



Cheryl R. Bailey, Ph.D.
Acting Executive Officer

DISTRICT OF COLUMBIA COURTS
Administrative Services Division
Office: Gallery Place
616 H Street NW, 6th Floor
Washington, DC 20001
Mailing Address: 500 Indiana Avenue NW
Washington, DC 20001-2131



Geoffrey A. Mack
Acting Administrative Officer

Herbert Rouson, Jr., J.D.
Acting Deputy Executive Officer

AMENDMENT NO. 01 (A01)

A01 ISSUE DATE: December 8, 2022
TO: ALL PROSPECTIVE OFFERORS
IN REGARDS TO: RFP# DCSC-23-FSS-14
OMB Circular A-123 Services
RFP CLOSE DATE: Thursday, December 22, 2022 by 2:00p EST

The above-mentioned solicitation is hereby amended as follows:

1. The close/submission date has been extended from Tuesday, 12/20/2022 to Thursday, 12/22/2022 by 2:00p EST
2. See the attached Questions & Answers (Q&A)/Clarification document
3. See the attached Criminal History Background Request Form (Please Note: This form is for review purposes ONLY)

****ALL OTHER TERMS AND CONDITIONS REMAIN UNCHANGED**

This amendment will be sent to only those offerors who received a copy of the solicitation. This amendment will also be posted on the District of Columbia Courts website. Offerors shall sign below and attach a signed copy of this amendment to each offer to be submitted to the Courts in response to the above-mentioned solicitation. Offers shall be emailed in accordance with the instructions provided in the original solicitation documents. This amendment, together with your offer must be received by the District of Columbia Courts no later than the date and time specified for offer submission. Revisions or price changes occasioned by this amendment must be received by the Courts no later than the date and time set for offer submission. Failure to acknowledge receipt of this amendment may be cause for rejection of any offer(s) submitted in response to the above-mentioned solicitation.

Darlene D. Reynolds

Darlene D. Reynolds, Contracting Officer

This amendment is acknowledged and is considered a part of the above-mentioned solicitation.

Signature of Authorized Representative

Date

Title of Authorized Representative

Name of Firm

DCSC-23-FSS-14 OMB CIRCULAR A-123 SERVICES

	SECTION	QUESTION	ANSWER
Q1	General	How many vendors submitted questions for this solicitation?	More than one set of questions were received.
Q2	General	Is there an existing incumbent for this work and if yes, who is the vendor?	RSM US LLP
Q3	General	Assuming there is an existing vendor for this work, what were the annual fees paid to the vendor and annual hours incurred?	This information is deemed confidential, at this time.
Q4	General	Assuming there is an existing vendor for this work, are there any changes or improvements that the DC Courts would like to see under the new contract, either with the existing vendor or a new Contractor?	DC Courts is looking to award a contract for the required/requested services for this particular solicitation.
Q5	General	Would the DC Courts be amenable to additional T&Cs or exceptions to T&Cs?	If T&C Exceptions are submitted, they must go to the Contracting Officer for review. <i>Please Note: The above answer/statement does not guarantee approvals/acceptance of any T&C Exceptions.</i>
Q6	General	Would the DC Courts accept the same T&Cs that were previously accepted for A-123-related work?	The T&C that are applicable to this particular solicitation will become a part of an awarded contract, for these required/requested services.
Q7	C.1 Scope of Work/Technical Specifications Background (Page 4) “The Contractor shall work remotely and onsite, where applicable, at the District of Columbia Courts location, in conjunction with the Internal Audit unit and the Budget and Finance Office to address the needs of the Courts.”	Please clarify <i>when</i> the DC Courts anticipates that it may be beneficial for the Contractor to be onsite so we can plan ahead.	The DC Courts has not made any determinations as to when 1005 onsite work will resume. This process is regularly reviewed by DC Court executive management who ultimately will make such a determination. At the appropriate time, Contractors will be notified when the DC Courts anticipates when Contractors can be onsite.
Q8	Section B – Supplies or Services and Price/Cost B.1 (page 3)		

	<p>“...to perform an evaluation of the control design and effectiveness of financial reporting internal controls in accordance with OMB’s revised Circular No. A-123, Management’s Responsibility for Internal Controls, effective beginning fiscal year (FY) 2016 and beyond.”</p> <p>and</p> <p>Section C -Description/Specifications/Work Statement</p> <p>1. Scope of Work (Page 6)</p> <p>1.</p> <p>“The Contractor shall perform ancillary services related to the current OMB Circular No. A-123... Specifically, the contractor shall provide the information resulting from test work to facilitate the DC Courts in preparing its annual Statement of Assurance for the fourth quarter of fiscal year ending 2022 and the 1st, 2nd, and 3rd quarters for fiscal year 2023.”</p>	<p>Please provide clarification regarding the reference to “2016” since the services seem to cover 2022 and beyond. Is the Contractor expected to review information dating back to 2016 and forward?</p>	<p>To clarify, it should be FY22 and beyond.</p>
<p>Q9</p>	<p>C.1 Scope of Work/Technical Specifications</p> <p>Introduction (page 5)</p> <p>“The DC Courts is seeking to fully comply with the mandates of OMB Circular A-123 by taking systematic and proactive measures to...”</p>	<p>Full compliance with the mandates of OMB Circular A-123 exceeds the evaluation of financial reporting internal controls. Please clarify that the Contractor will be expected to help the DC Courts fully comply as it relates to the specific scope areas listed in the Solicitation only.</p>	<p>The Contractor is expected solely to help the DC Courts fully comply to OMB Circular A-123 as it relates to the specific scope areas listed in the solicitation only.</p>
<p>Q10</p>	<p>C.1 Scope of Work/Technical Specifications</p>	<p>Does the DC Courts have an estimated level of effort (LOE), in terms of annual hours for this work that it may share with potential bidders? We will provide estimated hours by Task as per required in the Price Schedule based on our experience and recommendations; however, having the DC Courts’ estimated LOE will help the bidder to provide an explanation as to why more or less hours are required to provide quality A-123 services.</p>	<p>The DC Courts can not provided an estimated level of effort beyond the total contract period / hours already stated in the solicitation.</p>
<p>Q11</p>	<p>Section C -Description/Specifications/Work Statement</p>		

	<p>1. Scope of Work (Page 6)</p> <p>“Specifically, the contractor shall provide the information resulting from test work to facilitate the DC Courts in preparing its annual Statement of Assurance for the fourth quarter of fiscal year ending 2022 and the 1st, 2nd, and 3rd quarters for fiscal year 2023”</p>	<p>Would the DC Courts provide a copy of its most recent <i>Statement of Assurance</i> as a reference point for the bidders?</p>	<p>Given the confidentiality nature of the information contained within the Statement of Assurance, a copy of this report will be provided to contractor who is awarded the contract.</p>
<p>Q12</p>	<p>Section C -Description/Specifications/Work Statement</p> <p>1. Scope of Work (Page 6)</p> <p>“The scope of work encompasses a review and testing of the design and effectiveness of business process control procedures for the following areas...”</p>	<p>Does the DC Courts have established and documented methodologies for evaluating and testing existing controls?</p>	<p>The methodologies for documenting and evaluating existing controls is based on using control narratives to outline and document financial reporting controls in areas subject to review, i.e., transaction processing. Once controls have been identified and documented, a determination is made as to which controls are deemed key controls and which are identified as non-key. An evaluation of the Control design is then noted as adequate or not. Adequate control designs key controls are then subject to Control effectiveness testing. All findings noted are catalogued on a Listing of Control Deficiencies and a Recommend Corrective Actions are compiled to remediate the control findings noted.</p>
<p>Q13</p>	<p>Section C -Description/Specifications/Work Statement</p> <p>1. Scope of Work (Page 6)</p> <p>“The scope of work encompasses a review and testing of the design and effectiveness of business process control procedures for the following areas...”</p>	<p>Can the DC Courts confirm whether the scope of work only includes financial business processes and excludes non-financial operations and IT systems?</p>	<p>The scope of the work includes a review of all business processes that impact financial reporting controls. Information Technology is reviewed separately.</p>
<p>Q14</p>	<p>Section C -Description/Specifications/Work Statement</p> <p>1. Scope of Work (Pages 6 - 7)</p> <p>“The scope of work encompasses a review and testing of the design and effectiveness of business process control procedures for the following areas...”</p>	<p>Can the DC Courts confirm the existing number of controls for each scope area listed below?</p> <ol style="list-style-type: none"> 1. Procurement 2. Financial Operations 3. Budget Management 4. General Ledger Management 5. Financial Reporting 6. Payroll 7. Crime Victims Compensation Program 	

		<p>Information Systems:</p> <ol style="list-style-type: none"> 1. Oracle Federal Financial 2. Federal Personnel and Payroll System 3. Claims Assistant Software 4. MIP 5. Cherwell 	<p>Procurement - 11 controls Financial Operations - 15 controls Budget Management - 16 controls General Ledger Management - 2 controls Financial Reporting - 19 controls Payroll - 8 controls Crime Victims - 25 controls</p>
Q15	<p>Section C -Description/Specifications/Work Statement</p> <p>1. Scope of Work (Pages 6 - 7) “The scope of work encompasses a review and testing of the design and effectiveness of business process control procedures for the following areas...”</p>	<p>Can the DC Courts confirm the Offices and Divisions within the DC Courts that represent the scope areas listed below to help ensure bidders understand the different groups within the DC Courts that the Contractor will be working with during this engagement?</p> <ol style="list-style-type: none"> 1. Procurement 2. Financial Operations 3. Budget Management 4. General Ledger Management 5. Financial Reporting 6. Payroll 7. Crime Victims Compensation Program <p>Information Systems:</p> <ol style="list-style-type: none"> 1. Oracle Federal Financial 2. Federal Personnel and Payroll System 3. Claims Assistant Software 4. MIP 5. Cherwell 	<p>1. Procurement - DC Courts Administrative Services Division 2. Financial Operations, Budget Management, General Ledger Management and Financial reporting - DC Courts Budget and Finance Division 3. Payroll - DC Courts Human Resources Division and Budget & Finance Division 4. Crime Victiomns Compensation Program (A Grant Sponsored Program) - DC Courts Crime Victims Division Information Systems: Oracle Federal Financial - DC Courts Budget & Finance Division; Human Resources divisiuon and Administrative Services Division; Federal Personnel and Payroll and Cherwell Systems - DC Courts Human Resouces Division; Claims Assistant software - DC Courts Crime Victims Program; MIP - DC Court Budget & Finance Division</p>
Q16	<p>Section C -Description/Specifications/Work Statement</p> <p>1. Testing Internal Controls (Page 7)</p>	<p>Will the testing and evaluating of internal controls related to information svstems include MIP and Cherwell as listed in scope</p>	

	<p>“Developing and executing a test plan to evaluate solely the operating effectiveness of internal controls related to information systems and interfaces as outlined: Oracle Federal financial; Federal personnel and Payroll system and Claims Assistant Software.”</p>	<p>information systems and interfaces as outlined in scope of systems on page 9? These two systems are not listed in the paragraph referenced on page 7.</p>	<p>The Federal Personnel and Payroll System and the Cherwell system are third party systems in which DC Courts is a client. These systems are subject to an independent SSAE - 18 review. Thre MIP is an database system used to house data for expediency of review and is not the system of record.</p>
<p>Q17</p>	<p>Section C -Description/Specifications/Work Statement</p> <p>1. Scope of Work (Page 7) “Information Systems to be included within the scope of review include: (Note: Information Technology General Controls and the environment in which they reside are not being tested in this review)”</p> <p>1. Testing Internal Controls (Page 7)</p> <p>“c. Developing and executing a test plan to evaluate solely the operating effectiveness of internal controls related to information systems and interfaces as outlined: Oracle Federal financial; Federal personnel and Payroll system and Claims Assistant Software...”</p>	<p>Can the DC Courts clarify the types of controls, across the following systems, requiring evaluation?</p> <ol style="list-style-type: none"> 1. Oracle Federal Financial 2. Federal Personnel and Payroll System 3. Claims Assistant Software 4. MIP 5. Cherwell <p>Will the coordination and/or evaluation of service organization control (SOC) reports or service agreements be required?</p>	<p>Types of controls for the identified Information Technology platforms is limited to Authorization controls and Access controls.</p>
<p>Q18</p>	<p>Section C -Description/Specifications/Work Statement</p> <p>1. Scope of Work (Page 7) “Information Systems to be included within the scope of review include: (Note: Information Technology General Controls and the environment in which they reside are not being tested in this review)”</p>	<p>The solicitation states “ Information Technology General Controls and the environment in which they reside are not being tested in this review.” Is DC Courts open to changing its approach to the evaluation of financial internal controls? A manual evaluation of controls executed in, or in compliment with, an automated environment is generally cost prohibitive or ineffective. We recommend adding the evaluation of ITGCs and the operating environment in this review.</p>	

	<p>1. Testing Internal Controls (Page 7)</p> <p>“c. Developing and executing a test plan to evaluate solely the operating effectiveness of internal controls related to information systems and interfaces as outlined: Oracle Federal financial; Federal personnel and Payroll system and Claims Assistant Software...”</p>		<p>A general understanding of the Information Technology General controls can be performed and documented. However, a full review and testing will be enacted subsequent to the Information Technology area switching its platform and Control Protocol.</p>
Q19	<p>C.1 Scope of Work/Technical Specifications (pages 6 and 8)</p>	<p>Please clarify whether the Contractor will report to the DC Courts strategic Assessment Team (DC SAT), in addition to the COTR.</p>	<p>The Contractor will report to the COTR. The COTR is a member of DC SAT.</p>
Q20	<p>Section C -Description/Specifications/Work Statement</p> <p>2. Listing of Control Deficiencies (Page 8)</p> <p>“Develop a report listing the deficiencies identified through internal control testing which will facilitate the DC Courts’ development of corrective actions, where needed.”</p>	<p>How many control deficiencies were identified in the most recent performance of this work, either by a vendor or internally by the DC Courts?</p> <p>Were control deficiencies identified in all scope areas listed on pages 6 and 7?</p> <p>How many corrective actions were developed as a result of the identified deficiencies?</p>	<p>A total of 11 control findings were noted and none were deemed as significant control deficiencies. Findings were noted in 3 of the 5 scope areas. Corrective actions were developed for all findings noted.</p>
Q21	<p>Section C -Description/Specifications/Work Statement</p> <p>1. Scope of Work (Page 9)</p> <p>“3.3 Identify, document and perform walk-throughs of the key controls that need to be evaluated and tested based on agreed upon quantitative and qualitative materiality thresholds.”</p>	<p>Does the DC Courts already have quantitative and qualitative materiality thresholds for the Contractor to use as a point of reference?</p>	<p>The DC Courts already have quantitative and qualitative materiality thresholds defined for the courts as a whole.</p>
Q22	<p>Section C -Description/Specifications/Work Statement</p> <p>4. Deliverables (page 10)</p> <p>“Definition of sampling selection methodology”</p>	<p>Has the DC Courts already defined its sampling selection methodology for the Contractor to use as a point of reference?</p>	<p>Sampling Selection methodology will be based upon the GAO greenbook guidelines.</p>
Q23	<p>Section C -Description/Specifications/Work Statement</p>	<p>Are there examples of existing deliverables that are listed on</p>	<p>The format of the deliverables will be a combination of Microsoft Word and Excel. For business process narratives, Listing of key</p>

	4. Deliverables (pages 10-14)	Are there examples of existing deliverables that are listed on pages 10-14 that may be shared with the bidders to help clarify expectations? Does the DC Courts prefer a particular format, such as Microsoft Word, Excel, or PowerPoint?	Word and Excel. For business process narratives, Listing of key and non-key Controls, Listing of Control Deficiencies noted through testing, Recommended Corrective Actions and Final Report, the format will be Microsoft Word. Through Control testing, the format should be Excel.
Q24	Section C -Description/Specifications/Work Statement 4. Deliverables (pages 11-14)	Are the due dates (e.g., 2 nd & 3 rd Week, 4 th & 5 th Week, 7 th Week, 8 th Week, etc.) associated with the deliverables in phases 2-5 specific to a quarterly testing cadence (e.g., FY22 Q4, FY23 Q1, etc.) for all scope areas listed on pages 6 and 7?	The due dates are estimates based on a team of four (4) auditors with average experience of four (4) years.
Q25	Section C -Description/Specifications/Work Statement 5.A Period of Performance (page 14) “The period of performance for this SOW is not-to-exceed fifty-two (52) weeks to be performed simultaneously by a Senior Accountant and Staff Accountants not-to exceed four (4) personnel with appropriate qualifications to be determined and approved by COTR during the planning phase.”	May the bidder propose more than four resources, particularly those who may provide services on an as needed basis, such as specialists needed to test IT controls for the systems in scope? We understand the DC Courts anticipates the need for four core resources given the size and scope of work, but we request the flexibility to include additional resources with limited responsibilities for specific areas of work.	You may submit a "proposed" Price Schedule Sheet(s), in addition to the solicitation Price Schedule Sheet(s), clearly marking your "proposed" sheets as such.
Q26	Section C -Description/Specifications/Work Statement 5.A Period of Performance (Page 14) “The period of performance for this SOW is not-to-exceed fifty-two (52) weeks to be performed simultaneously by a Senior Accountant and Staff Accountants not-to exceed four (4) personnel with appropriate qualifications to be determined and approved by COTR during the planning phase.”	Are the four resources expected to be working on the project full-time, and are the resources expected to be dedicated to the project year-round?	Yes, the four resources are expected to be working on the project full-time, and dedicated to the project year-round.
Q27	Section C -Description/Specifications/Work Statement	Section 5.A states that proposed resources may not exceed four personnel and references two titles, “Senior Accountant” and “Staff Accountants.” Attachment J.5 ‘Price schedule Sheets’ includes only two resource titles, “001AA Staff level Professional Staff” and “001AB	

	<p>5.A Period of Performance (Page 14) “The period of performance for this SOW is not-to-exceed fifty-two (52) weeks to be performed simultaneously by a Senior Accountant and Staff Accountants not-to exceed four (4) personnel...”</p> <p>and</p> <p>ATTACHMENT J.5</p>	<p>Senior-Level Professional Staff.” Please clarify if the resource levels in Attachment J.5 are meant to represent a blend of resources if the bidder proposes more than two resources. For example, we assume the “Senior Accountant” level will represent our firm’s partner and manager and the “Staff Accountants” will represent senior associates and associates.</p>	<p>The proposed quantity and quality of resources was stated as such to ensure that there is an adequate level of personnel with experience who will be performing the work which is subject to review by the engage partner. An example of a four man structure could consist of one engagement manager, one senior associate, and two staff associates or two senior associates and two staff associates.</p>
<p>Q28</p>	<p>H.4 Security Requirements (page 27)</p> <p>“The requirement for Contractor personnel to obtain a security clearance as designated by the Contracting Officer may arise per District of Columbia Courts security policies and procedures. The District of Columbia Courts will notify the Contractor of all such requirements as soon as practicable.”</p>	<p>This section references compliance with Security policies. Would the Courts please provide a posted copy of or a link to these policies so that an Offeror may validate its ability to comply?</p>	<p>"If the need arises", after contract award, there will be a Criminal Background Check performed for any personnel working under the contract, in which the COTR will notify the contractor to obtain and submit to the COTR the information requested in the Metropolitan Police Department Criminal History Request Form. Please Note: The form is attached for review purposes ONLY.</p>
<p>Q29</p>	<p>L.10 CERTIFICATIONS, AFFIDAVITS AND OTHER SUBMISSIONS (page 50)</p> <p>“L.10.1. Offerors shall complete and return with their cost/price proposal...J.3 – District of Columbia Courts Release of Claims.</p> <p>All these documents shall be submitted under Volume II – Cost/Price Proposal and Contractual Documents, Tab B.”</p>	<p>Based on our review of the “J.3 – District of Columbia Courts Release of Claims form,” it appears that this form should be completed by the Contractor along with the final invoice for the contract. As such, please confirm that this form is <i>not</i> required in the proposal submission.</p>	<p>This form is NOT required in the proposal submission.</p>
<p>Q30</p>	<p>Section L – Instructions, Conditions, and Notices to Offerors</p> <p>L.23.1 (page 53)</p>		

	<p>“At a minimum, each proposal submitted in response to this RFP shall include sections...a description of similar services provided by the offeror and its key personnel. Failure to address adequately any of these areas may result in the proposal being eliminated from consideration for award.”</p> <p>and</p> <p>L.23.2.1 Volume I - Technical Proposal shall comprise the following tabs and information (page 53)</p>	<p>Page 53 states the Technical proposal must include a description of similar services provided by the Offeror; however, there does not seem to be a section listed in L.23.2.1 for these descriptions. Is it assumed that this will be addressed via the “Past Performance” section?</p>	<p>Technical proposals must specify and give detailed information in regards to similar services, in addition to addressing and submitting the Past Performance document(s).</p>
<p>Q31</p>	<p>L.18.1. “This solicitation will result in a firm-fixed contract.” (page 52)</p> <p>and</p> <p>L.23.3 PRICE PROPOSAL (page 54) “Identify the number of hours, hourly rates and extended price...”</p>	<p>Please clarify whether this solicitation will result in a firm fixed fee contract or whether the successful Contractor will bill the DC Courts based on actual hours incurred using the rate(s) provided in the Price Schedule.</p>	<p>The contractor will bill the DC Courts based on the actual hours worked using the rate(s) provided on the Price Schedule Sheets.</p>
<p>Q32</p>	<p>Section L – Instructions, Conditions, and Notices to Offerors</p> <p>L.23.3 Price Proposal (Page 54)</p> <p>“This is a request for proposals from GSA Federal Supply Schedule Contractors under the GSA Schedule 520 Financial and Business Solutions (FABS). All firms submitting proposals in reference to this request shall include a copy of their current GSA Federal Supply Contract(s).”</p>	<p>Please confirm the correct GSA Schedule required for proposal submission, as it is our understanding the FABS was the predecessor contract to the Professional Services Schedule (PSS) Multiple Award Schedule (MAS). Please confirm that Offerors are able to use their PSS MAS GSA Contract as FABS has been phased out.</p>	<p>Yes, this is confirmed. The PSS replaced the FABS, therefore, you are to utilize your awarded PSS contract information.</p>
<p>Q33</p>	<p>Section L – Instructions, Conditions, and Notices to Offerors</p> <p>L.23.3 Price Proposal (Page 54)</p> <p>“At a minimum the cost/price proposal shall:</p>	<p>In reviewing Attachment J.5 Price Schedule, there does not seem to be a section to document the SINs proposed or whether we are offering a discount from our GSA Schedule Price. Please clarify whether this information is required and if yes, where it</p>	

	2. Identify the total price and include a summary of all items/SINS proposed 3. Identify any discounts from your GSA Schedule Price”	should be included.	Yes, this information is required and an additional "proposed" price sheet(s) can be included with the solicitation Price Schedule Sheets to reflect this information.
Q34	Page 3	Will proposals be considered from non-CPA firms who have credible credentials in A-123 support services?	This solicitation is a GSA Schedule procurement.
Q35	Pages 6-7	When was the last time that business process narratives were updated for the Audit Units in scope?	The business process naratives are updated at every A-123 review. The most current update was in January 2022.
Q36	Page 7	Will the 5 phase approach occur for each business process concurrently each quarter based on the 8 week deliverable schedule? According to the section Testing Internal Controls, Procurement and Capital Projects, the test plan evaluates the design and operating effectiveness of the internal controls, whereas the test plans for the other identified business processes only evaluate the operating effectiveness. Which does not align to the prescribed 5 phases for the scope of work or deliverable schedule. Please clarify.	The 5 phase approach is based on concurrently performing a phase for each identified business process are subject to testing, unless otherwise noted based on a business process review. The solicitation SOW should have stated that all phases apply to each Business Process identified as subject to review.
Q37	Page 53	What font style and size should be used for the text included within the body of the submission? What font style and size should be used for the text included within tables in the submission? What is the page count for Volume I - Technical Proposal?	Any font style is acceptable with a font size of 10-12; however the preferred font style is Times New Roman or Arial. Technical proposals page count should not exceed 50 pages.