



**District of Columbia Courts  
Administrative Services Division  
Procurement and Contracts Branch**



Page 1 of 2

***AMENDMENT NO. 1***

**TO: ALL PROSPECTIVE BIDDERS**

**AMENDMENT**

**ISSUE DATE: February 13, 2020**

**SUBJECT: Solicitation Number DCSC-20-FSS-51 – Risk Profile Report**

**PROPOSAL SUBMISSION**

**DATE: Thursday, February 20, 2020, no later than 2:00 p.m., Eastern Standard Time.**

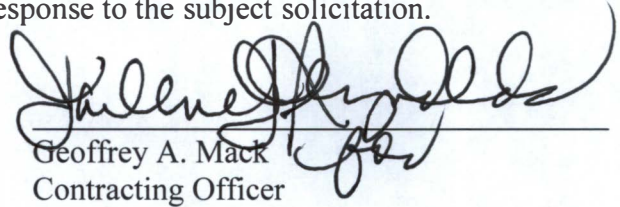
The subject solicitation is amended as follow:

1. Under Volume II – Price Proposal, Tab B – Certification Information section - The prospective contractor must submit the attached Metropolitan Police Department Criminal History Request for any personnel that will work under this contract (See question 11 and answer for additional information). The following sections must be completed:
  - Date of Request
  - Social Security Number
  - Request Record of (Last, First, Middle Name)
  - Address
  - Sex
  - Race
  - Birth date
  - Place of Birth
  - Purpose of Request (check  Employment/Licensing)
  - Signature & Date
  
2. Responses to Prospective Contractors Questions are attached to this amendment.

**ALL OTHER TERMS AND CONDITIONS REMAIN UNCHANGED**

One (1) copy of this amendment is being sent to only those offerors who received a copy the solicitation. 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 subject solicitation. Offers shall be mailed or

delivered in accordance with the instructions provided in the original solicitation documents. Offerors shall submit their offers in sealed envelopes, identified on the outside by the solicitation number and submission date, in accordance 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 offers submitted in response to the subject solicitation.

  
Geoffrey A. Mack  
Contracting Officer

**This amendment is acknowledged and is considered a part of the subject solicitation.**

\_\_\_\_\_  
**Signature of Authorized Representative**

\_\_\_\_\_  
**Date**

\_\_\_\_\_  
**Title of Authorized Representative**

\_\_\_\_\_  
**Name of Firm**

Date of Request: (Numbers Only)	<b>Metropolitan Police Department Washington, D.C. Criminal History Request</b>	Social Security Number: (Numbers Only)
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Request Record of: (Last, First, Middle Name)				Purpose of Request: <input type="checkbox"/> Law Enforcement (non-employment) <input type="checkbox"/> Visas* <input type="checkbox"/> Employment/ Licensing* <input type="checkbox"/> Challenge*
Address:				
Sex:	Race:	Birthdate: (Numbers Only)	Place of Birth:	
Requesting Agency: <b>District of Columbia Courts</b>		Call-Back Number: <b>202-879-5513</b>		

Signature of Agent:		Badge No.:	Method of Request: <input type="checkbox"/> Mail <input type="checkbox"/> In Person <input type="checkbox"/> NLET <input type="checkbox"/> Telephone
IDENTIFICATION AND RECORDS DIVISION USE ONLY - (Check if applicable)			
<input type="checkbox"/> SUBJECT UNDER ARREST		<input type="checkbox"/> CORRECT COLOR CODE	
Request Received By:	Date and Time Received:	Date and Time Returned:	

**D.C. Code § 6-2276 IS QUOTED HERE FOR YOUR INFORMATION**

It shall be an unlawful practice, punishable by a fine of not more than three-hundred dollars (\$300), or imprisonment for not more than ten (10) days, or both, for any person to require the production of and arrest record or any copy, extract, or statement thereof, at the monetary expense of any individual to whom such record may relate. Such "arrest records" shall contain only listings of convictions and forfeitures of collateral that have occurred within ten (10) years of the time at which such record is requested. (Dec. 13, 1977, D.C. Law 2-38, Title II, § 266, 24 DCR 6038).

\*I hereby authorize the release of my adult arrest record revealing convictions and forfeitures within the past ten (10) years.

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

**RESULTS OF CRIMINAL HISTORY FILE SEARCH**

Name Search       Fingerprint Search

TO: Criminal History Users

This request concerns information whose collection, dissemination, and use are conditioned and restricted by applicable federal and District of Columbia statutes, and policy of the Metropolitan Police Department. Continued assistance from this department is conditioned upon your strict adherence to these regulations.

**WARNING TO APPLYING AGENCIES:** The Metropolitan Police Department does not guarantee either the accuracy of the record or that the individual whose record is furnished is actually the same individual whose record was requested. To obtain accuracy, the record of the Court involved should be examined. Positive identification can only be determined by comparable fingerprints. Records of arrests obtained from the Metropolitan Police Department as detailed on this form are for convictions and forfeitures for the past 10 years prior to the date of request of this record, exclusive of periods of imprisonment, if any. This record does not reflect any cases which may be currently pending before the Courts or cases where convictions have been set aside pending appeals.

CHIEF OF POLICE

Date of Arrest	Charge(s)	Disposition

**Documents Released:**

Criminal History Record       Photograph       Other: \_\_\_\_\_  
 Prosecution Report       Fingerprints       Other: \_\_\_\_\_

Date of Record Search: \_\_\_\_\_

Record Searched By: \_\_\_\_\_

Release Authorization: \_\_\_\_\_

## Questions and Answers

Solicitation No.: DCSC-20-FSS-51

### 1. C.1 Statement of Work (page 4)

“The Contractor shall perform ancillary services related to the current OMB Circular No. A-123, Management's Responsibility for Enterprise Risk Management and Internal Control. Review of the District of Columbia Courts internal controls over financial reporting.”

Does the Courts plan to have the Contractor perform control testing as part of this contract?

**Answer: Yes, limited.**

### 2. C.1 Statement of Work (page 4)

“The Contractor shall perform ancillary services related to the current OMB Circular No. A-123, Management's Responsibility for Enterprise Risk Management and Internal Control. Review of the District of Columbia Courts internal controls over financial reporting.”

The solicitation makes reference to a review over “financial reporting.” The Green Book standards include three Categories of Objectives: 1. Operations, Compliance, and Financial Reporting. Can the Courts clarify whether the Contractor will be focusing on Financial Reporting only?

**Answer: No, the Contractor would focus on all 3 (Operations, Compliance, and Financial Reporting ) noted per the Green Book Standards.**

### 3. C.1 Statement of Work

#### B. Specific Tasks (page 4)

“1. Risk Profile –

a. Develop a documented Risk Profile in accordance with the standards established by OMB Circular No. A-123, Management's Responsibility for Enterprise Risk Management and Internal Control and the current General Accountability Office (GAO) “*Green Book*.”

Can the Courts confirm that the Contractor should expect to assess all five Components of the Green Book, i.e. Control Environment, Risk Assessment, Control Activities, Information and Communication, and Monitoring?

**Answer: Yes**

### 4. C.1 Statement of Work

#### B. Specific Tasks (page 5)

“c. Review the Courts prior 2 Risk Profile documents submitted to OMB and update as necessary within the 2020 Risk Profile report. These documents will be provided to the Contractor after contract award during the Entrance Conference.”

In the prior 2 Risk Profiles, what were the number of objectives identified in each document?

**Answer: This information will be disclosed and discussed in further details during the Entrance Conference.**

**5. C.1 Statement of Work**

**B. Specific Tasks (page 5)**

“c. Review the Courts prior 2 Risk Profile documents submitted to OMB and update as necessary within the 2020 Risk Profile report. These documents will be provided to the Contractor after contract award during the Entrance Conference.”

In the prior 2 Risk Profiles, what were the number and nature of risks identified in each document?

**Answer: This information will be disclosed and discussed in further details during the Entrance Conference.**

**6. C.1 Statement of Work**

**B. Specific Tasks (page 5)**

“c. Review the Courts prior 2 Risk Profile documents submitted to OMB and update as necessary within the 2020 Risk Profile report. These documents will be provided to the Contractor after contract award during the Entrance Conference.”

In the prior 2 Risk Profiles, what were the Division(s), Branch(es), Office(s), and other area(s) that were assessed?

**Answer:** There are 3 major operations (Court of Appeals, Court Systems and Superior Court) and each operation there are various Divisions/branches which total 26 (court wide) See ATTACHMENT A. The Contractor would focus on all 3 (Operations, Compliance, and Financial Reporting) noted per the Green Book Standards.

**7. C.1 Statement of Work**

**B. Specific Tasks (page 5)**

“c. Review the Courts prior 2 Risk Profile documents submitted to OMB and update as necessary within the 2020 Risk Profile report. These documents will be provided to the Contractor after contract award during the Entrance Conference.”

Did an incumbent prepare the prior 2 Risk Profiles? If yes, what was the level of effort to complete each document?

**Answer: No, an incumbent did not prepare both Risk Profiles. Each year a new contractor conducted and completed the Risk Profile.**

**8. C.1 Statement of Work**

**B. Specific Tasks (page 5)**

“e. Ensure the Risk Profile also includes a listing of those risks for which the appropriate response includes implementation of formal internal control activities as described in Section III of OMB Circular No. A-123, Management's Responsibility for Enterprise Risk Management and

Internal Control guidance and which conform to the standards published by GAO in the Green Book. These include those risks that meet each of the following criteria:

- The Agency is working to reduce exposure to the risk.
- The objective is related to reporting, compliance, or operations, including both administrative operations and the major operational components of programs.
- The risk is identified in the Agency risk profile as at least medium impact and medium likelihood (i.e., the risk is greater than low).
- Public reporting on the risk will not negatively impact services provided to the public, national security, or agency operations.
- Control objectives can be clearly specified.”

To complete the requirements in Specific Task e., we expect to conduct interviews and review documentation to complete the Risk Profile. Can the DC Courts confirm which Division(s), branch(es), and office(s) this risk profile is expected to cover? **Answer:** There are 3 major operations (Court of Appeals, Court Systems and Superior Court) and each operation there are various Divisions/branches which total 26 (court wide) **See ATTACHMENT A.** The Contractor would focus on all 3 (Operations, Compliance, and Financial Reporting) noted per the Green Book Standards.

For example, is the Contractor limited to conducting interviews and reviewing documentation from the Budget & Finance Division and the four branches and one office comprised within, or is the risk profile based on additional divisions, branches, and offices?

**Answer:** See There are 3 major operations (Court of Appeals, Court Systems and Superior Court) and each operation there are various Divisions/branches which total 26 (court wide) **See ATTACHMENT A.** The Contractor would focus on all 3 (Operations, Compliance, and Financial Reporting) noted per the Green Book Standards.

## **9. Section F – Deliveries and Performance**

### **F.3. Deliverables Table (page 9)**

“Item Number 5. Identification of deficiencies”

In the prior 2 Risk Profiles, what were the number of deficiencies identified in each document?

**Answer: This information will be disclosed and discussed in further details during the Entrance Conference.**

## **10. Section F – Deliveries and Performance**

### **F.3. Deliverables Table (page 9)**

“Item Number 6. Development of Corrective Action Plans (CAP)”

In the prior 2 Risk Profiles, what were the number of CAPs identified in each document and what was the length of the CAPs in terms of number of pages?

**Answer: This information will be disclosed in further details during the Entrance Conference. CAPs were provided in the form of an EXCEL document along with a formal**

**report. A formal presentation to the Executive Office (EO), Joint Committee and Chief Financial Officer (CFO) is required.**

**11. H. 4 Security Requirements (page 15)**

“H.4.1 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.”

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?

**Answer:** The following is the process for employee security clearance: The COTR for this project will coordinate with the DC Court Administrative Services Division (ASD) Background Clearance Manager to obtain any background clearance check for any personnel working under a contract. **The personnel working under this contract must complete and sign the attached Metropolitan Police Department (MPD), Washington, D.C., Criminal History Request form** (See Amendment 1, page 1, Item1). ASD Background Clearance Manager will search the MPD data base to obtain the background clearance report. The background clearance report is confidential and the only information provided to the COTR is that the personnel passed the background check or the personnel did not pass the background check. The employee information is maintained in a safe and secure location and destroyed after 3 years by the ASD Background Clearance Manager.

In addition, the COTR will coordinate with the DC Court Access Control Manager to obtain any necessary appropriate identification for personnel working under a contract. The COTR is also responsible for notifying DC Court Access Control Manager whenever any contract personnel no longer need a building pass and/or Court Identification Card.

**12. H.5 Courts’ Responsibilities (page 15)**

“H.5.2 The Courts’ staff will provide the necessary level of access to the Courts’ systems.”

What are the numbers of IT systems that the Contractor should expect to assess as part of the Risk Profile?

**Answer: None**

**13. Section C.1 Statement of Work** states “The scope of work will encompass the following area:…Submission of the established DC Court Risk Profile to OMB by the established due date in June.” We would expect that we submit the Risk Profile to the CFO and Executive Office who then submit to OMB. We will not submit anything directly to OMB on behalf of DCC—can you please confirm? **Answer: Yes, that is correct.**

14. The following deliverables extracted from Section F.3 Deliverables are not commensurate with the tasks documented in Section C.1 Statement of Work. Does DCC expect the scope of work to include detailed internal control testing? **Answer: Yes**

<b>Item Number</b>	<b>Deliverable</b>	<b>Quantity</b>	<b>Format/Method of Delivery</b>	<b>Due Date</b>	<b>To Whom</b>
3.	Detailed test plans and review of protocols	2 copies (electronic and hard copy)	MS Word electronic soft copy & hard copy document	Prior to start of test work; test work start date TBD	COTR
4.	Testing results report	2 copies (electronic and hard copy)	MS Word electronic soft copy & hard copy document	At the close of test work phase	COTR
5.	Identification of deficiencies	2 copies (electronic and hard copy)	MS Word electronic soft copy & hard copy document	At the close of test work phase	COTR
6.	Development of Corrective Action Plans (CAP)	2 copies (electronic and hard copy)	MS Word electronic soft copy & hard copy document	At the close of test work phase	COTR

**15. Section F.3 Deliverable Table, Item Number 7**

The reference **Appendix I** was not attached to the original solicitation.

**Answer:** Appendix I is attached to this Amendment No.: 1.



ATTACHMENT A



APPENDIX I

Table 1 Illustrative Example of a Risk Profile

STRATEGIC OBJECTIVE – Improve Program Outcomes								
Risk	Inherent Assessment		Current Risk Response	Residual Assessment		Proposed Risk Response	Owner	Proposed Risk Response Category
	Impact	Likelihood		Impact	Likelihood			
Agency X may fail to achieve program targets due to lack of capacity at program partners.	High	High	REDUCTION: Agency X has developed a program to provide program partners technical assistance	High	Medium	Agency X will monitor capacity of program partners through quarterly reporting from partners	Primary – Program Office	Primary – Strategic Review
OPERATIONS OBJECTIVE – Manage This Risk of Fraud in Federal Operations								
Contract and Grant fraud.	High	Medium	REDUCTION: Agency X has developed procedures to ensure contract performance is monitored and that proper checks and balances are in place.	High	Medium	Agency X will provide training on fraud awareness, identification, prevention, and reporting.	Primary – Contracting or Grants Officer	Primary – Internal Control Assessment
REPORTING OBJECTIVE – Provide Reliable External Financial Reporting								
RISK	Inherent Assessment		Risk Response	Residual Assessment		Proposed Action	Owner	Proposed Action Category
	Impact	Likelihood		Impact	Likelihood			
Agency X identified material weaknesses in internal control.	High	High	REDUCTION: Agency X has developed corrective actions to provide program partners technical assistance.	High	Medium	Agency X will monitor corrective actions in consultation with OMB to maintain audit opinion.	Primary – Chief Financial Officer	Primary – Internal Control Assessment
COMPLIANCE OBJECTIVE – Comply with the Improper Payments Legislation								
Program X is highly susceptible to significant improper payments.	High	High	REDUCTION: Agency X has developed corrective actions to ensure improper payment rates are monitored and reduced.	High	Medium	Agency X will develop budget proposals to strengthen program integrity.	Primary – Program Office	Primary – Internal Control Assessment and Strategic Review