1. What is the name of the prior accounting firm that performed similar services?

   EFPR Group CPAs PLLC

2. Does the NYS Executive Chamber plan to have multiple vendor awards for this solicitation?

   No.

3. What has been the volume of internal audit work (in terms of billed hours) over the last three years? What were the hours and fees for performing such services?

   Over the last three years only one audit was performed. The total fee paid for this work was $27,100 based on approximately 270 hours.

4. When was this audit conducted previously? For what period? If yes, will the report be made available to the proposers?

   The 2019 Internal Control Report is attached.

5. Have there been any incidents of fraud within the last five (5) years? If so, could you please describe the nature of the incidents?

   No incidents were identified.

6. Will the internal audit programs be available to determine what is being audited?

   Yes.
7. Will the NYS Executive Chamber consider blended billing rates in the cost proposal?

No.

8. Do you have an approved budget for this project?

Yes.

9. Internally, who (Title and Position) at NYS Executive Chamber is responsible for working with the internal audit firm in directing and overseeing these audits?

Will the projects be performed under the direction of the Internal Control Officer?

The Director of Financial Administration and the Chief Administrative Officer will serve as the points of contact for this contract. The Chief Administrative Officer also serves as the Internal Control Officer for the Executive Chamber.

10. What is the process for reviewing audit observations and reports? Is this done solely by the NYS Executive Chamber Internal Control Officer or other Departments that are subject to audit?

The Executive Leadership of the Executive Chamber will review the audit report and will share relevant sections with program staff.

11. To whom will the winning vendor present the audit results?

The final report should be delivered to the Executive Chamber’s Director of Financial Administration.

12. How does the NYS Executive Chamber plan to use the results of this audit? Are there any internal or regulatory drivers for performing this work?

The NYS Governmental Accountability, Audit and Internal Control Act, (Chapter 510 of the Laws of 1999) requires the Executive Chamber to secure an auditor to perform a review of the Executive Chamber’s Internal Controls. A copy of the Act is attached to the Request for Proposals (Appendix D).

13. Is an organizational chart available for the organization or those departments/employees involved in the business processes? Can you
provide a list of employee titles and a brief description of their responsibilities?

The organizational structure of the Executive Chamber is provided in Section 1.5 of the RFP.

14. Are approved policies in place pertaining to the audit areas?
   Yes.

15. Where are the operations, books, and records physically located?
   The operations, books and records are located in Albany, NY.

16. Will the Internal Auditor have remote view-only access to pertinent records?
   Records will be gathered by Chamber staff and delivered electronically or by paper to the Internal Auditor.

17. What is the name of the financial software package utilized by the NYS Executive Chamber? Are other software packages utilized for various purposes integrated with the financial software package?
   Statewide Financial System (SFS).

18. Will the NYS Executive Chamber allow the internal audit services to be conducted 100% remotely or hybrid approach?
   The Executive Chamber will allow the internal audit services to be conducted 100% remotely.

19. For any data access needs for the requested services, may the Internal Auditor access the data on their machines, or does the work need to be performed within the NYS Executive Chamber data environment?
   The Internal Auditor will not have access to the Executive Chamber data environment.

20. What would be the most important attributes of an Internal Auditor serving the NYS Executive Chamber under this contract?
   A qualified Firm with exceptional staff and relevant experience as outlined in Section 2.1, that can provide the services stated in Section 1.2 of the RFP.