

October 19, 2012



Request for Proposal CML 12-019 Internal Audit Services

For Columbus Metropolitan
Library (the Library)

Issued by:

Purchasing Division
96 S. Grant Ave.
Columbus, OH 43215

Deadline for Submittal:

November 9, 2012
No later than 12:00 Noon
EST



Wanda Dixon, Procurement Administrator
 Procurement Division, Financial Services Department
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wdixon@columbuslibrary.org

REQUEST FOR PROPOSAL COVER SHEET

The Columbus Metropolitan Library is seeking sealed, signed, written proposals from qualified firms to provide **Internal Audit Services** according to the requirements described in the Scope and other documents included with this Request For Proposal (RFP). The Proposal Identification Number is **CML 12-019**.

Sealed Proposals will be received at the Columbus Metropolitan Library, 96 South Grant Avenue, Columbus, Ohio 43215 **no later than 12:00 Noon EST on Friday, November 9, 2012**. Any proposals arriving after 12:00 Noon will be marked late and will receive no consideration for selection to provide the specified equipment, supplies and/or services.

Any questions or clarifications regarding this RFP should be sent to purchasing@columbuslibrary.org. All questions should be submitted no later than Wednesday, October 31, 2012.

The vendor declares to have read and understood and agrees to be bound by all the instructions, terms, conditions and specifications of this RFP and agrees to fulfill the requirements of any contract for which it is selected to provide the specified equipment, supplies and/or services at the prices proposed.

The vendor certifies, by signature affixed to this Request for Proposal Cover Sheet, that the information provided by it in response to the RFP, including certified statements, is accurate and complete.

Federal Taxpayer Identification Number (TIN)		
Name of person signing bid proposal (Please print or type)	Title	
Vendor Name		
Mailing address		
City	State	ZIP
Telephone	Toll Free Telephone	
Contact Person	Fax Number	
E Mail address		
Authorized Signature (Original signature only) Please use Blue Ink.		

THIS FORM MUST BE SIGNED AND SUBMITTED WITH THE PROPOSAL. PROPOSALS SUBMITTED WITH UNSIGNED FORMS WILL NOT BE CONSIDERED

Purpose

The Library has many internal controls in place in each department that impact the daily conduct of our business, protect our employees and customers, safeguard our assets, mitigate our risks, and allow for accurate financial and non-financial reporting to help ensure a viable, sustainable organization that is able to serve its customers both now and in the future.

Over the years, the Library has performed a limited amount of assessing and monitoring of these internal controls. The purpose of this RFP is to solicit proposals from qualified firms to provide internal auditing services in order to provide a thorough and systematic review of operations, including internal controls.

Background

The Columbus Metropolitan Library is a county district library organized and existing under Chapter 3375 of the Ohio Revised Code and is a political subdivision of the State of Ohio.

The Library is an award-winning, forward-thinking organization that serves a population of 850,000 residents. The Library's vision is to create a **thriving community where wisdom prevails** with a purpose to **INSPIRE** reading, **SHARE** resources and **CONNECT** people.

The Library has twenty-one (21) locations throughout Franklin County plus an Operations Center and Outreach Services, serving a diverse population with varying needs, ranging from preschoolers to senior citizens.

The Library was the 2010 Library Journal's Library of the Year and won a 2011 National Medal for Museum and Library Service award from the Institute of Library and Museum Services.

The Library adheres to a long-term strategic plan, first developed in 2003 and updated in 2011, with guidance from members of the community, library staff, Friends of the Library and the Library's Board of Trustees. This strategic plan provides measurable objectives, clear initiatives and includes the following five segments for concentrated focus:

1. My Library: a personalized experience that results in a library that works for me
2. Young Minds: encouraging learning and growth for a foundation for a successful life
3. Life Skills: meeting challenges and providing opportunities for a community that reaches its potential
4. The Library's Partners: leverage our capacity to maximize the library's reach and impact
5. The Library's Staff: evolve our team to result in staff that thrives on change

The Library's latest audited financial statements (as of December 31, 2011) can be found at http://www.columbuslibrary.org/sites/columbuslibrary.org/files/2011_CAFR_CML.pdf.

The Library's 2012 Budget Document can be found at http://www.columbuslibrary.org/sites/columbuslibrary.org/files/imports/2012_Annual_Budget_Report.pdf.

Scope of Work

The scope of this project will include a risk assessment of the Library's control environment, developing a test plan and then executing the plan.

Services are to be performed in accordance with generally accepted auditing standards issued by the American Institute of Certified Public Accountants (AICPA) and the Standards for The Professional Practice of Internal Auditing issued by the Institute of Internal Auditors (IIA).

Deliverables will include, but may not be limited to, the following:

6. Obtain understanding of governing and operating structure of the Library
7. Document and assess Library-wide control environment
8. Perform a risk assessment of each department and related operations
9. Develop a multi-year, rotating internal audit schedule encompassing operations of all Library departments
10. Perform tests of internal audits according to the prioritized schedule developed above, including:
 - Document existing controls
 - Analyze data obtained for evidence to test efficiency and effectiveness of existing controls including those related to the safeguarding of company assets, the reliability and integrity of financial and non-financial information and compliance with laws and regulations
 - Identify gaps in existing controls structure including areas of duplicative effort, wasteful or unnecessary spending, potential fraud, lack of compliance with federal, state or local laws/regulations and/or failure to follow Library policies and procedures
11. Review other areas as deemed necessary or as requested by Library Audit Committee
12. Provide recommendations for strengthening internal controls in order to mitigate risks and improve operational efficiency and effectiveness
13. Submit audit findings/reports to Library Audit Committee at regularly scheduled meetings
14. Monitor compliance with implementation of accepted recommendations

Proposal Instructions

Proposals are to be prepared in such a way as to provide a straightforward, concise description of the firm's capabilities to satisfy the requirements of this RFP and provide sufficient information to fully establish the firm's ability to perform all of the actions, activities and functions described in this RFP.

Emphasis should be on conformance to the RFP instructions, responsiveness to the RFP requirements, completeness and clarity of content and should minimize extraneous marketing materials.

Costs for developing proposals are entirely the responsibility of the firm and shall not be chargeable to the Library.

Proposal Submission Requirements

All proposals must be in a sealed envelope or appropriate packaging, with the Proposal Identification Number (CML#12-019) and title of the RFP (Internal Audit Services) clearly marked on the outside, addressed and delivered to:

Columbus Metropolitan Library
Attn: Wanda Dixon, Procurement Administrator
96 South Grant Avenue
Columbus, OH 43215

Proposals may also be delivered in person to the Security Desk, First Floor, Columbus Metropolitan Library, 96 South Grant Avenue, Columbus, Ohio 43215. Proposals submitted via e-mail will not be considered.

Any proposals arriving after 12:00 Noon EST on Friday, November 9, 2012 will be marked late and will receive no consideration for selection to provide the requested services. The Library will return, unopened, any proposals that are received after the deadline.

One (1) original, completed and signed in blue ink, and seven (7) copies are required. An electronic file of the proposal must also be submitted in .pdf format on either CD-ROM or flash drive.

Proposal Format

To facilitate comparison of proposals, vendors must submit proposals in a format that corresponds to the outline below. Proposals must include a table of contents listing all sections.

- A. RFP Cover Sheet – signed by an officer of the firm.
- B. A summary statement, in clear terms, of your understanding of the proposed project and description to your approach, including a proposed work plan.
- C. Statement as to the firm's particular abilities and qualifications, including the number of years the firm has been in business, the geographical area of operations and professional affiliations. Please also indicate the principals in the organization and the size and composition of the organization.
- D. Describe your firm's unique qualifications and experience in providing internal auditing services. Provide a list of similar engagements including name of client and contact information.
- E. Provide a comprehensive and detailed description of your approach to fulfilling the requirements of the RFP including areas such as forensic auditing techniques, data analysis techniques, sampling methodology, technology assessments and/or other applicable auditing procedures.
- F. Provide the name of all team members, including consultants, that would be assigned to the specific projects identified and the role that they will play. Include a brief description of certifications, skills and abilities of each team member and how you will ensure that the audit team assigned will have/maintain the necessary knowledge and experience. Roles performed by consultants must be clearly identified.

- G. Describe the firm's Project Management philosophy, including progress meetings and presentations to the Library's key stakeholders. Provide examples of reports used to document the progress and status of the project.
- H. Provide a copy of the individual's or firm's latest peer review.
- I. Include any other information documentation believed to be pertinent, but not specifically mentioned in this RFP.
- J. Disclose all information concerning any suits filed, judgments entered or claims made against the firm during the last five years or any declaration of default or termination for cause against the firm. In addition, state whether during the past five years the firm has been suspended from submitting proposal or entering into any government contract.

The proposal should also include two (2) pricing structures (estimated hours and blended hourly rate) for each item in the "Scope of Work" section above that includes travel and other incidental costs based on the following:

1. No opinion on internal controls issued
2. Opinion on internal controls issued for each area tested

Proposal Questions

Any questions or clarifications regarding this RFP should be sent to purchasing@columbuslibrary.org and reference the Proposal Identification Number (CML#12-019) and title of the RFP (Internal Audit Services). All questions should be submitted no later than Wednesday, October 31, 2012.

Answers to all questions will be documented and posted on the "Doing Business with the Library" page of the Library's website at www.columbuslibrary.org/about/doing-business by no later than Friday, November 2, 2012.

Selection Process

The Library's selection team, including the Library's Audit Committee, will review all proposals and evaluate responses to the RFP. The team will then identify the firms, that have met minimum qualifications, which will be considered as a 'finalist'.

A short list of 'finalists' will then be required to meet in person, in Columbus, Ohio, with the selection team for a presentation and interview.

At the conclusion of the presentations and interviews, the selection team will then identify the preferred firm and begin contract negotiations. Upon successful negotiations, the firm will be presented to the Library's Board of Trustees for final approval and authorization to enter into a contract for services with the firm

The Library is not, by virtue of issuing this RFP, obligated to enter into a contract and reserves the right to not issue a contract as a result of this solicitation.

Evaluation Criteria

The qualifications for the successful firm and the basis for the evaluation of qualifications submitted will be:

1. Experience of the firm and its employees with comparable projects, including size, nature and complexity
2. Competence to perform the required services as indicated by the qualifications of the team assigned to the project
3. Demonstrated ability to perform the services competently and expeditiously

Projected Timeline

The projected timeline for this RFP process is provided below. The Library may, at its sole discretion, modify the schedule as necessary to allow for thorough and complete analysis of responses.

If a change is made to the RFP process, it will be communicated to those organizations reflecting an interest in responding to the opportunity and through a notice published on the “Doing Business with the Library” page of the Library’s website www.columbuslibrary.org/about/doing-business.

Activity	Target Completion Date
Issuance of RFP, Inquiry Period Begins	October 19, 2012
Inquiry Period Ends	October 31, 2012
Final Response to Vendor Questions	November 2, 2012
Proposal Due Date	November 9, 2012
Finance Committee Review & Selection of Finalists	December 13, 2012
Firm Presentations & Interviews	January 7 – 11, 2013
Board Approval	January 30, 2012