17011
Main: 866.956.1983 ■ www.cbiz.com/RAS

Summary of Estimated Costs

We understand how critical it is to fulfill your internal audit planning, execution and reporting objectives in a cost effective and value added manner. We propose a blended hourly rate of \$130 per hour. The hourly rates by professional level are as follows:

Level	Hourly Rate
Associate	\$110
Senior	\$120
Manager	\$130
Senior Manager	\$140
Director	\$150
Managing Director	\$170

As the specific tasks and assignments are not currently available, a more precise overall cost is not effectively calculated. We would be agreeable to a more precise calculation, once we know the nature of the assignment.

Concluding Statement

Understanding your needs and unique circumstances is paramount; as it drives what recommendations, ideas and deliverables we bring to the table. It is our goal to continue adding value to your organization by delivering comprehensive, innovative, and personalized services that continually exceeds your expectations.

Thank you once again for the opportunity to propose on your internal audit needs. We are excited about the possibility of continuing our previous working relationship with you and look forward to hearing from you soon.

Sincerely,

A handwritten signature in blue ink, appearing to read "Remonde Brangman", with a long horizontal flourish extending to the right.

Remonde Brangman
Managing Director
CBIZ Risk & Advisory Services, LLC

Response to 4.1.2.1.

Consultant Profile

CBIZ, Inc. (NYSE: CBZ) is a business consulting, tax and financial services provider with over 100 offices and over 4,000 professionals throughout the U.S. (including Charlotte). Our expected revenues for 2019 are approximately \$1 billion. We are financially strong, profitable and growing.

We have been operating as a professional services firm since 1996. We have offered advisory services from our inception. We started by providing core services such as Internal Audit (co-source and full outsource), Sarbanes Oxley testing and compliance, and Business Continuity Planning. In the last 15 years, we have added Information and Cybersecurity, Enterprise Risk Management, Cost Savings and Recovery, Fraud and Investigative services, Compliance services and Data Analytics. We have developed a national risk advisory practice that allows us to serve clients throughout the United States, many with global operations. Our diverse and integrated service offerings result in advantages for our clients, because they allow our clients to focus their resources on their own core business and operational competencies. Our business consulting, tax and audit professionals function as a team to support all of your needs, providing a seamless level of service. We serve public and private entities ranging from small and mid-sized businesses to large corporations across the United States.

CBIZ intends to perform this engagement by utilizing mostly its own employees and resources. CBIZ may subcontract a portion of the services to Minority Business Enterprises (MBE) and Women Owned Business Enterprises (WBE). CBIZ plans to utilize Arete Advisors, LLC (Arete) to help deliver services. Arete is a federally certified MBE/WBE and is one of the leading advisory firm providing hands-on consulting services.

For over 20 years, organizations have chosen to add our team of experts to their internal controls staff through co-sourcing and outsourcing. Each of CBIZ's trusted local advisors is backed by an extensive network of internal audit and risk advisory professionals. This approach ensures your engagement is comprised of the right mix of people, technology, and resources to meet your needs on time and on budget. It also provides the flexibility for us to quickly adjust as your business needs evolve.

Section 6 Required Forms

Risk & Advisory Services

Internal Audit Services	IT, Security and Compliance	Board and Audit Committee Advisory	Cost Savings and Risk Mitigation
<ul style="list-style-type: none"> ▪ Internal and IT Audit ▪ Sarbanes-Oxley Assistance ▪ Risk Assessments ▪ Data Analytics ▪ Continuous Monitoring 	<ul style="list-style-type: none"> ▪ Cybersecurity ▪ Data Security and Privacy ▪ PCI Compliance ▪ HIPAA Compliance ▪ Business Continuity 	<ul style="list-style-type: none"> ▪ Enterprise Risk Management ▪ Governance Risk and Compliance ▪ Strategic Planning ▪ Quality Assessment Review 	<ul style="list-style-type: none"> ▪ Process Improvement ▪ Cost Savings & Recovery Services ▪ Construction Cost Review ▪ Vendor Risk Management

Staffing: Proposed Experienced Team to Meet Your Needs

Profiles for the key CBIZ team have been included in the **Resumes** of this qualifications document. Additional team member profiles can be provided at your request.

Our proposed engagement team has built a reputation of providing the highest level of professional consulting services. Our key personnel average over 20 years of internal audit and professional consulting experience so we are confident you are receiving the most elite professionals to provide you the quality of service you deserve. The planned engagement structure is as follows:

ENGAGEMENT LEADERSHIP		CORE INTERNAL AUDIT TEAM	
Relationship Remonde Brangman Managing Director		Dave Cortina Internal Audit Expert Director Scott Moody Information Technology Expert Senior Manager	
SUBJECT MATTER EXPERTS			
Lilian Snodgrass Risk Assessment Managing Director	Dean Travis Data Analytics Senior Manager	Mark McCarthy Construction Expert Managing Director	Dean Travis Cybersecurity Expert Senior Manager

Specific Staffing

Our engagements are staffed keeping in mind the following:

- That we, as your partner, will respect that it is not about us and present ourselves as an integrated member of your in-house team.
- While you will have access to our skills and experience, the real value comes from combining this with the deep understanding of your work that your in-house team brings.
- We will strive to provide the best qualified professionals to meet your specific needs
- That we should give the head of your Internal Audit function constructive challenges, acting as a sounding board for innovative ideas and value-seeking initiatives.

Litigation

CBIZ Risk & Advisory Services is not aware of any lawsuit or litigation and the result of that action resulting from (i) any public project undertaken by us or by our subcontractors where litigation is still pending or has occurred within the last five (5) years. Further we are not aware of any type of project where claims or settlements were paid by us or our insurers within the last five (5) years.

Response to 4.1.2.2.

Consultant Qualifications

CBIZ has the breadth of personnel and service expertise to meet the varied needs of an organization like yours. The CBIZ approach to any engagement to ensure compliance and revenue integrity focuses on the client working to “get it right”. In our experience, the value that CBIZ brings is a well-rounded, focused approach that will work to enhance revenues and improve processes.

Our entire internal audit framework is focused on adding value through targeting risks and controls that impact your ability to achieve your mission. In addition to the proposed Internal Audit co-sourcing services, you will benefit from having our expertise and experiences readily available.

Section 6 Required Forms

CBIZ is committed to establishing and nurturing client relationships. Three examples where our services excelled. We strive for excellence in meeting the needs of our customers, and we welcome you to contact our references listed below:

Client Name	Pennsylvania Higher Education Assistance Agency (PHEAA)
Project	Outsourced / Co-Sourced Internal Audit Services
Scope of Work	CBIZ currently provides a variety of out-sourced Internal Audit Services to the Agency. These services have included providing strategic direction for the Internal Audit function, providing financial and operational support and full outsourcing of the Information Technology audit function. Our work includes evaluating risks related to their core business processes, compliance with various regulations, and all manner of technology risks.
Dates	January 2013 - Present
Number of Employees	1,200
Key CBIZ Employees	Remonde Brangman, Engagement Lead Scott Moody, IT Audit Lead Dean Travis, Cyber Security Lead
Key Approach	Used IT tools to facilitate planning, risk assessments and execution in order to be more efficient and cost effective. Tested IT controls extensively based on client and industry requirements.
Annual Contract Costs	\$4 million average
Total Hours	25,000+ annually
Client Contact	Judith Bines, Chief Audit Executive 1200 N. 7th Street, Harrisburg, PA 17102 (617) 255-3982 jbines@pheaa.org

Section 6 Required Forms

Client Name	State University of New York at Buffalo
Project	New York Tech Campus – Bloomberg Center
Scope of Work	The first academic building constructed at Cornell's New York Tech campus, the Bloomberg Center is part of Cornell's \$2 Billion, 2 million square foot development on Roosevelt Island in New York City. The specific scope of services performed is confidential. However, in general, the scope of services included a review of contract budgets and a complete audit of all construction costs, change orders, and related costs.
Number of Employees	2,500
Key CBIZ Employees	Mark McCarthy Engagement Lead
Key Approach	Used extensive experience and skills to identify cost savings and contract requirements. Leveraged awareness of NYC construction requirements to determine whether the contracts covered the expenditures.
Annual Costs	Less than \$100,000
Dates	October 2014 - Present
Total Hours	600 Hours Annually
Client Contact	Nancy Phelps, Facilities Contracts 121 Humphreys Service Building, Ithaca, NY 14853 (617) 255-3982 NAP2@cornell.edu

Section 6 Required Forms

Client Name	Massachusetts Institute of Technology (MIT)
Project	Nano Building
Scope of Work	New 200,000 square foot nanoscience and nanotechnology research facility to support the activities of 2,000 MIT researchers. The specific scope of services performed is confidential and we cannot release the information without the client's consent. However, in general, the scope of services included a review of labor and equipment rates. We have been involved in the review of most if not all new construction at the University.
Dates	2004 to present
Number of Employees	12,707
Key CBIZ Employees	Mark McCarthy
Key Approach	Used extensive experience, skills and familiarity with research facilities to identify cost savings and expenditures not covered by contract requirements.
Annual Contract Costs	Approximately \$700,000 average
Total Hours	Approximately 4,000 hours per year
Client Contact	Kevin Gregory, Manager, Construction Audits 77 Massachusetts Avenue, Building NE 49-3021, Cambridge, MA 02139 (617) 452-2307 kgregory@mit.edu

RESUMES

Professional Profiles



REMONDE BRANGMAN
Managing Director
CBIZ Risk & Advisory Services

Designations

- Certified Public Accountant
- Certified in Risk Management Assurance
- Certified Internal Controls Auditor

Specialities

- Internal Audit and IT Audit
- Enterprise Risk Management
- Vendor Risk Management
- Forensic Investigations
- Sarbanes-Oxley
- Corporate Government
- Control Self-Assessment
- Business Process Review

As City of Charlotte Relationship Manager, Remonde will have overall responsibility for the engagement.

Remonde Brangman is a Managing Director in the national Risk & Advisory Services practice for CBIZ, Inc., bringing over 35 years of experience providing governance, risk, and internal controls advisory services to leading financial services entities and governmental organizations globally. He is our firm's resident expert on Vendor Risk Management and ISO 31000 and is one of the firm's top forensic auditors with 22 years of experience leading investigations. His combination of contract audit, vendor risk, internal control, and forensic accounting credentials in both Governmental and non-Governmental arenas led him to receive Smart CEO's 2014 Power Player award as a top consultant in the Washington, DC area.

Education:

- B.S., Accounting, New York Institute of Technology

Organizations / Associations:

- American Institute of Certified Public Accountants
 - Institute of Internal Auditors
-



DAVID CORTINA

Director

CBIZ Risk & Advisory
Services

Designations

- Certified Public Accountant

Specialities

- Internal Audit
- Compliance
- Risk Management
- ERM
- Sarbanes-Oxley
- Capital Markets
- Financial Services Advisory
- Second Line Testing
- Operations
- Management Reporting
- Regulatory Requirements
- Recruiting
- Training

As City of Charlotte's Internal Audit Expert, David will have overall oversight of the engagement.

David Cortina is a Director of the Risk & Advisory Services national practice for CBIZ, Inc. He has served in a leadership role in both public and private organizations in the areas of accounting, risk assessments, internal audit, operations, Sarbanes-Oxley compliance, and BSA compliance. David has over 30 years of financial management, consulting, and audit experience. During his career David as a senior audit executive at Swiss Bank Corp, CIBC and IDB Bank, David developed or transformed their under-performing internal audit departments into effective and efficient functions that were well received by the regulators. These transformations included the enhancement of audit methodology, modifications to risk assessment methodologies, adoption or leading edge policies and procedures, electronic work-papers, and establishment of robust training programs.

Lead the banking practices of three consulting firms, serving as internal auditor for banks on a co-source or outsourced basis. Duties included:

- Direct interface with audit committees on audit and risk matters including FDICIA, SOX, GLBA, BSA/AML compliance, fraud, and regulatory enforcement issues
- Managed/executed the SOX compliance efforts of over 20 banks
- Lead a derivatives review project for large French Asset Manager
- Lead global audits in capital markets, investment banking, structured products, asset management, brokerage, credit, risk and finance
- Recruited, trained and supervised professionals globally
- Reviewed key strategic initiatives and helped identify market, credit, liquidity and operational risks as part of the team to adopt/comply the Basel Accords
- Lead the global audit function of Capital Markets and Treasury

Education:

- B.B.A. Accounting, St. Bonaventure University
- MBA Finance, Adelphi University

Organizations / Associations:

- Association of Foreign Bank Auditors
 - American Institute of Certified Public Accountants
 - Financial Executives Network Group
-

Section 6 Required Forms



MARK MCCARTHY
Director

CBIZ Risk & Advisory
Services

Designations

- Certified Construction Auditor
- Certified Fraud Examiner

Specialities

- Construction Audit
- Construction Contract Compliance
- Insurance and Bonding
- Contract Development
- Construction Claims

As City of Charlotte's Construction Expert, Mark will serve as a subject matter expert regarding any construction process or cost on the engagement.

Mark McCarthy is a Director in the national Risk & Advisory Services practice for CBIZ, Inc., specializing in construction cost review and consulting. With more than 12 years of experience, he has demonstrated significant abilities in auditing projects with various types of delivery methods and contract types, including but not limited to: lump sum, guaranteed maximum price (GMP), time and material, design-build, cost plus, integrated project delivery, and performance contracts. Mark has experience in redrafting construction contract agreements, reviewing construction project budgets, reviewing change order pricing in order to verify its compliance with construction agreements, and analyzing contractor and subcontractor bonding and insurance programs including self-insured programs.

Education:

- B.S., Mathematical Business, Wake Forest University

Organizations / Associations:

- National Association of Construction Auditors
 - Association of Certified Fraud Examiners
 - Massachusetts Society of Certified Public Accountants
-

Section 6 Required Forms



SCOTT MOODY
Senior Manager

CBIZ Risk & Advisory
Services

Designations

- Certified in Risk and Information Systems Control
- Certified Information Systems Auditor
- Certified Internal Controls Auditor

Specialities

- IT Governance
- Data Analytics
- Continuous Auditing and Monitoring
- IT Security
- IT Project and Portfolio Management
- Internal/External IT Audit

As city of Charlotte's Information Technology Expert, Scott will be responsible for any IT related matter during the engagement and will lead any testing related to IT as well.

Scott Moody is a Senior Manager in the national Risk & Advisory Services practice for CBIZ, Inc. Scott brings over 20 years of experience in Information Technology (IT), IT audit, and information risk management. He has driven, led, and executed projects across a wide spectrum of information technology areas, most notably in areas of risk, IT audit, data analytics, and information security. He is also experienced in the areas of system implementation, and project management. In his role, he is responsible for helping drive IT audit, data analytics, and IT security activities, including leading a team in the performance of IT audits, reviewing project work and deliverables, and consulting with the Internal Audit management on Internal Audit and IT Audit methodology.

Prior to joining CBIZ, Scott was a Senior Manager of IT Audit and Data Analysis with Rite Aid Corporation, managed the IT Audit function at Lancaster General Health, a regional healthcare delivery system, and was a Manager within KPMG's IT Advisory Group. In those roles, he managed IT audit, advisory, and regulatory projects, specializing in IT governance and process, data analytics, continuous auditing and monitoring, and IT Security. Scott also held positions of increasing responsibility within the IT group at Conrad Siegel Actuaries, a regional actuarial firm, where he served as a Senior Programmer/Developer and was involved in all aspects of the IT function, specializing in application development, project management, IT support, and training.

Education:

- B.S., Computer Science/Mathematics, Lebanon Valley College

Organizations / Associations:

- Informational Systems Audit and Control Association, Immediate Past President of Harrisburg Chapter
 - Institute of Internal Auditors
 - Pennsylvania ACL Users Group
 - Institute for Internal Controls
-

Section 6 Required Forms



DEAN TRAVIS

Senior Manager

CBIZ Risk & Advisory
Services

Designations

- Certified Information Systems Auditor
- Certified Information System Security Professional
- Certified Internal Controls Auditor

Specialities

- Data Security
- Cybersecurity
- IT Controls
- Data Analytics
- Continuous Auditing
- Internal/External IT Audit

As the Cyber Security Specialist, Dean will provide insight regarding cyber risks and perform technical security reviews during the engagement.

Dean Travis is a Senior Manager in the national Risk & Advisory Services practice for CBIZ, Inc. Dean brings over 10 years of experience in Information Technology (IT), IT audit, and information risk management. He has completed reviews of Information Systems for compliance with NIST Cybersecurity Framework, NIST 800-53, CIS Critical Security Controls, FFIEC Cybersecurity Assessment Tool, and ISO 27001. He has developed, led, and executed projects across a wide spectrum of information technology areas, most notably in areas of risk, cybersecurity, IT audit, and data analytics. He is also experienced in the developing large scale risk assessments and aiding both technical and non-technical personnel in determining the IT risk to the organization. In his role, he is responsible for developing and implementing IT audit programs, develop and complete risk assessments, data analytics, and IT security activities, including leading a team in the performance of IT audits, reviewing project work and deliverables, and being a trusted advisor to Internal Audit management. Dean has completed holistic reviews of large Cybersecurity Programs.

Prior to joining CBIZ, Dean has worked within Internal Audit departments and as an IT Consultant for various entities spanning across the Government, Banking, Financial Services, and Manufacturing industries. He has developed and completed IT Infrastructure, Network Security, Data Security, Cybersecurity, and various application reviews.

Education:

- B.S., Accounting, Susquehanna University

Organizations / Associations:

- Informational Systems Audit and Control Association, Membership Chair of Harrisburg Chapter
 - Institute of Internal Auditors
 - (ISC)2
-

Section 6

Required Forms



LILIAN SNODGRASS
Managing Director
Arete Advisors, LLC

Office Location
New York

Specialties

- Management Consulting
- Internal Controls
- Top Down & Enterprise Risk-Assessment
- Project Management
- Sarbanes-Oxley 404
- Documentation, Testing, and Remediation
- COSO & COBIT
- Policy and Process Improvement
- Internal Controls Remediation and Improvement
- Business Process Design
- Continuous Improvement
- Lean Design
- IT Consulting Services – IT Internal Controls & Identity Access Controls Management (IAM)

Education:

- BBA, Corporate Finance, Western Michigan University MBA Candidate, Ohio University

Ms. Snodgrass will augment the CBIZ directors leading the engagement for the City of Charlotte and support client service, delivery, execution, quality assurance and staffing plans for Arete Advisors, LLC.

Ms. Snodgrass have over 20 years of experience in consulting, IT, governance, risk and compliance (GRC) management and internal controls (IT general controls, financial, business). She has led large and complex client engagements in the areas of top-down and entity level risk assessment, business and information technology (application development, security, database, general computer, access controls, systems change management) key control design and testing, Sarbanes-Oxley compliance, process and continuous improvements, policies and procedures, identification of gaps and remediation of management findings, review and improvements of internal control weaknesses and gaps, preparing management reports and reporting to Board of Directors & Audit Committees. As a Chief Internal Controls Officer for the top five largest mutual insurance company in the country was responsible for the company's annual attestation and compliance of the Sarbanes-Oxley Section 302 and 402 regulatory requirements over financial reporting processes. Previously, Ms. Snodgrass held management and executive leadership positions with Accenture and Guardian Life Insurance.

She also has a deep background in management consulting in the areas of ERP (Oracle, PeopleSoft) systems implementation, Lean Process Design, Workforce Strategy and Development, training, process improvement, quality management, training of employees, and change management

Ms. Snodgrass' accomplishments include:

- Oversaw the implementation of entity, business and IT internal controls for a Fortune 200 company from strategy, risk assessment, design, testing to remediation
 - Led documentation, policies and procedures development to address audit management findings and internal control gaps
 - Led key control streamlining and process improvements
 - Led GRC enterprise initiative for a \$100B AUM company
 - Led ERP implementation for a global bank
-

Section 6

Required Forms

Capacity for Performance

CBIZ, with over 4000 professionals and a large inventory of contractor available, is confident that it has the skills and capacity to meet the City of Charlotte's Internal Audit needs. We will be in constant contact with you so that we can easily meet any staff augmentation, specific audit support or lead audit reviews without difficulty.

We are adequately staffed for our current work load.

We also have a large pipeline of possible recruits both at the university and experienced levels. As we grow, we also continue to increase our working arrangements with other consulting groups. Therefore there will be no shortage of staff or capacity. All we need is a few weeks lead time to make all the necessary arrangements.

Response to 4.1.2.3.

Fee Schedule/Summary of Estimated Costs

We understand how critical it is to fulfill your internal audit planning, execution and reporting objectives in a cost effective and value added manner. We propose a blended hourly rate of \$130 per hour. The hourly rates by professional level are as follows:

Level	Hourly Rate
Associate	\$110
Senior	\$120
Manager	\$130
Senior Manager	\$140
Director	\$150
Managing Director	\$170

As the specific tasks and assignments are not currently available, a more precise overall cost is not effectively calculated. We would be agreeable to a more precise calculation, once we know the nature of the assignment.

REQUIRED FORM 3 – SOQ
SUBMISSION FORM RFQ # 269-
2020-011

Internal Audit Support and Consulting Services

This SOQ is submitted by:

Consultant Name: CBIZ Risk and Advisory Services

Representative (printed): Remonde Brangman

Address: 3314 Market St #201

City/State/Zip: Camp Hill, PA 17011 _____

Email address: rbragman@cbiz.com

Telephone: 717-421-4393 _____
(Area Code) Telephone Number

Facsimile: _____
(Area Code) Fax Number

The representative signing above hereby certifies and agrees that the following information is correct:

1. In preparing its SOQ, the Consultant has considered all SOQs submitted from qualified, potential subcontractors and suppliers, and has not engaged in or condoned prohibited discrimination.
2. For purposes of this Section, discrimination means discrimination in the solicitation, selection, or treatment of any subcontractor, vendor or supplier on the basis of race, ethnicity, gender, age or disability or any otherwise unlawful form of discrimination. Without limiting the foregoing, discrimination also includes retaliating against any person or other entity for reporting any incident of discrimination.
3. Without limiting any other provision of the solicitation for SOQs on this project, it is understood and agreed that, if this certification is false, such false certification will constitute grounds for the City to reject the SOQ submitted by the Consultant on this Project and to terminate any contract awarded based on such SOQ.
4. As a condition of contracting with the City, the Consultant agrees to maintain documentation sufficient to demonstrate that it has not discriminated in its solicitation or selection of subcontractors. The Consultant further agrees to promptly provide to the City all information and documentation that may be requested by the City from time to time regarding the solicitation and selection of subcontractors. Failure to maintain or failure to provide such information constitutes grounds for the City to reject the bid submitted by the Consultant or terminate any contract awarded on such SOQ.

Section 6 Required Forms

5. As part of its SOQ, the Consultant shall provide to the City a list of all instances within the past ten (10) years where a complaint was filed or pending against the Consultant in a legal or administrative proceeding alleging that the Consultant discriminated against its subcontractors, vendors or suppliers, and a description of the status or resolution of that complaint, including any remedial action taken.
6. The information contained in this SOQ or any part thereof, including its Exhibits, Schedules, and other documents and instruments delivered or to be delivered to the City, is true, accurate, and complete. This SOQ includes all information necessary to ensure that the statements therein do not in whole or in part mislead the City as to any material facts.
7. It is understood by the Consultant that the City reserves the right to reject any and all Qualifications, to make awards on all items or on any items according to the best interest of the City, to waive formalities, technicalities, to recover and resolicit this RFQ.
8. This SOQ is valid for one hundred and eighty (180) calendar days from the SOQ due date.

I, the undersigned, hereby acknowledge that my Consultant was given the opportunity to provide exceptions to the Sample Contract as included herein as Section 7. As such, I have elected to do the following:

Include exceptions to the Sample Contract in the following section of my SOQ: __

Not include any exceptions to the Sample Contract.

I, the undersigned, hereby acknowledge that my Consultant was given the opportunity to indicate any Trade Secret materials or Personally Identifiable Information ("PII") as detailed in Section 1.6.2. I understand that the City is legally obligated to provide my SOQ documents, excluding any appropriately marked Trade Secret information and PII, upon request by any member of the public. As such, my Consultant has elected as follows:

The following section(s) of the of the SOQ are marked as Trade Secret or PII: __

No portion of the SOQ is marked as Trade Secret or PII.

Representative (signed):  _____

**Section 6
Required Forms**



REQUIRED FORM 4 – M/W/SBE UTILIZATION

RFQ # 269-2020-011

Internal Audit Support and Consulting Services

The City maintains a strong commitment to the inclusion of MWSBEs in the City’s contracting and procurement process when there are viable subcontracting opportunities.

Consultants must submit this form with their SOQ outlining any supplies and/or services to be provided by each City-certified Small Business Enterprise (SBE), and/or City-registered Minority-owned Business Enterprise (MBE) and Woman-owned Business Enterprise (WBE) for the Contract. If the Consultant is a City-registered MWSBE, note that on this form.

The City recommends you exhaust all efforts when identifying potential MWSBEs to participate on this RFQ. Areas for opportunities for inclusion shall include, but are not limited to: public outreach, audit and analysis, translation services, reporting, survey and data collection,

Consultant Name:	
-------------------------	--

and community engagement.

Please indicate if **the Consultant** is any of the following:

___ MBE ___ WBE ___ SBE X None of the above

If the Consultant has been certified with any of the agencies affiliated with the designations above, indicate which agency, the effective and expiration date of that certification below:

Agency Certifying: _____ Effective Date: _____ Expiration Date: _____

List below all **MWSBEs** that you intend to subcontract to while performing the Services:

Subcontractor Name	Description of work or materials	Indicate “M,” “S,” and/or “W”	City Vendor #
ACS Consultancy	Internal audit, quality assurance, risk management, compliance, internal controls, SOX compliance	Minority Owned Woman Owned Small Business	pending

Total MBE Utilization	5%
Total WBE Utilization	10%
Total SBE Utilization	15%
Total MWSBE Utilization	10%

Representative (signed):

9/18/19
Date

Remonde Brangman
Representative Name

Section 6 Required Forms

REQUIRED FORM 5 – CONSULTANT’S BACKGROUND RESPONSE RFQ # 269-2020-011 Internal Audit Support and Consulting Services

Consultants shall complete and submit the form below as part of their response to this RFQ. Additional pages may be attached as needed to present the information requested.

Question	Response
Consultant’s legal name	CBIZ Risk Advisory Services, LLC, a wholly owned subsidiary of CBIZ, Inc.
Consultant Location (provide address of corporate headquarters and (if different from corporate headquarters) location that will be providing the Services).	<p>Headquarters Cleveland - 6050 Oak Tree Blvd. Suite 500 Cleveland, OH 44131</p> <p>Boston - 500 Boylston Street 4th Floor Boston, MA 02116</p> <p>Camp Hill - 3314 Market Street Suite 306 Camp Hill, PA 17011</p> <p>Charlotte - 3530 Toringdon Way Suite 100 Charlotte, NC 28277</p> <p>Memphis - 100 Poplar Avenue 30th Floor Memphis, TN 38137</p> <p>New York - 1065 Avenue of the Americas 11th Floor, New York, NY 10018</p> <p>Philadelphia - 401 Plymouth Road Suite 200 Plymouth Meeting, PA 19462</p>
How many years has Consultant been in business? How long has Consultant been providing the Services as described in Section 3?	<p>We have been operating as a professional services firm since 1996. We have offered advisory services from inception. We started by providing core services such as internal audit (co-source and full outsource), Sarbanes Oxley testing and compliance and business continuity planning. In the last 15 years, we have added information and cybersecurity, enterprise risk management, cost savings and recovery, fraud and investigative services, compliance services and data analytics. We have developed a national risk advisory practice that allows us to serve clients throughout the United States, many with global operations. Our diverse and integrated service offerings result in advantages for our clients, because they allow our clients to focus their resources on their own core business and operational competencies. Our business consulting, tax and audit professionals function as a team to support all of your needs, providing a seamless level of service to our clients. We serve public and private entities ranging from small to mid-sized businesses to large corporations across the United States.</p>

Section 6 Required Forms

<p>How many public sector clients does Consultant have? How many are using the Services? Identify by name some of the clients similar to City (e.g., similar in size, complexity, location, growth, type of organization).</p>	<p>We have over 50 public sector clients that have a similar profiles as the City. This includes the Las Vegas Convention Center, numerous major universities, PHEA, Mass Convention Authority, school districts and universities.</p>
<p>List any projects or services terminated by a public sector client. Please disclose the government entity that terminated and explain the reason for the termination.</p>	<p>None</p>
<p>List any litigation that Consultant has been involved with during the past two (2) years for Services similar to those in this RFQ.</p>	<p>None</p>
<p>Provide an overview and history of Consultant, including an organization chart showing director and officer positions and names and the reporting structure.</p>	<p>See RAS Org Chart</p>
<p>Describe the key individuals along with their qualifications, professional certifications and experience that would comprise Consultant's team for providing the Services.</p>	<p>Same as bios presented</p>
<p>How many employees does Consultant have on staff that will be available to complete the Services?</p>	<p>At least 25 employees will be made available.</p>
<p>How would you recommend the City organize staff resources to support the Services (e.g, staff assigned to each element, staff focused on key areas, etc.)</p>	<p>Our experience has shown us that teams based on key areas and approaches work best. However there must be consistent and effective communication amongst team to avoid duplicity and inefficiencies. This can be accomplished by coordination and regular updates.</p>



FOCAL POINT
DATA RISK

CITY OF CHARLOTTE, NORTH CAROLINA

RFQ No.: 269-2020-011: Internal Audit Support and Consulting Services

September 20, 2019

Client Contact

Amelia Beonde, Procurement Officer
City Procurement
9th Floor, CMGC City of Charlotte
600 East 4th St.
Charlotte, NC 28202

Principal Contact

Larry Burke, Principal
Internal Audit
Focal Point Data Risk, LLC
1601 Sawgrass Corp. Pkwy., Ste. 130
Sunrise, FL 33323

4.1.1: COVER LETTER

Amelia Beonde
Procurement Officer
City of Charlotte, North Carolina
600 East 4th St.
Charlotte, NC 28202

Dear Ms. Beonde,

On behalf of Focal Point Data Risk, LLC (“Focal Point”), I am pleased to present this Statement of Qualification (“SOQ”) for Internal Audit and Consulting Services to the City of Charlotte, North Carolina (“the City,” or “Charlotte”), in response to the City’s **RFQ No. 269-2020-011**.

As a Principal of Focal Point’s Internal Audit practice, I am authorized to propose and bind Focal Point to the services outlined in this document and attest to the accuracy of the information herein. I will also serve as the City’s primary contact for this engagement, and my contact information is provided below:

Larry Burke, Principal, Internal Audit
Focal Point Data Risk, LLC
1601 Sawgrass Corp. Pkwy., Ste. 130
Sunrise, FL 33323
(954) 439-5278. | lburke@focal-point.com

This SOQ details our firm’s approach and estimated costs for completing the City’s initiative, and per request we have summarized this information as follows:

- ▶ Focal Point is proposing a co-sourced staff augmentation relationship with the City, designed to support Charlotte’s needs as it relates to ad hoc audits, audit oversight, technical and domain-specific audits, quality assurance reviews, thought leadership, and other similar services, as needed.
- ▶ Focal Point will select and make available a team of resources, proposed herein, capable of supporting Charlotte through a variety of audit projects. Where possible, these resources will be local to the city. Should specialist expertise from outside the local geography be needed, Focal Point will coordinate to ensure a qualified resource is available.
- ▶ Focal Point is proposing a time and materials arrangement, billed monthly for time used, at the rates described in Section 4.1.2.3.

We thank you for considering Focal Point for this engagement. As you review this SOQ, please feel free to contact me at (954) 439-5278 or lburke@focal-point.com with any additional questions you may have.

Sincerely,



Larry Burke, Principal
Internal Audit
Focal Point Data Risk, LLC

TABLE OF CONTENTS

4.1.1: Cover Letter	1
4.1.2 Qualifications	3
4.1.2.1: Consultant Profile	3
4.1.2.2 Consultant Qualifications	3
1. Recent Projects	3
2. Other Current Contracts	5
3. Resumes	5
4. Capabilities	6
Section 4.1.2.3 Fee Schedule	6
4.1.3: Required Forms	7
Form 1: Request for Qualifications Acknowledgement	7
Form 2: Addenda Receipt Confirmation	8
Form 3: SOQ Submission Form	9
Form 4: M/W/SBE Utilization	11
Form 5: Consultant's Background Response	12
Appendix A: Focal Point Overview and History	13
About Focal Point	13
Core Service Offerings	13
Appendix B: Industry Expertise & Standard Audit Approach	14
Our Audit Practice	14
Critical Success Factors	14
Firm Qualifications	15
Experience	16
Government and Public Sector Clients	16
Standard Audit Approach	18
Appendix C: Representative 1-Page Resumes	19



4.1.2 QUALIFICATIONS

4.1.2.1: CONSULTANT PROFILE

Company Size:	300 employees nationwide
Organization Structure:	Limited Liability Corporation (LLC)
Financial Stability, Capacity, and Resources Statement:	Focal Point has the financial stability, capacity, and resources to provide the services detailed herein. Please reference 4.1.2.2, response 4 for additional details.
Subcontractors:	N/A
Lawsuits or Litigation:	N/A

4.1.2.2 CONSULTANT QUALIFICATIONS

Below please find the requested information on 3 recent engagements completed by our team.

1. Recent Projects

Client 1: Eastern Band of Cherokee Indians

Description	Internal Audit Co-Sourcing – Eastern Band of Cherokee Indians (“EBCI”) has engaged Focal Point since 2016. In the past four years, Focal Point has supported EBCI with a number of engagements, including but not limited to risk assessments, audit plan development, operational, compliance, IT, financial, and internal control reviews.
Duration	2016 - Current
Key Team Members	Bill Solomon, Director; Jennifer Chen, Director
Project Owner & Contact Information	Sharon Blankenship, Chief Audit and Ethics Executive
	828-359-7030
	SHARBLAN@nc-chokeee.com
Contract Value	\$250,000 - \$350,000
Approach, Methodology, and Controls Utilized	The following describes our standard internal audit and evaluation approach for EBCI: <ul style="list-style-type: none"> ● Conduct interviews and walkthroughs with key personnel to gain an understanding of the current key process. ● Perform risk assessment and develop audit program procedures to ensure objectives and controls are aligned with areas of risk identified. ● Develop process documentation (flowcharts) and layer in key risks and internal controls/ identify gaps.



	<ul style="list-style-type: none"> ● Provide initial document request list and perform testing and fieldwork based on inquiry, physical observation and specific test procedures. ● Discuss observations/findings and recommendations with relevant process owners to agree on the proposed action plan. ● Draft audit report and review with management. ● Hold exit meeting with key personnel and issue final report.
--	--

Client 2: City of West Palm Beach

Description	<p>IT Audit Support –</p> <p>City of WPB engaged Focal Point in 2018 to perform a software license audit across all City departments to identify the software applications being utilized by City departments, and whether the software is appropriately license.</p>
Duration	2018
Key Team Members	Larry Burke, Principal
Project Owner & Contact Information	<p>Beverly Mahaso, Chief Internal Auditor</p> <p>561-822-1385</p> <p>BTMahaso@wpb.org</p>
Contract Value	\$26,000
Approach, Methodology, and Controls Utilized	<p>Our approach for this engagement entailed the following:</p> <ul style="list-style-type: none"> ● Communicate scope and objectives of the engagement ● Provide periodic status updates as to the progress made against our baseline project plan ● Conduct a series of discovery sessions with business and IT process owners to refine our understanding of the population of applications ● Identify population of software applications and perform test procedures to determine appropriateness ● Perform quality assurance over all reports and deliverables ● Finalize deliverables upon agreement and communication with management.

Client 3: Orlando Utilities Commission (“OUC”)

Description	<p>Internal Audit Co-Sourcing –</p> <p>OUC engaged Focal Point in 2018 to conduct an audit to determine that controls related to newly implemented work order systems function as intended, are adequate and effective.</p>
-------------	---



Duration	2018
Key Team Members	Pat Nunes, Manager
Project Owner & Contact Information	Mark Thompson, Internal Audit Director
	407-434-2503
	MThompson@ouc.com
Contract Value	\$52,000
Approach, Methodology, and Controls Utilized	<p>Our approach to this engagement included the following:</p> <ul style="list-style-type: none"> ● Communicate scope and objectives of the engagement ● Interview IT process owners to gain a more detailed understanding for each objective ● Review documentation for existing system, process, mappings and training materials ● Perform detailed walkthroughs ● Document current system state and identify controls existing within each area as well as control gaps. ● Perform testing over the following objectives and controls as a framework: Configuration; Workflow; Integration controls; User access, roles, authority; Review system documents and training; Input and application controls; Reporting; Change Management. ● Identify process improvements and formalize a process remediation plan ● Provide periodic status updates to management ● Perform quality assurance over all reports and deliverables ● Finalize deliverables upon agreement and communication with management.

2. Other Current Contracts

As a private company, Focal Point chooses to not disclose current contract information during the proposal process; however, please note that our firm is confident of its capacity to support the City’s Internal Audit function with the scope of its requested services.

Focal Point has built a large and successful team of specialists with expertise in internal audit, compliance, and business processes, as well as end-to-end capabilities that include data analytics, cyber security, data privacy, and other specialties. Our firm employs 300 resources within a wide range of specialties located in major cities across the U.S. and many within and/or near North Carolina.

3. Resumes

Per request, we have provided 1-page resumes to showcase the expertise and qualifications of our proposed core project team members. Full resumes can be furnished upon request.



4. Capabilities

Focal Point has the stability and resources to confidently support the City's initiatives. Our firm is backed by significant private equity capital through Norwest Equity Partners and Halyard Capital and has experienced year-over-year business growth since 2005. This growth has allowed Focal Point to build a large and successful team of resources, with expertise in internal audit, cyber security, data privacy, identity governance, and other areas. Our financial and human capital has allowed Focal Point to build an impressive track record of past work, particularly related to internal audit engagements.

SECTION 4.1.2.3 FEE SCHEDULE

Our fees are provided on a time and materials basis and are based upon an hourly rate commensurate with the level and experience of resource(s) being provided.

Our firm typically uses a graded fee structure and base hourly rates that are commensurate with the level and experience of our project team resources. However, based upon the City's request and careful consideration, and as a gesture of our desire to become a long-term trusted advisor to the City of Charlotte, we have prepared the following blended rate specifically discounted for your organization. In addition, please note the respective rates for data privacy and cyber security services we have prepared for the City, should the need for these specialists arise at any time during an internal audit engagement.

Resource	Hourly Rate
Principal	\$155
Director	\$155
Senior Manager	\$155
Manager	\$155
Senior Consultant	\$155
Consultant	\$155
(Optional) Data Privacy Consultant	\$170
(Optional) Security Consultant	\$190

Out-of-pocket expenses will be billed at the prevailing Federal Per Diem Rate for Charlotte, NC per day to cover all meals, lodging, travel, and other expenses, as noted by the City's Service Terms. No other expenses will be charged. Each invoice will include a summary of expenses by category and documentation will be provided, as required by the City.



4.1.3: REQUIRED FORMS

FORM 1: REQUEST FOR QUALIFICATIONS ACKNOWLEDGEMENT

Section 6 Required Forms

REQUIRED FORM 1 – REQUEST FOR QUALIFICATIONS ACKNOWLEDGEMENT

RFQ # 269-2020-011

Internal Audit Support and Consulting Services

The Consultant hereby certifies receipt of the Request for Qualifications for the City of Charlotte, North Carolina RFQ #269-2020-011, Internal Audit Support and Consulting Services. This form should be completed upon receipt of the City's Request for Qualifications and faxed or emailed in time for the City to receive it by or before **September 6, 2019**. Failure to submit this form by the designated date shall not preclude the Consultant from submitting a SOQ. Please fax or email the completed Request for Qualifications Acknowledgement Form to the attention of:

Amelia Beonde
Department of General Services – City Procurement
Fax: 704-632-8268
Email: abeonde@charlottenc.gov

Date: 8/30/2019

Authorized Signature: 

Title: Principal

Consultant Name: Focal Point Data Risk, LLC

Contact Name: Larry Burke

Contact E-mail Address: lburke@focal-point.com

Contact Phone Number: (954) 439-5278

Please check the appropriate space below and provide the requested information:

We plan to submit a Statement of Qualifications

We do not plan to submit a Statement of Qualifications

Reason: _____



FORM 2: ADDENDA RECEIPT CONFIRMATION

Section 6 Required Forms

REQUIRED FORM 2 – ADDENDA RECEIPT CONFIRMATION

RFQ # 269-2020-011

Internal Audit Support and Consulting Services

Please acknowledge receipt of all addenda by including this form with your SOQ. All addenda will be posted to the NC IPS website at www.ips.state.nc.us and the City's Contract Opportunities Site at <http://charlottenc.gov/DoingBusiness/Pages/ContractOpportunities.aspx>.

ADDENDUM #:

DATE ADDENDUM
DOWNLOADED FROM NC IPS:

1

9/16/2019

I certify that this SOQ complies with the Specifications and conditions issued by the City except as clearly marked in the attached copy.

Larry Burke
(Please Print Name)

9/16/2019
Date


Authorized Signature

Principal
Title

Focal Point Data Risk, LLC
Consultant Name



FORM 3: SOQ SUBMISSION FORM

Section 6 Required Forms

REQUIRED FORM 3 – SOQ SUBMISSION FORM

RFQ # 269-2020-011

Internal Audit Support and Consulting Services

This SOQ is submitted by:

Consultant Name: Focal Point Data Risk, LLC

Representative (printed): Larry Burke, Principal

Address: 1601 Sawgrass Corp. Pkwy., Ste. 130

City/State/Zip: Sunrise, FL 33323

Email address: lburke@focal-point.com

Telephone: (954) 439-5278
(Area Code) Telephone Number

Facsimile: (954) 333-3589
(Area Code) Fax Number

The representative signing above hereby certifies and agrees that the following information is correct:

1. In preparing its SOQ, the Consultant has considered all SOQs submitted from qualified, potential subcontractors and suppliers, and has not engaged in or condoned prohibited discrimination.
2. For purposes of this Section, discrimination means discrimination in the solicitation, selection, or treatment of any subcontractor, vendor or supplier on the basis of race, ethnicity, gender, age or disability or any otherwise unlawful form of discrimination. Without limiting the foregoing, discrimination also includes retaliating against any person or other entity for reporting any incident of discrimination.
3. Without limiting any other provision of the solicitation for SOQs on this project, it is understood and agreed that, if this certification is false, such false certification will constitute grounds for the City to reject the SOQ submitted by the Consultant on this Project and to terminate any contract awarded based on such SOQ.
4. As a condition of contracting with the City, the Consultant agrees to maintain documentation sufficient to demonstrate that it has not discriminated in its solicitation or selection of subcontractors. The Consultant further agrees to promptly provide to the City all information and documentation that may be requested by the City from time to time regarding the solicitation and selection of subcontractors. Failure to maintain or failure to provide such information constitutes grounds for the City to reject the bid submitted by the Consultant or terminate any contract awarded on such SOQ.
5. As part of its SOQ, the Consultant shall provide to the City a list of all instances within the past ten (10) years where a complaint was filed or pending against the Consultant in a legal or administrative proceeding alleging that the Consultant discriminated against its subcontractors, vendors or



**Section 6
Required Forms**

suppliers, and a description of the status or resolution of that complaint, including any remedial action taken.

- 6. The information contained in this SOQ or any part thereof, including its Exhibits, Schedules, and other documents and instruments delivered or to be delivered to the City, is true, accurate, and complete. This SOQ includes all information necessary to ensure that the statements therein do not in whole or in part mislead the City as to any material facts.
- 7. It is understood by the Consultant that the City reserves the right to reject any and all Qualifications, to make awards on all items or on any items according to the best interest of the City, to waive formalities, technicalities, to recover and resolicit this RFQ.
- 8. This SOQ is valid for one hundred and eighty (180) calendar days from the SOQ due date.

I, the undersigned, hereby acknowledge that my Consultant was given the opportunity to provide exceptions to the Sample Contract as included herein as Section 7. As such, I have elected to do the following:

Include exceptions to the Sample Contract in the following section of my SOQ: _____

Not include any exceptions to the Sample Contract.

I, the undersigned, hereby acknowledge that my Consultant was given the opportunity to indicate any Trade Secret materials or Personally Identifiable Information (“PII”) as detailed in Section 1.6.2. I understand that the City is legally obligated to provide my SOQ documents, excluding any appropriately marked Trade Secret information and PII, upon request by any member of the public. As such, my Consultant has elected as follows:

The following section(s) of the of the SOQ are marked as Trade Secret or PII: 4.1.2.2.1; Appendix C

No portion of the SOQ is marked as Trade Secret or PII.

Representative (signed): 



FORM 4: M/W/SBE UTILIZATION

Section 6 Required Forms



REQUIRED FORM 4 – M/W/SBE UTILIZATION

RFQ # 269-2020-011

Internal Audit Support and Consulting Services

The City maintains a strong commitment to the inclusion of MWSBEs in the City’s contracting and procurement process when there are viable subcontracting opportunities.

Consultants must submit this form with their SOQ outlining any supplies and/or services to be provided by each City-certified Small Business Enterprise (SBE), and/or City-registered Minority-owned Business Enterprise (MBE) and Woman-owned Business Enterprise (WBE) for the Contract. If the Consultant is a City-registered MWSBE, note that on this form.

The City recommends you exhaust all efforts when identifying potential MWSBEs to participate on this RFQ. Areas for opportunities for inclusion shall include, but are not limited to: public outreach, audit and analysis, translation services, reporting, survey and data collection, and community engagement.

Consultant Name:	Focal Point Data Risk, LLC
-------------------------	----------------------------

Please indicate if **the Consultant** is any of the following:

MBE WBE SBE None of the above

If the Consultant has been certified with any of the agencies affiliated with the designations above, indicate which agency, the effective and expiration date of that certification below:

Agency Certifying: _____ Effective Date: _____ Expiration Date: _____

List below all MWSBEs that you intend to subcontract to while performing the Services:

Subcontractor Name	Description of work or materials	Indicate “M,” “S,” and/or “W”	City Vendor #

Total MBE Utilization	%
Total WBE Utilization	%
Total SBE Utilization	%
Total MWSBE Utilization	%

Representative (signed):

 9/20/2019 Larry Burke, Principal
 Date Representative Name



FORM 5: CONSULTANT’S BACKGROUND RESPONSE

Question	Response
Consultant’s legal name	Focal Point Data Risk, LLC
Consultant Location (provide address of corporate headquarters and (if different from corporate headquarters) location that will be providing the Services).	Corporate Headquarters: 201 E. Kennedy Blvd., Ste. 1750 Tampa, FL 33602 Location of Services: Local Charlotte, NC and Atlanta, GA resources, as well as remote nationwide support as needed.
How many years has Consultant been in business? How long has Consultant been providing the Services as described in Section 3?	Focal Point has been in business for 14 years and providing the proposed services since its inception in 2005.
How many public sector clients does Consultant have? How many are using the Services? Identify by name some of the clients similar to City (e.g., similar in size, complexity, location, growth, type of organization).	We have supported many public sector clients with a range of services, including internal audit assistance. Please reference Appendix B for additional information.
List any projects or services terminated by a public sector client. Please disclose the government entity that terminated and explain the reason for the termination.	Focal Point has not been terminated by a public sector client during a project.
List any litigation that Consultant has been involved with during the past two (2) years for Services similar to those in this RFQ.	None.
Provide an overview and history of Consultant, including an organization chart showing director and officer positions and names and the reporting structure.	Please reference Appendix A for additional information.
Describe the key individuals along with their qualifications, professional certifications and experience that would comprise Consultant’s team for providing the Services.	Please reference Appendix C for additional information.
How many employees does Consultant have on staff that will be available to complete the Services?	Our Internal Audit practice employs 100 resources capable of supporting the City’s initiatives. Additional specialists from other domains can be engaged as needed.
How would you recommend the City organize staff resources to support the Services (e.g, staff assigned to each element, staff focused on key areas, etc.)	Staff should be assigned to areas where knowledge gained (i.e. personnel, policies and procedures, area processes, systems, etc.) can promote the efficiency and effectiveness of ongoing services. Specialty skills (e.g. cyber security, privacy, etc.) will provide assistance when needed to all key areas, depending on the need.



APPENDIX A: FOCAL POINT OVERVIEW AND HISTORY

ABOUT FOCAL POINT

Focal Point is a leading integrated risk management firm, specializing in assessing and mitigating a wide range of cyber and privacy risks. We are recognized in the industry as a firm that prioritizes quality and communication, and as such, we have been selected as the trusted security partner for roughly half of the Fortune 500. Our uniqueness comes from our ability to build project teams with cross-functional expertise, combining compliance, technical, operational, and workforce-focused experts into integrated project teams that help our clients solve their most difficult problems.

With more than 300 employees across the United States, Focal Point can meet the needs of the largest and most demanding organizations. Focal Point has been providing internal audit co-sourcing, IT audits, cybersecurity, data privacy, SOX compliance, and enterprise risk management services since 2005.



CORE SERVICE OFFERINGS

Focal Point offers a diverse set of risk management capabilities that our clients can utilize to address the most critical risks facing their business. The following list is an overview of the services we routinely provide to our clients:

Cyber Security

- Penetration Testing
- PCI Compliance
- IT Risk Assessments
- Business Continuity & Disaster Recovery

Audit

- Co-sourcing/Outsourcing
- IT Audit
- SOX and MAR Compliance
- Enterprise Risk Management

Data Privacy

- HIPAA Assessments
- Vendor Risk Management
- Compliance Assessments (GDPR, etc.)
- Privacy Assessments

eGRC

- Framework Definition
- Tool Selection
- Enablement
- Governance

Identity and Access Management

- System Selection
- IAM and PAM Implementations
- Managed Support
- IAM Maturity Audits

Security Training

- Workforce Development
- Technical Courses
- Custom Security Courses
- On-site Training



APPENDIX B: INDUSTRY EXPERTISE & STANDARD AUDIT APPROACH

OUR AUDIT PRACTICE

Our Audit and Compliance services are derived from our Centers of Excellence, which include Governance, Risk and Compliance (GRC); Internal Audit; IT Audit; Financial Advisory; Data Analytics; ERP Advisory; Information Security; and Data Privacy. The fundamental principle underlying each of our Centers of Excellence – and ultimately all of our projects – is a **focus on RISK**.

Our project team follows a Top-Down, Risk Based (TDRB) approach to reviewing and testing controls, significantly reducing both sample sizes and testing time for key controls. Additionally, our controls testing is supported by industry-leading assessment tools and libraries to deliver validated, repeatable findings. Our TDRB approach leverages a structured, hierarchal framework that includes:

- ▶ Applying specific risk factors;
- ▶ Determining the scope and evidence required to assess key controls; and
- ▶ Providing valuable insight into “what can go wrong.”



CRITICAL SUCCESS FACTORS

We follow practices promoted by the Institute of Internal Auditors (IIA) and are adept at planning and scheduling audits, testing controls of all types and at all levels, reporting audit results, and presenting findings to executive management and audit committees. We have the breadth and depth of skilled internal audit professionals to meet your needs. State and local governments choose to co-source with Focal Point for many reasons, including:

- ▶ **Retention of Talent:** Our firm has built a supportive and collaborative work environment with a focus on employee development, which has led to a high employee retention and consistent delivery teams, year after year. This reduces the burden of internal knowledge transfers and allows your team to depend on Focal Point for the long term.
- ▶ **Subject Matter Expertise:** Focal Point gives you on-demand access to professionals with niche expertise, including fraud and forensics, information technology, data privacy, identity and access management, and data analysis.
- ▶ **Core Competencies:** With consulting as our core competency, we are committed to making investments in the best methodology, professionals, technologies and service delivery approach. This dedication means our resources are ideally situated to partner with in-house audit departments on long-term engagements.
- ▶ **Superior Flexibility:** Focal Point offers the capabilities to easily and affordably flex the number of resources assigned to your Internal Audit function, keeping you properly staffed during both peak and off-peak periods. Focal Point is also adept at supporting organizations with growing Internal and IT Audit departments, staffing down and transferring knowledge along the way.



FIRM QUALIFICATIONS

Many public sector organizations rely on Focal Point to supplement their existing auditing resources, providing a co-sourced audit approach that enhances their current auditing staff's efforts by recommending ways to improve their governance, risk, and control activities. Our project leaders are Certified Information Systems Auditors (CISAs), and our methodology-driven approach aligns with a number of standards and industry frameworks, including:

- ▶ Institute of Internal Auditors (IIA);
- ▶ International Standards for the Professional Practice of Internal Auditing;
- ▶ American Institute of Certified Public Accountants (AICPA); and
- ▶ Generally Accepted Accounting Principles (GAAP).

In addition to its internal audit teams, Focal Point has dedicated delivery teams specializing in regulatory compliance, data privacy, identity and access management, and data analytics. While these experts primarily focus on services outside the scope of this proposal, they are nonetheless available to the City should a need arise – a value-added benefit that our clients have leveraged on countless occasions. At any point in this engagement, should the City wish to consult with an expert in these fields, Focal Point's project advisor will be happy to arrange a consultation.

Focal Point's audit experts are Certified Public Accountants (CPA), Certified Internal Auditors (CIA), Certified Information Systems Auditors (CISA), Certified Financial Analysts (CFA), ACL Certified Data Analyst (ACDA), Certified Fraud Examiners (CFE), Certified Information Systems Security Professionals (CISSP), Certified Information Privacy Professionals (CIPP), and Payment Card Industry (PCI) Qualified Security Assessor (QSA), and Certified Information Security Managers (CISM).

All our auditors attend annual internal training courses to ensure that all of our resources are using consistent methodologies and adhering to our standards for ethics, confidentiality, and personal and professional integrity. Our trainings also include courses on industry regulations and best practices, and we offer similar educational courses to our clients' resources as well.



EXPERIENCE

Government and Public Sector Clients

Focal Point has had the pleasure of supporting the internal audit function of many government entities. The table below represents some of our firm’s public sector clients.

Similar Services Provided to Government Entities in the Last 3 Years

Client	Dates	Project Activities	
Eastern Band of Cherokee Indians	2016 - Current	Internal Audit Co-Sourcing Operational Audits Risk Assessment	Audit Plan Development Operational, Compliance, IT, Financial, & internal Control Reviews
City of West Palm Beach	2018	Software License IT Audit Support	
Orlando Utilities Commission	2018	Internal Audit Co-Sourcing	
Hillsborough County Public Schools	2013 – 2016	Computer Hard Drive Forensics Firewall Assessment Incident Response Plan Assistance IT Risk Assessment IT Governance Assistance	Password Audit Patching Process Advisory Penetration Testing Threat and Vulnerability Management Wireless Network Remediation
Citizens Property Insurance	2011 – Current	ERM Consulting External Penetration Testing Forensic Auditing Incident Response Testing	Internal Penetration Testing Risk Assessment Wireless Penetration Testing
City of Phoenix	2015	IT Risk/SAP Basis Controls Audit	
Florida Polytechnic University	2016 – 2017	Enterprise Risk Assessment Implementation Review	Internal Audit Outsource Payroll Audit
Hillsborough County BOCC	2016	Oracle Training	
South Coast Air Quality Management District (Calif.)	2017-2018	IT Operational and Security Risk Assessment	
WorkSafeBC	2018	Internal Audit Co-Sourcing	
Metro. Gvmt. of Nashville and Davidson Cty.	2013 – 2018	HIPAA Assessment	Incident/Breach Response Planning
Broward County Government	2013, 2016	HIPAA Assessment Penetration Testing	Social Engineering Web Application Testing

Our team has delivered hundreds of successful projects since our inception almost 14 years ago. Approximately half of Focal Point’s projects are internal audit and compliance focused, with many clients outsourcing or co-sourcing their internal audit and compliance requirements on an annually recurring basis. On the following page is a representative sample of the internal audit engagements our proposed offices have performed within the last 3 years, **excluding engagements with government entities, which have been provided above.**



RFQ No.: 269-2020-011: Internal Audit Support and Consulting Services

Client	Dates	Project Activities	
Burger King Corporation	2006 – Current	Internal Audit Co-Sourcing ITGC Testing Application Controls Disaster Recovery Planning	Penetration Testing SOX Testing Vulnerability Assessment
Bayview Lending	2007 – Current	Internal Audit Co-Sourcing Fraud Audits Incident Response Audit Business Continuity	IT General Controls Testing IT Risk Assessment SDLC Process Audit SOX Readiness
Bed, Bath, & Beyond	2011 – Current	Internal Audit Co-sourcing Operational Audit IT Risk Assessment	Vulnerability Assessment Penetration/Remediation Testing Business Continuity / Disaster Recovery
Crawford and Company	2013 – Current	Global IT Risk Assessment Information Security Assessments PCI Risk Assessments	Penetration Testing Web Application Testing
Discover Financial Services	2011 – Current	Active Directory Review Application Hosting Services Audit Email System Assessment Firewall Audit IT General Controls	Privacy Assessment SDLC Governance Review SOX ITGC Testing Vulnerability/Incident Management
Hemisphere Media Grp, Inc.	2014 – Current	Internal Audit Co-Sourcing	SOX Compliance
Norwegian Cruise Lines	2008 – Current	ACL Training Internal Audit Co-Sourcing ITGC Testing	IT Risk Assessment SOX ITGC Testing
PSCU	2013 – Current	Business Continuity Planning Business Impact Analysis Cyber Assessment Internal Audit Co-Sourcing	IT General Controls Testing Payroll Audits Settlement Audits
Publix	2007 – Current	Disaster Recovery Audits HIPAA Advisory Internal Audits PCI Assessments	PCI Audits PCI Remediation Penetration Testing Segmentation Validation
Spirit Airlines	2011 – Current	Application Controls Testing ITGC Testing Internal Audit Assistance IT Advisory and Remediation	SAP Consulting SOX Consulting SOX ITGC
AV Homes, Inc	2012 - 2018	SOX Compliance Internal Audit Co-Sourcing	Fraud Risk Assessment
Catalyst Pharmaceutical Partners	2015 -- 2018	Internal Audit Co-Sourcing	SOX ITGC Testing
Chewy.com	2017	SOX ITGC Testing	Internal Audit Co-Sourcing
Raymond James Financial	2012 - 2018	Financial Audit Internal Audit Direct Assistance	IT General Controls Testing
Revlon, Inc.	2016 - 2018	SOX Compliance	Internal Audit Co-Sourcing
South Coast Air Quality Mgmt District (Calif.)	2017-2018	IT Operational and Security Risk Assessment	

STANDARD AUDIT APPROACH

Below we have included our firm's standard audit approach, which we customize to meet the specific needs of each client and the objectives of their engagement.

Phase 1 – Audit Planning and Project Administration

- ▶ **Kick-off Meeting:** Our testing will begin with an initial Client/Focal Point team kick-off meeting. This meeting will further refine the engagement objectives and communicates the scope and objectives to internal representatives. It will also set expectations and establish an escalation process for any issues that arise during the engagement.
- ▶ **Budget and Timeline Review:** In conjunction with the project's kick-off, we will review the appropriate level of resources required, the project timeline, and the estimated time commitment with the County's project team to ensure the overall project is run efficiently.
- ▶ **Status Reporting:** Throughout testing, we will provide the Client with regular status reports to communicate our team's progress. Our status reports will also include any issues that may need to be escalated, based upon criteria established in the kick-off meeting.

Phase 2 – Perform Fieldwork

- ▶ In accordance with the agreed-upon targeted audits, our team will gather and evaluate all documentation provided by the Client and will schedule in-person meetings with as required to obtain any additional information needed to conclude on the audit objectives.
- ▶ Audit procedures will be performed through a combination of process/control walkthroughs, inquiry, observation and inspection techniques.
- ▶ We will leverage the Client's workpaper templates and perform all testing in accordance with Generally Accepted Auditing Standards. The preliminary results will be reviewed by Focal Point's project management team to ensure quality of the deliverables and minimize review comments.
- ▶ Throughout the fieldwork phase, we will identify, track, and report any control deficiencies or process improvement opportunities. We will assist and coordinate any necessary remediation activities related to the correction of specific control deficiencies. In the event of control exceptions, expansion testing will be performed to conclude on the operation effectiveness of controls.
- ▶ Prior to leaving the field, we will meet with the Client and other key members of the area under audit to discuss findings and gather consensus on recommendations. We generally do not allow a report to be issued unless everyone is in agreement on its findings. The facts should support the findings very clearly.

Phase 3 – Final Reporting and Deliverables

- ▶ We typically deliver a draft report of our audit findings within 1–3 weeks following fieldwork. A meeting will be scheduled to discuss the report and to help advance it to a final version. Our approach ensures the progress of our findings through the system in a timely manner.
- ▶ The Focal Point engagement leader will perform an initial review of all deliverables, including work papers and reports. The Focal Point Engagement Lead will perform a final quality assurance review prior to delivering to the client.
- ▶ The Focal Point engagement team will provide electronic and/or hardcopies of the engagement file including our deliverables and all supporting work papers to the client. Our team will attend any follow-up meetings with management as required.



**NOTICE OF REDACTION
PER VENDOR REQUEST TO REMAIN CONFIDENTIAL**

PAGES 19-29 OF SOQ: APPENDIX C - RESUMES



41 N. 3rd Street
Philadelphia, PA 19106

215-592-9634 (P)
215-592-9636 (F)
www.talsonsolutions.com

September 20, 2019

Amelia Beonde
Procurement Officer
City of Charlotte
Department of General Services
600 East 4th Street
CMGC 9th Floor
Charlotte, NC 28202

**RE: Request for Qualifications for Internal Audit Support and Consulting Services,
RFQ No. 269-2020-011**

Dear Ms. Beonde:

Talson Solutions, LLC (Talson) is pleased to submit its qualifications to the City of Charlotte, North Carolina (the City) regarding Internal Audit Support and Consulting Services, Request for Qualifications No. 269-2020-011.

Talson acknowledges the City's qualification requirements and attests to the accuracy of the information within. Talson understands that the City will select one (1) or more consultants to provide various accounting, financial, risk advisory / risk management, and/or other consulting services which may include staff augmentation through co-sourcing, quality assurance reviews, among other specialized services.

One of Talson's strengths is in its ability to form strong working relationships with our clients as a direct result of our specific expertise, knowledge sharing, and overall professionalism. Our team delivers continuity in client support for the duration of the engagement, dedicated to client satisfaction through personal and responsive service. Our clients, both public entities and private organizations, see Talson as a trusted partner and continuously engage our firm to consult on the capital program. Talson's engagement on these projects have consistently led to improvement in financial controls and contract compliance by all parties resulting in project success.

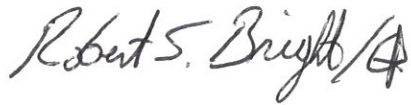
Talson proposes hourly rates for required staff as described in our fee schedule which is included in the submission. An actual summary and/or estimate of costs to the City will be determined upon issuance of a Task Order.

We look forward to the opportunity to work with the City. Please do not hesitate to contact me if any additional information is required. Thank you for your consideration.

Talson Solutions, LLC
September 20, 2019
Cover Letter Page 2

City of Charlotte
Internal Audit Support and Consulting Services
RFQ No. 269-2020-011

Sincerely,

A handwritten signature in black ink that reads "Robert S. Bright" followed by a stylized flourish or symbol.

Robert S. Bright
President (*Authorized Representative*)
41 N. 3rd Street
Philadelphia, PA 19106
(215) 592-9634 – Office
(215) 592-9636 – Fax
rbright@talsonsolutions.com



STATEMENT OF QUALIFICATIONS TO
CITY OF CHARLOTTE
NORTH CAROLINA
FOR
INTERNAL AUDIT SUPPORT AND
CONSULTING SERVICES
RFQ No. 269-2020-011

SUBMITTED: SEPTEMBER 20, 2019

CITY OF CHARLOTTE CONTACT:

Amelia Beonde
Procurement Officer
600 East 4th Street, CMGC 9th Floor
Charlotte, NC 28202
(704) 336-3400
abeonde@charlottenc.gov

TALSON SOLUTIONS, LLC CONTACT:

Robert S. Bright
President
41 N. 3rd Street
Philadelphia, PA 19106
(215) 592-9634
rbright@talsonsolutions.com

STATEMENT OF CONFIDENTIALITY:

This Submittal includes data that shall not be disclosed outside of the City of Charlotte, North Carolina (the City) and shall not be duplicated, used, or disclosed in whole or in part for any purpose other than to evaluate the Submittal. If, however, a contract is awarded to this offer or as a result of or in connection with this Submittal, the City shall have the right to duplicate, use, or disclose the data to the extent provided in the resulting contract. This restriction does not limit the City's right to respond to a Freedom of Information Request or to use information contained in this data if it is obtained from another source without restriction.



STATEMENT OF QUALIFICATIONS TO

**CITY OF CHARLOTTE
NORTH CAROLINA**

FOR

**INTERNAL AUDIT SUPPORT AND CONSULTING
SERVICES**

RFQ No. 269-2020-011

SUBMITTED: SEPTEMBER 20, 2019

Table of Contents

1. Qualifications.....	1
a. Consultant Profile	1
b. Consultant Qualifications	2
c. Fee Schedule.....	5
2. Appendix –	
Resumes	
Required Form 2 – Addenda Receipt Confirmation	
Required Form 3 – SOQ Submission	
Required Form 4 – M/WSBE Utilization	
Required Form 5 – Consultant's Background Response	
Audited 2017 Financial Statement	
Unaudited 2018 Financial Statement	

1. Qualifications

Talson Solutions, LLC (Talson) is pleased to submit its Statement of Qualifications to City of Charlotte, North Carolina (the City) for Internal Audit Support and Consulting Services benefiting local government construction projects specific to transportation, aviation, public safety, and public works. Talson delivers capital project consulting support through construction audit and a variety of other services effectively assisting the needs of clients across multiple industries and wishes to provide timely, relevant, and client centric support to the City.

a. Consultant Profile

Founded in 2001, Talson is 100 percent dedicated to providing capital project consulting services assisting our clients in reducing capital program risk by improving financial controls and project execution. Talson offers specialized services in the areas of construction audit, litigation avoidance, project management, and risk assessment.

Talson is a certified Disadvantaged Business Enterprise in more than 10 states including North Carolina. Since its inception, Talson has grown to a team of 24 professionals with diverse backgrounds in accounting, architecture, construction management, engineering, finance, project management and quality management. Headquartered in Philadelphia, PA, Talson has expanded to offices in: Atlanta, GA; Los Angeles, CA; New York, NY; and Panama City, Panama. Talson staff have served the education, commercial real estate, healthcare, infrastructure, public works, retail, and transportation industries on projects ranging in size from \$2 million to more than \$10 billion in the domestic United States and internationally.

Talson is knowledgeable of the complexities and challenges faced by public agencies similar to the City and wishes to help the City improve and successfully deliver projects. Talson reviews processes to ensure contractor compliance, design accuracy, construction and operational readiness, financial controls and quality, transparency, and budget completeness as well as eliminating schedule uncertainty. As an experienced and effective service partner to local, state, and federal government agencies, Talson delivers assistance that is timely, relevant, and diminishes overall risks to capital projects. Talson's public clients include, but are not limited to, multiple engagements with the City of Philadelphia encompassing construction audit support and owner's representation services, Department of General Services, the City and County of Denver for the Denver International Airport, Federal Transit Administration, and the City of Charlotte where Talson is providing audit support and consulting services benefiting the construction of the Public Safety Communications Building.

Talson professionals apply a forward thinking approach to capital projects while effectively utilizing lessons learned to benefit engagement outcomes. Moreover, Talson goes several steps beyond the typical audit process functioning as a trusted service advisor and not just as a service provider. Through this approach, we maintain and develop legacy relationships while strengthening our reputation as superior capital project consultants. The Talson team method is centered on maintaining the utmost integrity throughout all engagement activities.

Talson has the financial capacity and capability available to assist the City effectively performing all requested services for the duration of this contract as well as any subsequent years if requested by the

City. Throughout its years of operation Talson continues to maintain a profitable and financially solvent position with strong net income and has never had any bankruptcy filing its 18 year history.

Talson Solutions, LLC affirms there have been no judicial or administrative proceedings involving the firm within the past five (5) years that would interfere with our work performance nor any claims or settlements paid by the firm or its insurer in within the past five (5) years.

b. Consultant Qualifications

Talson is knowledgeable of the complexities and challenges faced by public agencies similar to the City and can provide effective support to improve and successfully deliver capital projects. Talson's audit support and consulting engagements focus on improving our client's internal operations and contractor management by enhancing financial and project controls, assessing project risk, improving quality oversight, and identifying cost recovery opportunities. Talson's staff have more than 300 years of combined capital project experience providing valued advisory services to private and public clients. Our typical engagement activities focus on design and construction contract compliance, procurement, subcontractor performance, internal and external controls, change management, project risk assessments, financial reporting, quality assurance and quality control, project administration, and pre-closeout and closeout deliverable assessments. Talson leverages its knowledge and experience in order to effectively facilitate the needs of our clients.

The following three (3) projects highlight Talson's depth of public sector project experience:

Client:	Los Angeles County Metropolitan Transportation Authority (Metro)
Location:	Los Angeles, California
Projects:	Regional Connector Transit Project (\$1.8 billion); Crenshaw/Los Angeles International Airport (LAX) Transit Project (\$2.06 billion)
Project Description:	<u>Regional Connector:</u> Talson conducted a performance audit of the Regional Connector Light Rail Expansion project, an approximately 1.9 mile underground light rail extension from the Metro Gold Line Little Tokyo/Arts District Station to the 7 th Street Metro Center Station in downtown Los Angeles. The project anticipates revenue operation in December 2021. The audit specifically encompassed the most recent 12 months of project activity with an overall audit objective to evaluate the efficiency and effectiveness of project management. This evaluation included: budgeted vs actual costs and schedule, achievement of key milestones, risk assessment process and risk mitigation efforts, and compliance with Metro's Full Funding Grant Agreement.
Project Duration:	2018-2019
Key Team Members:	Robert Bright, Principal/Engagement Director; Kenneth Brzozowski, Senior Engagement Manager; Elwood Hill, Manager; Norman Jones, Technical Specialist; Rachel Rosa, Associate
Primary Contact:	Diana Estrada, Chief Auditor
Address:	One Gateway Plaza, 21 st Floor, Los Angeles, CA 90012
Telephone:	213-922-2161
E-mail:	estradadt@metro.net

[REDACTED]

[REDACTED]

Client: City and County of Denver, Denver International Airport (DIA)
Location: Denver, Colorado
Project: Multiple Projects as Part of 10-Year Capital Development Program (\$1 billion)
Project Duration: 2017 – Present (2022 Projected)

[REDACTED]

[REDACTED]

Project Description: Talson is providing on-call construction consulting advisory services specific to various capital projects currently in design and construction phases that include runway, concourse expansion, additional gates, baggage system improvements, parking, and support to the new hotel and rail station under the City and County of Denver’s 10-Year Capital Improvement Program. Our services focus on project management consulting and delivery analyses, design and construction process validations, performance and compliance audits of contractors, sub-contractors and consultants, life-cycle material assessments and claims analysis and resolution at pre-construction through the closeout stages. Cost analyses related to facilities and runway improvements have resulted in identification of overcharges and opportunities for enhancements to existing processes. Talson has also assisted in facilitating meetings with key stakeholders assessing and discussing construction contract language enhancements for future capital projects, specifically concourse expansion work activities.

Project Duration: 2017 – Present (2022 Projected)

Key Team Members: Robert Bright, Principal/Engagement Director; Kenneth Brzozowski, Senior Engagement Manager; Norman Jones, Technical Specialist; Justin Levin, Manager; Rachel Rosa, Senior Associate; Frederick Mitchell, Associate

Primary Contact: John Hartman, PSP, Director Project Controls & Project Management
Address: Airport Office Building, 7th Floor, 8500 Peña Boulevard, Denver, CO 80249

Telephone: 303-342-2485

E-mail: John.Hartman@flydenver.com

[REDACTED]

[REDACTED]

Client: Autoridad del Canal de Panamá (ACP)
Location: Panama City, Panama
Project: Panama Canal Expansion Project – Third Set of Locks (\$5.2 billion)
Project Description: Construction Auditing and Consulting Services: Talson provided capital project consulting and construction audit services for the Third Set of Locks project. Talson’s scopes of work included: (1) Business Process and Controls Review for the Third Set of Lock contract, (2) Project Team Readiness, (3) Multi-year Audit Planning, (4) Construction Audit Training, (5) Project Reporting and Management Information System Review, (6) Staff Assessments and Organization Analysis, (7) Reviews

and Monitoring of Quality Management Systems (QMS), (8) Program Risk Assessments, and (9) Worldwide Vendor Audits in ten countries. Results included enhanced construction audit focus, increased contractor compliance, improved project communication, vendor quality management systems and performance, identified risk and recommended mitigation activities.

QMS Audit Services: Talson assessed compliance to established procedures, quality plans and contract obligations. Reporting was provided to the Inspector General and Talson activities included quality document reviews, on-site observations, interviews with contractor project team and ACP personnel, reviewing the status of non-conformance corrective actions, and assessing other critical quality activities.

Project Duration: 2008 – 2016
Key Team Members: Robert Bright, Engagement Partner; Kenneth Brzozowski, Senior Engagement Manager; Norman Jones, Technical Specialist; John Roberts, Technical Specialist
Primary Contact: Antonio Dominguez, Inspector General of the Panama Canal
Address: Corozol – Building 603, Panama, Republic of Panama
Telephone: +011-507-276-3221
E-mail: adominguez@pancanal.com

Explanation of Methods, Approach and Controls on Projects

[Redacted content]

List of Active Projects

Talson’s current list of ongoing audit support and consulting engagements similar in scope to the services required by the City are as follows:

CLIENT	LOCATION	PERIOD OF SERVICE
[Redacted]	Boston, MA; New York, NY; Bethesda, MD; Oakland, CA	2007 – Present
[Redacted]	Philadelphia, PA	2011 – Present
Sound Transit	Seattle, WA	2017 – 2021
New Jersey Transit	Jersey City, NJ	2015 – 2019
MTA	New York, NY	2019

Governor’s Office of Storm Recovery	New York, NY	2019
[REDACTED]	Atlanta, GA	2018 – 2019
City of Atlanta	Atlanta, GA	2019
City of Charlotte	Charlotte, NC	2019
[REDACTED]	Seminole, TX	2019
[REDACTED]	Philadelphia, PA	2016 – Present
[REDACTED]	Hartford, CT	2019
[REDACTED]	Eagle Mountain, UT	2019 – 2020

Key Team Member Resumes

Talson has included full resumes for key team members as part of the “Appendix” section of this request for qualifications.

Capacity for Performance

Talson has the capacity to fully meet the needs of the City over the term of any assigned Task Order(s). Our engagement team is 100 percent available to perform assigned audit support and consulting activities including post-audit follow up and submission of timely detailed reports. Our team regularly works on several concurrent projects and will be able to perform multiple assignments for the City without any anticipated changes to Talson’s standard engagement and corporate structure. Talson identifies team members based on both technical capacity and availability. Additionally, our team is comprised of individuals with complementary experience, so that all audit activities have coverage at all times. It is this approach that enables Talson to meet our best practice of effective client management through timely, accurate, and priority service.

c. Fee Schedule

Talson proposes the following fee schedule, hourly rates by professional titles, for Internal Audit Support and Consulting Services to the City:

Title	Hourly Rate
Engagement Director	[REDACTED]
Senior Engagement Manager	[REDACTED]
Technical Specialist	[REDACTED]
Audit Manager	[REDACTED]
Senior Audit Associate	[REDACTED]
Associate	[REDACTED]
Administrative Staff	[REDACTED]

Talson will invoice for reasonable expenses (e.g., express mail, travel, lodging, etc.) and shall submit our invoices on a monthly basis or upon completion of milestone activity as our work progresses. Terms of payment shall be within 30 days of submission by Talson.

We look forward to discussing further the proposed scope and providing any additional details required.

Appendix – Resumes

Redacted

Appendix – Required Form 2 – Addenda Receipt
Confirmation

Section 6
Required Forms

REQUIRED FORM 2 – ADDENDA RECEIPT CONFIRMATION

RFQ # 269-2020-011

Internal Audit Support and Consulting Services

Please acknowledge receipt of all addenda by including this form with your SOQ. All addenda will be posted to the NC IPS website at www.ips.state.nc.us and the City’s Contract Opportunities Site at <http://charlottenc.gov/DoingBusiness/Pages/ContractOpportunities.aspx>.

ADDENDUM #:

**DATE ADDENDUM
DOWNLOADED FROM NC IPS:**

1

9/16/2019

I certify that this SOQ complies with the Specifications and conditions issued by the City except as clearly marked in the attached copy.

Robert S. Bright

(Please Print Name)

09/20/2019

Date



Authorized Signature

President

Title

Talson Solutions, LLC

Consultant Name

Appendix – Required Form 3 – SOQ Submission

Section 6
Required Forms

REQUIRED FORM 3 – SOQ SUBMISSION FORM

RFQ # 269-2020-011

Internal Audit Support and Consulting Services

This SOQ is submitted by:

Consultant Name: Talson Solutions, LLC

Representative (printed): Robert S. Bright

Address: 41 N. 3rd Street

City/State/Zip: Philadelphia, PA 19106

Email address: rbright@talsonsolutions.com

Telephone: (215) 592-9634
(Area Code) Telephone Number

Facsimile: (215) 592-9636
(Area Code) Fax Number

The representative signing above hereby certifies and agrees that the following information is correct:

1. In preparing its SOQ, the Consultant has considered all SOQs submitted from qualified, potential subcontractors and suppliers, and has not engaged in or condoned prohibited discrimination.
2. For purposes of this Section, discrimination means discrimination in the solicitation, selection, or treatment of any subcontractor, vendor or supplier on the basis of race, ethnicity, gender, age or disability or any otherwise unlawful form of discrimination. Without limiting the foregoing, discrimination also includes retaliating against any person or other entity for reporting any incident of discrimination.
3. Without limiting any other provision of the solicitation for SOQs on this project, it is understood and agreed that, if this certification is false, such false certification will constitute grounds for the City to reject the SOQ submitted by the Consultant on this Project and to terminate any contract awarded based on such SOQ.
4. As a condition of contracting with the City, the Consultant agrees to maintain documentation sufficient to demonstrate that it has not discriminated in its solicitation or selection of subcontractors. The Consultant further agrees to promptly provide to the City all information and documentation that may be requested by the City from time to time regarding the solicitation and selection of subcontractors. Failure to maintain or failure to provide such information constitutes grounds for the City to reject the bid submitted by the Consultant or terminate any contract awarded on such SOQ.
5. As part of its SOQ, the Consultant shall provide to the City a list of all instances within the past ten (10) years where a complaint was filed or pending against the Consultant in a legal or administrative proceeding alleging that the Consultant discriminated against its subcontractors, vendors or

Section 6 Required Forms

suppliers, and a description of the status or resolution of that complaint, including any remedial action taken.

6. The information contained in this SOQ or any part thereof, including its Exhibits, Schedules, and other documents and instruments delivered or to be delivered to the City, is true, accurate, and complete. This SOQ includes all information necessary to ensure that the statements therein do not in whole or in part mislead the City as to any material facts.
7. It is understood by the Consultant that the City reserves the right to reject any and all Qualifications, to make awards on all items or on any items according to the best interest of the City, to waive formalities, technicalities, to recover and resolicit this RFQ.
8. This SOQ is valid for one hundred and eighty (180) calendar days from the SOQ due date.

I, the undersigned, hereby acknowledge that my Consultant was given the opportunity to provide exceptions to the Sample Contract as included herein as Section 7. As such, I have elected to do the following:

Include exceptions to the Sample Contract in the following section of my SOQ: 6, 11(d)

Not include any exceptions to the Sample Contract.

I, the undersigned, hereby acknowledge that my Consultant was given the opportunity to indicate any Trade Secret materials or Personally Identifiable Information ("PII") as detailed in Section 1.6.2. I understand that the City is legally obligated to provide my SOQ documents, excluding any appropriately marked Trade Secret information and PII, upon request by any member of the public. As such, my Consultant has elected as follows:

The following section(s) of the of the SOQ are marked as Trade Secret or PII: _____

No portion of the SOQ is marked as Trade Secret or PII.

Representative (signed): Robert S. Bright
Robert S. Bright, President

Appendix – Required Form 4 – M/WSBE Utilization

Appendix – Required Form 5 – Consultant’s Background Response

Section 6
Required Forms

REQUIRED FORM 5 – CONSULTANT’S BACKGROUND RESPONSE

RFQ # 269-2020-011

Internal Audit Support and Consulting Services

Consultants shall complete and submit the form below as part of their response to this RFQ. Additional pages may be attached as needed to present the information requested.

Question	Response
Consultant’s legal name	
Consultant Location (provide address of corporate headquarters and (if different from corporate headquarters) location that will be providing the Services).	
How many years has Consultant been in business? How long has Consultant been providing the Services as described in Section 3?	
How many public sector clients does Consultant have? How many are using the Services? Identify by name some of the clients similar to City (e.g., similar in size, complexity, location, growth, type of organization).	
List any projects or services terminated by a public sector client. Please disclose the government entity that terminated and explain the reason for the termination.	
List any litigation that Consultant has been involved with during the past two (2) years for Services similar to those in this RFQ.	
Provide an overview and history of Consultant, including an organization chart showing director and officer positions and names and the reporting structure.	
Describe the key individuals along with their qualifications, professional certifications and experience that would comprise Consultant’s team for providing the Services.	
How many employees does Consultant have on staff that will be available to complete the Services?	
How would you recommend the City organize staff resources to support the Services (e.g, staff assigned to each element, staff focused on key areas, etc.)	

REQUIRED FORM 5 – CONSULTANT’S BACKGROUND RESPONSE

RFQ # 269-2020-011

Internal Audit Support and Consulting Services

Additional Pages

Question

How many public sector clients does Consultant have? How many are using the Services? Identify by name some of the clients similar to City (e.g., similar in size, complexity, location, growth, type of organization).

No. of Public Sector Clients: 10
No. Using the Services: 10
Similar Clients to the City of Charlotte:

1. City of Philadelphia
2. City of Atlanta
3. Denver International Airport
4. Central Puget Sound Regional Transit Authority
5. Los Angeles County Metropolitan Transportation Authority
6. New Jersey Transit
7. Federal Transit Administration
8. Metropolitan Transportation Authority
9. Philadelphia Redevelopment Authority
10. Temple University

Question

Provide an overview of the history of Consultant, including an organization chart showing director and officer positions and names and the reporting structure.

Firm History

Founded in 2001, Talson Solutions, LLC is 100 percent dedicated to providing capital project consulting services assisting our clients in reducing capital program risk by improving financial controls and project execution. Talson offers specialized services in the areas of construction audit, litigation avoidance, project management, and risk assessment. Talson is headquartered in Philadelphia, PA with offices in Atlanta, GA, Los Angeles, CA, New York, NY, and Panama City, Panama. Talson is also a certified Disadvantaged Business Enterprise in more than 10 states including North Carolina through the North Carolina Department of Transportation. Talson serves numerous industries including transportation, infrastructure, public works, commercial real estate, healthcare, education, and more. Our projects have ranged in size from \$2 million to more than \$10 billion with locations across the United States and internationally.

REQUIRED FORM 5 – CONSULTANT’S BACKGROUND RESPONSE

RFQ # 269-2020-011

Internal Audit Support and Consulting Services

Additional Pages

[Redacted]

[Redacted]

Question

Describe the key individuals along with their qualifications, professional certifications and experience that would comprise Consultant’s team for providing the Services.

[Redacted]

[Redacted]

[Redacted]

REQUIRED FORM 5 – CONSULTANT’S BACKGROUND RESPONSE

RFQ # 269-2020-011

Internal Audit Support and Consulting Services

Additional Pages

[Redacted]

[Redacted]

[Redacted]

[Redacted]

[Redacted]

REQUIRED FORM 5 – CONSULTANT’S BACKGROUND RESPONSE

RFQ # 269-2020-011

Internal Audit Support and Consulting Services

Additional Pages

[Redacted]

[Redacted]

[Redacted]

[Redacted]

[Redacted]

Question

How would you recommend the City organize staff resources to support the Services (e.g., staff assigned to each element, staff focused on key areas, etc.)

REQUIRED FORM 5 – CONSULTANT’S BACKGROUND RESPONSE

RFQ # 269-2020-011

Internal Audit Support and Consulting Services

Additional Pages

It is our intent to deliver full staff augmentation services to the City providing expertise in construction audit and project risk mitigation enabling the City’s Internal Audit staff attain successful completion of citywide capital projects. Talson will provide essential resources delivering strategic client centric support to the City.

Talson has the experience and ability to seamlessly collaborate and support the City’s Internal Audit personnel and serve as a partner capable of leading construction audit and consulting engagements on behalf of the agency. Talson develops a detailed audit plan to meet established audit objectives determined by the City and based upon our extensive knowledge supporting similar projects. The audit plan may contain strategic tasks to verify monthly costs are accurate, transparent and appropriate; compliance to contract terms; schedules are current and meeting project milestones; change orders are appropriate and supported properly; the project’s final costs are in accordance with the applicable procedures; project risks are identified; and project and financial controls are in place and monitored. Talson aligns these and other deliverables with our team of experienced individuals led by our Engagement Director, with day to day coordination and management of assignments by our Senior Engagement Manager, and supported by an assigned Manager that is dedicated to servicing all elements of a specific Task Order with assistance from key Associate staff. Technical Specialists are aligned with a Task Order as needed to provide expertise and guidance beneficial to the City encompassing engineering reviews, quality assurance and control, architectural reviews and analysis, as well as mechanical, electrical and plumbing oversight.

Appendix – Audited 2017 Financial Statement

Redacted