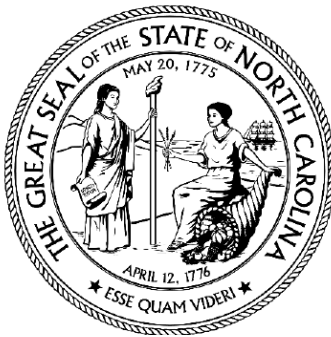




Supplemental Internal Audit, Assurance, Accounting, Data Analytics, and Managerial Advisory Services

Submitted By:
California Creative Solutions, Inc.
(dba CCS Global Tech)

Submitted To:
The State of North Carolina



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A. TITLE PAGE

Company Name	California Creative Solutions, Inc. dba CCS Global Tech
Address	13475 Danielson Street, Suite 230 Poway, CA 92064
Phone Number	858-435-4857
Authorized Representative	Raminder Singh
Proposal Number	DPC-646236801-MT

The remainder of this page has been intentionally left blank.

B. RECEIPT PAGES OF ANY ADDENDA

This page has been intentionally left blank. Please find CCS' signed receipt of the addenda released by the State of North Carolina on the following pages.

EXHIBIT 3: EXAMPLE OF STATEMENT OF WORK**NOTE: Items highlighted in yellow are for agency completion, remove highlighting and () on issued documents.****STATE OF NORTH CAROLINA****REQUEST FOR QUOTES****SCOPE STATEMENT NUMBER – STC#8411A**Enter Agency Name, Request #Enter Agency Contract Number

TITLE: Short Term Internal Audit, accounting, data analytic and managerial advisory Services
Contract Number RFP# DPC-646236801-MT

ISSUE DATE: (Date of Agency Issue)

NAME: Scope Statement Number STC#8411A
Agency Name # enter agency contract number
(Agency Add Audit Assurance, Accounting data analytic and Advisory Services Required)

DUE DATE: (Date of Opening)

USING AGENCY: Agency Name

ISSUING AGENCY: Agency Name
Individual Name
Individual Phone #
Individual email address
Agency Street address
City, NC zip code

NOTICE TO OFFERORS

Emailed offers, subject to the conditions made a part hereof, will be received at Individual email address until 2:00 PM on Enter Date, for delivering of the audit service as described herein.

Offers are subject to rejection unless submitted on this form.

EXECUTION

In compliance with this Scope Statement, and subject to all the conditions herein, the undersigned Vendor offers and agrees to furnish and deliver any or all items upon which prices are bid, at the prices set opposite each item within the time specified herein. By executing this Scope Statement, the undersigned Vendor certifies that this proposal is submitted competitively and without collusion (G.S. 143-54), that none of its officers, directors, or owners of an unincorporated business entity has been convicted of any violations of Chapter 78A of the General Statutes, the Securities Act of 1933, or the Securities Exchange Act of 1934 (G.S. 143-59.2), and that it is not an ineligible Vendor as set forth in G.S. 143-59.1. False certification is a Class I felony. Furthermore, by executing this proposal, the undersigned certifies to the best of Vendor's knowledge and belief, that it and its principals are not presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from covered transactions by any Federal or State department or agency. As required by G.S. 143-48.5, the undersigned Vendor certifies that it, and each of its sub-Contractors for any Contract awarded as a result of this Scope Statement, complies with the requirements of Article 2 of Chapter 64 of the NC General Statutes. G.S. 133-32 and Executive Order 24 (2009) prohibit the offer to, or acceptance by, any State Employee associated with the preparing plans, specifications, estimates for public Contract; or awarding or administering public Contracts; or inspecting or supervising delivery of the public Contract of any gift from anyone with a Contract with the State, or from any person seeking to do business with the State. By execution of this response to the Scope Statement, the

undersigned certifies, for Vendor's entire organization and its employees or agents, that Vendor is not aware that any such gift has been offered, accepted, or promised by any employees or agents of Vendor's organization.

Failure to execute/sign offer prior to submittal shall render the Scope Statement invalid.

VENDOR:		
STREET ADDRESS:	P.O. BOX:	ZIP:
CITY & STATE & ZIP:	TELEPHONE NUMBER:	TOLL FREE TEL. NO (800)
PRINT NAME & TITLE OF PERSON SIGNING:	FAX NUMBER	
AUTHORIZED SIGNATURE:	DATE:	E-MAIL:

Offer valid for ninety (90) days from **insert date**.

ACCEPTANCE OF SCOPE STATEMENT

If any or all parts of this Scope Statement are accepted by the State of North Carolina, an authorized representative of the **Agency name** shall affix their signature hereto and this document, special terms and conditions specific to this Scope Statement, the specifications, and in accordance with contract DPC-646236801-MT awarded **Month XX, 202X**. A copy of this acceptance will be forwarded to the successful Vendor(s).

FOR STATE USE ONLY

Offer accepted and contract awarded this ____ day of _____, 20____, as indicated on attached certification,
by _____

(Authorized representative of the Office of State Human Resources)

SUBMISSION INSTRUCTIONS:

Emailed offers to **Individual email address** by 2:00 PM on **insert date**.

LATE SUBMISSIONS: Regardless of cause, late submissions will not be accepted and will automatically be disqualified from further consideration. It shall be the Vendor's sole risk to ensure delivery to **Individual email address** by the designated time.

BASIS FOR REJECTION: Pursuant to **01 NCAC 05B .0501**, the State reserves the right to reject any and all offers, in whole or in part; by deeming the offer unsatisfactory as to quality or quantity, delivery, price or service offered; non-compliance with the requirements or intent of this solicitation; lack of competitiveness; error(s) in specifications or indications that revision would be advantageous to the State; cancellation or other changes in the intended project, or other determination that the proposed requirement is no longer needed; limitation or lack of available funds; circumstances that prevent determination of the lowest responsible or most advantageous offer; or any other determination that rejection would be in the best interest of the State.

TRAVEL: Per Statewide Term Contract 8114A, the state will not pay travel costs to and from the designated workplace for Vendor's personnel. In the event that Vendor personnel are required by the state to travel away from the regularly assigned work location to perform related tasks, the state will, upon preapproval, reimburse the Vendor in accordance with the North Carolina state travel guidelines in Chapter 5 of the North Carolina Budget Manual, which can be found at: <https://www.osbm.nc.gov/state-budget-manual>.

SECTION 1: SCOPE STATEMENT SCHEDULE**Scope Statement Questions****Due Date:** XX/XX/20XX**Time:** 2:00 p.m. Eastern Time**Address:** **Individual email address**

Instructions: Written questions will be received at **Individual email address** until date and time specified above. Please enter "Questions, Scope Statement # **Agency contact number**" as the subject for the email. Vendor will reference the scope statement section when submitting questions. Only written answers to submitted questions will constitute an official answer. The State will prepare responses to all written questions submitted as an addendum and shall provide via email to all Vendors on the eligibility list. Oral answers are not binding on the State.

Vendor contact regarding this Scope Statement with anyone other than **Agency contact person name** may be grounds for rejection of said Vendor's offer. Agency contact regarding this Scope Statement with any Vendor may be grounds for cancellation of this Scope Statement.

Scope Statement Submittal**Due Date:** XX/XX/20XX**Time:** 2:00 p.m. Eastern Time**Email Address:** **Individual email address**

Instructions: The Vendor, by making an offer, expressly represents that the specifications herein have been read and understood, and that the offer complies with all aspects. Any change that is received after the due date and time, and that is not specifically solicited by the State, shall be rejected.

Firm Offer: Prices and any other entry made hereon by the Vendor shall be considered firm and not subject to change.

SECTION 2: PURPOSE AND BACKGROUND

[Give brief description of the purpose/ objective of the contract and requested services and describe how the services fit into the using agency's function or new initiatives that necessitate these services, issues needing to be resolved, other solutions tried in the past, etc. This section should allow potential Vendors to judge whether they are interested in this RFP.]

Further describe the services required using narrative or outline as appropriate. Include, as appropriate, high-level information on tasks, schedule, deliverables, milestones, environmental or regulatory constraints, state interfaces, etc.].

SECTION 3: CONTRACT TERM

The contract shall have a term of **Enter the months, years, etc.**, or until completion and acceptance by the State of all scope of work requirement, beginning on the date of contract award (the "Effective Date") **[this may be added but in no event not longer than enter the months, years, if applicable. Or you can add renewal option is needed].**

SECTION 4: POSSESSION AND REVIEW

During the evaluation period and prior to award, possession of the Scope Statements and accompanying information is limited to personnel of the issuing agency, and to the committee responsible for participating in the evaluation. Vendors who attempt to gain this privileged information, or to influence the evaluation process (i.e., assist in evaluation) will be in violation of purchasing rules and their offer will not be further evaluated or considered.

After award, the complete Scope Statement file will be available to any interested persons with the exception of trade secrets, test information or similar proprietary information as provided by statute and rule. Any proprietary or confidential information, which conforms to NC General Statute, 132-1.2 **must be clearly marked as such in the offer when submitted.**

SECTION 5: METHOD OF AWARD

Contract will be awarded based on best value **(this statement should be deleted when developing your quote: agency may change this if desired, but it is recommended to use best value since this is a quote for services)**. Prospective Vendors shall not be discriminated against on the basis of any prohibited grounds as defined by Federal and State law.

Offers will be evaluated, and award made, based on the below factors listed in descending order of importance:

(This statement should be deleted when developing your quote: agency may change the evaluation criteria listed below if desired)

- Methodology for Completion of Work (Section 7e Scope of Work)
- Auditor Qualifications and Experience (Section 10 Personnel)
- Cost (Section 11)

While the intent of this Scope Statement is to award a Contract(s) to a single Vendor, the State reserves the right to make separate awards to different Vendors, to not award one or more-line items or to cancel this Scope Statement in its entirety without awarding a Contract, if it is considered to be most advantageous to the State to do so.

The status of a Vendor's e-Procurement Services account(s) shall be considered a relevant factor in determining whether to approve the award of a contract under this Scope Statement. Any Vendor with an E-Procurement Services account that is in arrears by 91 days or more at the time of proposal opening may, at the State's discretion, be disqualified from further evaluation or consideration.

The State reserves the right to waive any minor informality or technicality in proposals received.

SECTION 6: SCOPE STATEMENT EVALUATION PROCESS

All qualified proposals will be evaluated, and award will be made to the Vendor(s) determined by **Agency name** sole discretion to be the **best value**.

At their option, the evaluators may request oral presentations or discussion with any or all Vendors for the purpose of clarification or to amplify the materials presented in any part of the proposal. Vendors are cautioned, however, that the evaluators are not required to request presentations or other clarification—and often do not; therefore, all Scope Statement responses should be complete and reflect the most favorable terms available from the Vendor.

Vendors are cautioned that this is a request for offers, not an offer or request to contract, and the State reserves the unqualified right to reject any and all offers at any time if such rejection is deemed to be in the best interest of the State.

The State reserves the right to reject all original offers and request one or more of the Vendors submitting proposals to submit a best and final offer (BAFO), based on discussions and negotiations with the State, if the State determines in its sole discretion this is in their best interest.

SECTION 7: TECHNICAL SPECIFICATIONS

- a. Outsourcing an entire audit project: Yes ___ No ___
- b. Service Category: **Enter appropriate category as identify in STC #8411A**
- c. Location of Work: **Enter address** or define if some of the work can be performed remotely.
- d. Invoicing:

Invoices will be submitted no more than monthly and must include the individual's name, job title, hourly rate, number of hours worked and total amount per person. The Vendor may submit an invoice that combines all hours by title (see section 11) but **must** provide other documents that support the combined hours, and this document must have the individual's name, associated hours and title as identified in Section 11. **Agency name** will withhold 10% of the contract to be paid upon final completions and acceptance of Vendors work.

e. Scope of Work:

Define the work to be performed and any deliverables required, be specific and provide enough information to allow the Vendors to fully understand the services you are needing.

SECTION 8: VENDOR CONTRACT ADMINISTRATORS

The Contract Administrators are the persons to whom all required notices shall be given and to whom all matters relating to the administration or interpretation of this Scope Statement shall be addressed. The Vendor shall designate a Primary Contract Administrator, who shall be the Vendor's primary contact with the Agency for all issues regarding this Contract and an Alternate Contract Administrator.

- a. Vendor Primary Contract:
 - i. Name and Title:
 - ii. Telephone Number, office:
 - iii. Address:
 - iv. Email Address:
- b. Vendor Secondary Contract Alternate Contact:
 - i. Name and Title:
 - ii. Telephone Number, office:
 - iii. Address:
 - iv. Email Address:
 - v.

SECTION 9: METHODOLOGY FOR COMPLETION OF WORK

The Vendor should describe the approach and how the Vendor will accomplish the scope of work detailed above in Section 7.e. The vendor can use graphs or narratives to describe their approach and should include proposed timeline, milestones, or delivery dates for completion of services.

SECTION 10: PERSONNEL

In its proposal, the Vendor shall provide names, roles during audit engagement, qualifications, and experience of all current audit, accounting, managerial advisors, and data analytics personnel being submitted to meet the requirements of this Scope Statement. Personnel qualifications may include documentation citing educational background, experience with similar projects, and related certification, as well as the number of years of experience with each type of service category, as identified in the Section 5 Scope of Work, Audit Service Categories. Resumes may be provided to meet this requirement. Any staff changes must be approved by the soliciting agency.

Vendor warrants that qualified personnel shall provide Services under this Contract in a professional manner. "Professional manner" means that the personnel performing the Services will possess the skill and competence consistent with the prevailing business standards in the industry. Vendor will serve as the prime contractor under this Contract and shall be responsible for the performance and payment of all subcontractor(s) that may be approved by the State. Names of any third-party Vendors or subcontractors of Vendor may appear for purposes of convenience in Contract documents; and shall not limit Vendor's obligations hereunder. Vendor will retain executive representation for functional and technical expertise as needed in order to incorporate any work by third party subcontractor(s).

Should the Vendor's proposal result in an award, the Vendor shall be required to agree that it will not substitute key personnel assigned to the performance of the Contract without prior written approval by the Contract Lead. Vendor shall further agree that it will notify the Contract Lead of any desired substitution, including the name(s) and references of Vendor's recommended substitute personnel. The State will approve or disapprove the requested substitution in a timely manner. The State may, in its sole discretion, terminate the Services of any person providing Services under this Contract. Upon such termination, the State may request acceptable substitute personnel or terminate the contract Services provided by such personnel.

Vendor shall demonstrate experience with at least three (3) public and/or private sector clients, providing similar service as requested in this solicitation. The narrative must thoroughly describe the expertise and audit, accounting and managerial advisory services provided and the outcome identify to resolve the client need. Provide the name, address, phone number and email address of three (3) prior clients that may be contacted.

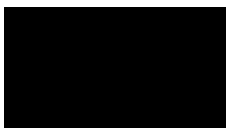
SECTION 11: COST (AND PROJECT HOURS)

Vendor must complete the information below. Failure to provide will result in rejection of Scope Statement.

Vendor shall offer a firm fixed price, all inclusive of labor, materials, general and administrative overhead, and profit. The total amount to be paid by **Agency name** under this Contract shall not exceed the amount as stated in the table below. The State does not guarantee a minimum or maximum number of hours.

Position	Hourly Rate	Number of Staff (full time equivalent)	Number of Hours	Total (\$) Amount (Rate x Staff x Hours)
Staff	\$			
Supervisor	\$			
Executive	\$			
Other Category				
		\$		

For multiple types of services, copy the table above for each type of service category with the scope of work.



Raminder Singh

9/5/2023

President/CEO



SOLICITATION ADDENDUM

Issuing Agency:	Division of Purchase and Contract
Solicitation Number:	DPC-646236801-MT
Solicitation Description:	Supplemental Internal Audit Services
Solicitation Opening Date and Time:	August 29, 2023 @2:00 PM
Addendum Number:	01
Addendum Date:	August 1, 2023
Purchasing Agent:	Melinda Tomlinson

The RFP schedule is hereby modified as follows:

2.4 RFP SCHEDULE (REVISED)

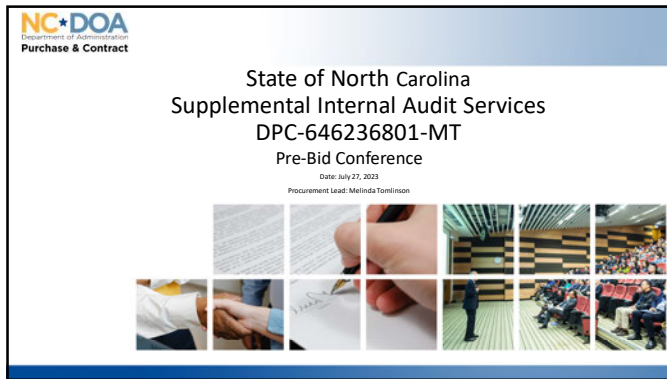
The table below shows the *intended* schedule for this RFP. The State will make every effort to adhere to this schedule.

Event	Responsibility	Date and Time
Issue RFP	State	July 14, 2023
Urged & Cautioned Pre-Proposal Conference	State	July 27, 2023 @ 2:00 PM EST
Submit Written Questions	Vendor	August 9, 2023 @ 5:00 PM EST
Provide Response to Questions	State	August 16, 2023
Submit Proposals	Vendor	August 29, 2023 @ 2:00 PM EST Microsoft Teams meeting Join on your computer, mobile app or room device Click here to join the meeting Meeting ID: 258 653 933 303 Passcode: 5booFX Join with a video conferencing device ncgov@m.webex.com Video Conference ID: 117 730 666 7 Alternate VTC instructions Or call in (audio only) +1 984-204-1487 , 184281593# United States, Raleigh Phone Conference ID: 184 281 593#
Contract Award	State	TBD
Contract Effective Date	State	TBD

For assistance with the Ariba Sourcing or NC eVP, please contact the NC E-Procurement Helpdesk:

Call: 888-211-7440 (select option 2)

Email: vendor@nc.gov



1

Overview of Procurement

-  Establish a new mandatory Statewide Term Contract to provide for the State's need for pre-qualified Vendors for *Supplemental Internal Audit, Assurance, Accounting, Data Analytics, and Managerial Advisory Services*
-  Services will be provided through issued Statements of Work to be further completed to awarded vendors on an as-needed basis.
-  The contract will be used by State Departments, Agencies, Higher Education Entities, and Other Eligible Entities during the contract period

NC+DOA

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RFP Schedule

Event	Responsibility	Date and Time
Issue RFP	State	July 14, 2023
Urged & Cautioned Pre-Proposal Conference	State	July 27, 2023 @ 2:00 PM EST
Submit Written Questions	Vendor	August 2, 2023 @ 5:00 PM EST
Provide Response to Questions	State	August 8, 2023 (subject to change)
Bid Due/Bid Opening Date (MS Teams)	Vendor	August 22, 2023 @ 2:00 PM EST (subject to change)
Contract Award	State	TBD
Contract Effective Date	State	TBD

NC+DOA

3

Solicitation Highlights

Bid Validity

- 120 days from the bid opening date

Alternate Bids

- Must be complete and independent of other proposals offered with pricing and attachments included

Service Categories:

- Operational/ Performance Audits
- Investigative Audits
- Compliance Audits
- Informational Systems Audits
- Data Analytics/Continuous Monitoring
- Risk Assessment and Audit Plan Development
- Financial Audits
- Accounting and Financial Services
- Managerial Advisory Services

NC-DOA

4

Proposal Submission Highlights

Section 4.4
Vendor Experience

Section 4.5
References

Section 4.6
Legal Right to Practice in NC

Section 4.7
External Reviews & Regulatory Action

Section 4.8
Financial Statement

Section 4.9
(Attachment A)
Cost Proposal

Section 5.4
Project Staffing

Section 5.5
Technical Approach

Section 6.1
Contract Manager & Customer Service

NC-DOA

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Submission Requirements: Pricing Form(Attachment A)

ATTACHMENT A: PRICING FORM

Cost Schedule

Vendor shall provide its best hourly rates in the form of base rate and upper rate for an auditor, audit supervisor and audit executive in the appropriate columns provided below or a duplicate of this form. For staff, supervisor, and executive descriptions, see Section 4.9 of the RFP.

This table captures audit staff compensation rates only and does not include travel or related business expenses. All travel and business expenses, if any, will be subject to North Carolina state travel guidelines and requirements and are required to be presented as part of the issuance of a specific SOW, after approved Vendors have been selected. Chapter 5 of the North Carolina Budget Manual provides primary guidance on state travel guidelines and restrictions and can be found at: <https://www.ncslm.nc.gov/budget/budget-manual>

Services Category	Staff Base Rate	Staff Upper Rate	Supervisor	Executive
Operational/Performance Audit				
Investigative Audit				

NC-DOA

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Submission Requirements: Vendor Responsibilities

```

graph TD
    A[Review the entire RFP, including attachments] --> B[Complete & Sign the RFP]
    B --> C[Submit the completed proposal by the proposal due date]
  
```

NC-DOA

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Failure to execute/sign bid prior to submittal may render bid invalid and it MAY BE REJECTED. Late bids cannot be accepted.

COMPLETE/FORMAL NAME OF VENDOR:

STREET ADDRESS:	P.O. BOX:	ZIP:
CITY & STATE & ZIP:	TELEPHONE NUMBER:	TOLL FREE TEL. NO:
PRINCIPAL PLACE OF BUSINESS ADDRESS IF DIFFERENT FROM ABOVE (SEE INSTRUCTIONS TO VENDORS ITEM #21):		
PRINT NAME & TITLE OF PERSON SIGNING ON BEHALF OF VENDOR:		FAX NUMBER:
VENDOR'S AUTHORIZED SIGNATURE:	DATE:	E-MAIL:

NC-DOA

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QUESTIONS?

NC-DOA

9

FINAL REMINDERS

Please note that the responses from the state today are not legally binding. To confirm any information, vendors must submit their questions in writing.

The official response from the State will be added to the sourcing tool as an addendum.

Proposals are due August 22, 2023, @ 2:00 PM EST (*Date is subject to change*)

Late proposals will not be accepted!!!

Ensure all attachments are uploaded to the sourcing tool

NC-DOA

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RESOURCES

Vendor Training	• www.eprocurement.nc.gov/training/vendor-training
NC eProcurement Helpdesk	• Call: 888-211-7440, select option 2 • Email: vendor@nc.gov
Additional Resources	• https://ncadmin.nc.gov/vendor-forms
Historically Underutilized Business (HUB)	• https://ncadmin.nc.gov/businesses/historically-underutilized-businesses-hub • Call: 984-236-0130 • Email: huboffice.doa@doa.nc.gov

NC-DOA

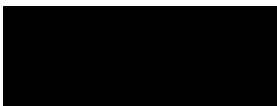
11

THANK YOU FOR JOINING US TODAY!!!



NC-DOA

12



9/5/2023

President/CEO



SOLICITATION ADDENDUM

Issuing Agency:	Division of Purchase and Contract
Solicitation Number:	DPC-646236801-MT
Solicitation Description:	Supplemental Internal Audit Services
Solicitation Opening Date and Time:	September 6, 2023 @ 2:00 PM ET
Addendum Number:	03
Addendum Date:	August 23, 2023
Purchasing Agent:	Melinda Tomlinson

FAILURE TO RETURN THIS ADDENDUM MAY SUBJECT YOUR RESPONSE TO REJECTION.

- 1. The Solicitation is hereby modified as follows (begin on page 2):**

SOLICITATION NUMBER: DPC-646236801-MT
ADDENDUM NUMBER: 3

Modification #	Solicitation Section	Current Solicitation Language	Updated Solicitation Language
1	2.8 Proposal Contents	Vendors shall provide responses to all questions and complete all attachments for this RFP that require the Vendor to provide information and upload them to the Sourcing Event in the Sourcing Tool. Vendor may not be able to submit its response in the Sourcing Tool unless all required items are addressed. Vendors shall provide authorized signatures where requested. Failure to provide all required items, or Vendor's submission of incomplete items, may result in the State rejecting Vendor's proposal, in the State's sole discretion. Vendor shall include the following items and attachments in the Sourcing Tool: d) Vendor's Proposal addressing all Specifications of this RFP: 4.4, 4.5, 4.6, 4.7, 4.8, 4.9, 5.4, 5.5, 6.1 e) Completed version of ATTACHMENT A: COST PROPOSAL f) Completed and signed version of ATTACHMENT D: HUB SUPPLEMENTAL VENDOR INFORMATION g) Completed and signed version of ATTACHMENT E: CUSTOMER REFERENCE FORM h) Completed and signed version of ATTACHMENT F: LOCATION OF WORKERS UTILIZED BY VENDOR i) Completed and signed version of CERTIFICATION FOR CONTRACTS, GRANTS, LOANS, AND COOPERATIVE AGREEMENTS and OMB STANDARD FORM LLL	Vendors shall provide responses to all questions and complete all attachments for this RFP that require the Vendor to provide information and upload them to the Sourcing Event in the Sourcing Tool. Vendor may not be able to submit its response in the Sourcing Tool unless all required items are addressed. Vendors shall provide authorized signatures where requested. Failure to provide all required items, or Vendor's submission of incomplete items, may result in the State rejecting Vendor's proposal, in the State's sole discretion. Vendor shall include the following items and attachments in the Sourcing Tool: d) Vendor's Proposal addressing all Specifications of this RFP: 4.4, 4.5, 4.6, 4.7, 4.8, 4.9, 4.11, 5.4, 5.5, 6.1 e) Completed version of ATTACHMENT A: COST PROPOSAL f) Completed and signed version of ATTACHMENT D: HUB SUPPLEMENTAL VENDOR INFORMATION g) Completed and signed version of ATTACHMENT E: CUSTOMER REFERENCE FORM h) Completed and signed version of ATTACHMENT F: LOCATION OF WORKERS UTILIZED BY VENDOR. i) Completed and signed version of ATTACHMENT G: CERTIFICATION OF FINANCIAL CONDITION. j) Completed and signed version of CERTIFICATION FOR CONTRACTS, GRANTS, LOANS, AND COOPERATIVE AGREEMENTS and OMB STANDARD FORM LLL
2	Section 4.11 Personnel	In its proposal the Vendor shall provide information as to the qualifications and experience of current audit, accounting, managerial advisors, and data analytics personnel that may be assigned to each of the service categories for which the Vendor submits a proposal. Personnel qualifications may include documentation citing educational background, experience with similar projects and related certification, as well as the number of years of experience with each type of service category, as identified in the Section 5 Scope of Works, Audit Service	Section 4.11 has been removed from the solicitation. It has now been incorporated into the RFQ. See revised Exhibit 3. ~~In its proposal the Vendor shall provide information as to the qualifications and experience of current audit, accounting, managerial advisors, and data analytics personnel that may be assigned to each of the service categories for which the Vendor submits a proposal. Personnel qualifications may include documentation citing educational background, experience with similar~~

SOLICITATION NUMBER: DPC-646236801-MT
ADDENDUM NUMBER: 3

Modification #	Solicitation Section	Current Solicitation Language	Updated Solicitation Language
		Categories. Vendor warrants that qualified personnel shall provide Services under this Contract in a professional manner. "Professional manner" means that the personnel performing the Services will possess the skill and competence consistent with the prevailing business standards in the industry. Vendor will serve as the prime contractor under this Contract and shall be responsible for the performance and payment of all subcontractor(s) that may be approved by the State. Names of any third-party Vendors or subcontractors of Vendor may appear for purposes of convenience in Contract documents; and shall not limit Vendor's obligations hereunder. Vendor will retain executive representation for functional and technical expertise as needed in order to incorporate any work by third party subcontractor(s).	~~projects and related certification, as well as the number of years of experience with each type of service category, as identified in the Section 5 Scope of Works, Audit Service Categories.~~ ~~Vendor warrants that qualified personnel shall provide Services under this Contract in a professional manner. "Professional manner" means that the personnel performing the Services will possess the skill and competence consistent with the prevailing business standards in the industry. Vendor will serve as the prime contractor under this Contract and shall be responsible for the performance and payment of all subcontractor(s) that may be approved by the State. Names of any third party Vendors or subcontractors of Vendor may appear for purposes of convenience in Contract documents; and shall not limit Vendor's obligations hereunder. Vendor will retain executive representation for functional and technical expertise as needed in order to incorporate any work by third party subcontractor(s).~~
3	Section 5.3 Vendor Responsibilities	Soliciting Agencies shall complete a Statement of Work form (Exhibit 3 attached) and submit the form to at least one (1) qualified vendors in the requested category.	Soliciting Agencies shall complete a Statement of Work form (Exhibit 3 attached) and submit the form to at least two (2) qualified vendors in the requested category.
4	Section 3.4 Evaluation Criteria - Original RFP Evaluation Criteria		
	Evaluation Criteria	RFP Section	Points
	Vendor's Relevant Background and Experience	4.4, 4.5	300
	Financial Statements	4.8	200
	Personnel	4.11	350
	Cost Proposal	4.9, Attachment A	150
	TOTAL	700 required for the award	1000
	NC License to Practice	4.6	Pass/Fail
	External Review/Regulatory Action	4.7	Pass/Fail
	Modified RFP Evaluation Criteria		
	Evaluation Criteria	RFP Section	Points
	Vendor's Relevant Background and Experience	4.4, 4.5	275
	Financial Statements	4.8	150
	Project Staffing	5.4	250
	Technical Approach	5.5	200
	Cost Proposal	4.9, Attachment A	125
	TOTAL	700 required for award	1000
	NC License to Practice	4.6	Pass/Fail
	External Review/Regulatory Action	4.7	Pass/Fail

SOLICITATION NUMBER: DPC-646236801-MT
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Modification #	Solicitation Section	Current Solicitation Language	Updated Solicitation Language
5	Attachment A: Cost Proposal	See Current Attachment A	See Updated Attachment A – to provide for optional additional labor categories.
6	Section 5.1 General	Audits, accounting, data analytics or managerial services are performed to either ascertain the validity and reliability of information; to provide an assessment of a system's internal controls or operations; to recommend improvements in efficiency and effectiveness of operations; adherence to laws and regulations, fill an unmet staffing needs, or provide forecasting. Any agency may identify a need for internal audit assurance, accounting, data analytics or managerial advisory service short term staff through the issuance of a Scope of Work (SOW). The hiring agency's staffing needs may vary in terms of resources required, dates of service and length of assignment.	Audits, accounting, data analytics or managerial services are performed to either ascertain the validity and reliability of information; to provide an assessment of a system's internal controls or operations; to recommend improvements in efficiency and effectiveness of operations; adherence to laws and regulations, or provide forecasting. Any agency may identify a need for internal audit assurance, accounting, data analytics or through the issuance of a Scope of Work (SOW).

2. The following are questions received about the Solicitation and the State's response to those questions:

Question #	Document Section	Vendor Question	State's Response
1.	Att. B	Is Attachment B: North Carolina Instructions to Vendors considered part of the body of RFP and required to be returned with response?	Attachment B: North Carolina Instructions to Vendors should be read in its entirety; however, it is not required to return it with your vendor response. Refer to section 2.8 Proposal Contents for the items that are required to be included in your vendor response.
2.	Att. C	Is Attachment C: North Carolina General Terms and Conditions considered part of the body of RFP and required to be returned with response?	Attachment C: North Carolina General Terms and Conditions should be read in its entirety; however, it is not required to return it with your vendor response. Refer to section 2.8 Proposal Contents for the items that are required to be included in your vendor response.
3.	Section 2.8 Proposal Contents	RFP p. 11, Section 2.8 Proposal Contents does not list Attachment G: Certification of Financial Condition as required, however, this form is issued in the Ariba Sourcing portal. Should this form be provided as part of the offeror's response to Section 2.8.j.c?	Vendors shall complete the Attachment G: Certification of Financial Condition provided in section 6.5 of the Ariba Sourcing Event. See solicitation modification #1 in previous section of this Addendum 2.

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4.	Section 2.8 Proposal Contents	RFP p. 11, section 2.8 Proposal Contents lists items 2.8.a Title Page, 2.8.c Signed Addenda, 2.8.d Vendor's Proposal, and 2.8.j Response and Documentation. There are not specific line items in the Sourcing Tool portal for vendors to upload these items. Will the State consider adding specific sections in the Sourcing Tool portal for vendors to upload each of these items?	The State has assigned specific sections for vendors to submit the completed RFP attachments. Any additional required documents should be uploaded in section 6.1 labeled " <i>Return Solicitation Document</i> " within the Ariba Sourcing Event, unless specified otherwise.
5.	Sections 4.1 Pricing & 4.9 Cost Proposal	RFP Sections 4.1 Pricing and 4.9 Cost Proposal include no guidance on how the State will consider labor rate escalation over the period of performance of the STC. Will the State allow vendors to propose a process for labor rate escalation over the period of performance of the STC as part of their response to RFP Section 4.9?	Please refer to section 6.8 Contract Changes, for information regarding how to make changes over the life of the contract.
6.	Section 4.5 References	RFP p. 13, Section 4.5 References states, "Vendor shall provide a list of at least five (5) contracts for which Vendor has performed services of a similar nature and scope, as identified in Section 5.2, within the last five (5) years." Are vendors to provide at least 5 contracts for each Section 5.2 type of service area that vendors are responding to (e.g., 5 contracts for Section 5.2.a, 5 contracts for Section 5.2.b, 5 contracts for Section 5.2.c, and so on) or provide a total of at least 5 contracts regardless of how many Section 5.2 services vendors are responding to?	Vendors should provide a total of at least five (5) references within the last five (5) years for which Vendor has performed services of a similar nature and scope, as identified in Section 5.2.

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7.	Section 4.7 External Reviews and Regulatory Action	RFP Section 4.7 External Reviews and Regulatory Action outlines a set of mandatory response and disclosure requirements. Subsection 4.7.a appears to specifically apply to vendors responding to the Compliance Audit (RFP Section 5.2.c), Financial Audit (5.2.g) and Accounting & Financial Services (5.2.h) service categories. Further, Subsection 4.7.b seems to clarify that Subsection 4.7.a does not apply to vendors responding to service categories that do not cover services subject to the "American Institute of Certified Public Accountants external review requirements." Could that State confirm that it agrees with this interpretation and that Subsection 4.7.a only applies to vendors responding to service categories 5.2c, 5.2.g, and 5.2.h?	No, the type of services a Vendor responds to has no impact on this requirement. Section 4.7a applies to Vendors that are required by the American Institute of Certified Public Accountant or a State's governing body to have a peer review.
8.	Sections 4.9 Cost Proposal and 5.2 Internal Audit Assurance...	RFP Sections 4.9 and 5.2 as well as Exhibit 2 and Attachment A are inconsistent in their representation of service categories. Can the State confirm that Section 5.2 represents the authoritative list of service categories for vendors to respond to?	Yes, Section 5.2 represents the list of service categories to which Vendors should respond.
9.	Section 4.9 Cost Proposal	RFP p. 17, Section 4.9 Cost Proposal states, "For each service category, the Vendor shall provide the following:". Should this language state, "For each service category that the vendor is proposing for, the Vendor shall provide the following:"?	Vendors should refer to the previous sentence in section 4.9 for clarity, which states, <i>Vendors may provide rates for one (1) or more service categories but may not necessarily receive approval for all categories submitted.</i>
10.	Section 4.9 Cost Proposal	RFP Section 4.9 Cost Proposal includes a paragraph allowing for the inclusion of additional labor categories under "d. Other professional staff...". The RFP apparently lists "d." as a subsection under the Data Analytics Services service category. However, the phrasing of the "Other professional staff" definition suggests that this might apply to other service categories as well, not just the Data Analytics Service category. Could that State confirm that vendors can propose additional labor categories, per the "Other professional staff" guidance, across all service categories?	Yes, "Other professional staff" may be applied across all service categories.

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11.	Section 4.11 Personnel	RFP Section 4.11 Personnel appears to represent a proposal requirement. It is also an explicit evaluation factor under RFP Section 3.4. However, it is not included in RFP Section 2.8.d. Can the State confirm that vendors should include a response to RFP Section 4.11 in their respective proposal sections addressing RFP Section 2.8?	Vendors shall provide in their proposal the requirements requested in Section 4.11 Personnel.
12.		RFP Sections 4.11, 5.4, and 5.5 all speak to personnel and staffing requirements, but don't clearly define which personnel the State would consider to be Key Personnel (who would be subject to the substitution rules under 4.11). In our estimation it would be appropriate for vendors to propose a State Term Contract Manager and Service Category Leaders as Key Personnel at this time, but to defer naming all other Key Personnel to the order level. All other personnel highlighted in the proposal response would be W-2 employees of the vendor but would not be explicitly labeled as 'Key Personnel'. Would this be acceptable to the State?	Yes, the State is agreeable to Key Personnel being defined for: 1. Contract Manager 2. Service Category Leaders (as defined in Section 4.9 of RFP. Enough staff qualifications should be provided to support each service category that are included in a Vendor's proposal. Key personnel are individuals that have the responsibility for ensuring milestones, deadlines and/or accomplishment of project objectives are achieved. See Modification Section 1, #2. See updated Exhibit 3 for RFQ Process.
13.	Section 5.5 Technical Approach	RFP Section 5.5 Technical Approach is a required proposal response section under Section 2.8 Proposal Contents, but it is not part of the evaluation criteria under Section 3.4. Since (1) the responses to RFP Sections 4.4, 4.5 (technical capabilities) and 4.11 (Personnel qualifications) should comprehensively cover the vendor's ability to meet potential future order requirements under this Term Contract and since (2) there is no specific task order scope included in this RFP that vendors could respond to with an 'approach', would the State consider removing the first two paragraphs from RFP Section 5.5? Paragraph 1: "Vendor's proposal shall..." (redundant with Sections 4.4 and 4.5); Paragraph 2: "Key Personnel qualifications..." (to be addressed in Section 5.4)	No. Response to (1) - See Section 1, Modification #4 for updated Evaluation Criteria. See Section 1, Modification #2 for update to Section 4.11. Response to (2) – Sections 5.4 and 5.5 are relative to the Scope of Section 5, in its entirety. Vendors should provide Approach and Project Staffing approach based on the provided Scope of Work in Sections 5.1 – 5.3.
14.	Section 5.5 Technical Approach	For vendors proposing on service categories not commonly subject to the professional standards listed in RFP Section 5.5, would the government accept a brief narrative response outlining why the specific professional standard(a) does not apply to the vendor as a compliant response?	Yes. Vendors should provide a response to Sections 5.4 Project Staffing and 5.5 Technical Approach. for services that are commonly subject to the list of professional standards.

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Question #	Document Section	Vendor Question	State's Response
15.	Section 1.3 Contract Term and Section 4.1 Pricing.	Since this new State Convenience Contract for services is for a 5-year period, how many instances will the State allow rates to be increased to match market fluctuations during the term of the contract?	The State is unable to provide a specific number of instances that would allow for rate increases during the contract. Vendors are advised to review section 6.8 Contract Changes to understand the State's policy on contract modifications throughout the duration of the agreement.
16.	RFP Section 2.4 RFP Schedule	<i>Submit Proposals section. Also referenced on Solicitation Addendum 1 with new due date for submission 8/29/23 at 2 pm.</i> What is the purpose for this Teams meeting? What information will the State of North Carolina's Division of Purchase and Contract discuss or disclose during the meeting?	The public bid opening is scheduled for August 29, 2023, at 2:00 PM. At the time of the bid opening, vendor's names and pricing that is not subject to negotiation or two-step opening shall be announced. This includes all timely bids received, including those that may later be deemed non-responsive.
17.	4.10 Additional Requirements	<u>4.10(a) Work Papers:</u> Would the State agree to language clarifying that this section is not intended to impact the ownership rights of our existing intellectual property or administrative records, or any intellectual property developed outside of the scope of our services? <u>4.10(d) Records Retention:</u> Would the State agree to a modification to the records retention requirement to address typical issues associated with information stored electronically and for compliance with applicable professional standards?	This section is intended to impact work papers created within the scope of this agreement. This is not intended to impact the ownership of intellectual property developed outside the scope of the agreement. Administrative records applicable to the completion of audit services are included. The State intends to adhere to the records retention requirement as outlined in the policy set forth by the North Carolina Council of Internal Audition.
18.	Att. C NC General Terms and Conditions	2. Default and Termination: Will the State consider industry standard modifications for the services contemplated such as language disclaiming further responsibility for work product delivered which is designated as incomplete as of the date of termination and that the State's remedy against Vendor for any default shall be the return of any fees paid to Vendor for such nonconforming deliverables or services? Additionally, would the State accept additional language providing that the Vendor may terminate the Agreement upon written notice to the State, if the Vendor determines continued performance would result in a violation of law, regulatory requirements, applicable professional or ethical standards, or Vendor's client acceptance or retention standards?	The State reserves the right to negotiate this term of the contract prior to contract award.

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Question #	Document Section	Vendor Question	State's Response
19.	Att. C NC General Terms and Conditions	13. Access to Persons and Records: Would the State accept language clarifying that these rights are limited solely to our time, billing and reimbursable expense records for services performed under the Agreement?	The State reserves the right to negotiate this term of the contract prior to contract award.
20.	Att. C NC General Terms and Conditions	16. General Indemnity: 16(a): Will the State consider industry standard modification to this provision to limit our obligations to claims brought by third parties that arise from the gross negligence or willful acts or omissions by Vendor during the performance of its services? Additionally, would the State accept the addition of language providing that our total liability, except for our indemnification obligations, be limited to an amount equal to the fees we receive under the Agreement, and exclude indirect, consequential, exemplary or similar such damages?	The State reserves the right to negotiate this term of the contract prior to contract award.
21.	Att. C NC General Terms and Conditions	20. Care of State Data and Property: <u>Paragraph 2, Sentence 2</u> : Will the State consider adding the following language to the beginning of the second sentence in the second paragraph "Subject to the limitations of liability in the Agreement,..."?	The State reserves the right to negotiate this term of the contract prior to contract award.
22.	Att. C NC General Terms and Conditions	28. Federal Funds Provisions: <u>28(d)(2) and (3)</u> : Would the State accept our request to delete the liquidated damages provision, or substantive modifications to address failures to deliver which are outside of the Vendor's reasonable control? <u>28(i) Access to Records</u> : Please see our Question in 13. <i>Access to Persons and Records</i> . <u>28(k) Records Retention</u> : Please see our Question in 20. <i>Care of State Data and Property</i> .	The State reserves the right to negotiate this term of the contract prior to contract award.
23.	Section 4.3 HUB Participation	Do vendors need to meet 10% utilization of HUBs on this RFP? How does one become certified as WBE and Minority owned in North Carolina?	No. The 10% utilization applies to State agency's goal to spend at least 10% of their total expenditures with certified HUB vendors. For information about becoming a certified HUB vendor, please visit: https://ncad-min.nc.gov/divisions/historically-underutilized-businesses-hub/certifications

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24.	Section 5.5 Technical Approach	Can you provide more clarity and detail on the requirements for Section 5.5 "Technical Approach"? If possible, can you provide an example?	The proposal from the Vendor must describe their plan for completing the tasks specified in the Scope of Work section of this RFP, using narrative, outlines, and/or graphs. The proposal must include details about each task and deliverable, as well as a schedule for completing each one. The State is unable to provide an example.
25.	5.0 Scope of Work (5.2.d)	Historically, how many audits and/or how many hours of the audit plan have been dedicated to Information Systems Audits for the in-scope agencies and campuses?	Last year for agency and universities information system audits completed were just under 20,000 hours. Not captured are 58 community colleges, 115 local education agencies and several regulatory boards that may use the new state term contract.
26.	5.0 Scope of Work (5.2.d)	Are there any information systems audits that are required to be performed annually as a part of compliance/regulatory requirements? a) Are those annual audits performed for all in-scope agency and campus locations? b) Are there pre-defined state audit programs to execute or is the provider responsible for developing the scope and approach for each audit?	Yes. There is only one(1) mandated information system audit requirement which is not within the scope of this RFP as identified in Section 5.2d.
27.	5.0 Scope of Work (5.2.d)	Has the state performed IT-specific risk assessments as part of this initiative? When were those last performed?	No IT-specific risk assessment was performed for this initiative.
28.	5.0 Scope of Work (5.2.d)	Is there a centralized IT department or IT Manager at the State that manages the scope and coordination of the IT audits?	The State has a centralized IT department however, that department has no responsibilities for overseeing or managing information system audits performed at state agencies or universities.
29.	5.0 Scope of Work (5.2.d)	According to the NCOSA website, the Information Systems Audit reports are not public, but what entity (in addition to the entity being audited) receives the results of the Information Systems Audit Reports? a) Will the vendor present at NCOSA Board/Audit Committee meetings? Or prepare materials for such meetings?	There is no NCOSA Board or Audit Committee. NCOSA has no responsibility for the governance of work performed under this state term contract. The soliciting agency is responsible for receiving and disseminating the results of any work completed by a Vendor. There is a mandate that requires all executive branch internal audit functions to submit reports to the council of internal auditing; however, reports with confidential information must be redacted prior to submission.
30.	5.0 Scope of Work (5.2.d)	Who determines the frequency of Information Systems Audits?	The soliciting agency requesting the audit.

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31.	5.0 Scope of Work (5.2.d)	Does the state have any requirements for in-person execution or can the audits be performed remotely with in-person visits, as appropriate?	The execution of the audits will be determined by the soliciting agency requesting the audit services and be specified in the Request for Quote (RFQ). Refer to Exhibit 3 of the RFP.
32.	5.2.f. Risk Assessment and Audit Plan Development	Historically, how many hours have been dedicated to risk assessment procedures at each agency/campus?	Last year just over 9,300 was spent on risk assessment. Not captured are 58 community colleges, 115 local education agencies and several regulatory boards that may use this state term contract.
33.	5.2.g. Financial Audit	Can you confirm an opinion on financial statements is not within the scope of this RFP?	Opinions on financial statements are not within the scope of this RFP.
34.	Section 5.0	Do any entities anticipate on-demand services as they arise or is there a pre-determined cadence and amount of consulting support already identified?	The State cannot predetermine the needs of the individual agencies; however, soliciting agencies are required to complete a Statement of Work (Exhibit 3) and submit the form to at least one (1) qualified vendor in the requested category.
35.	Section 5.0	Would you anticipate needing local, on-site support, remote assistance, or both?	The need for local, on-site support, or remote assistance will be determined by the soliciting agency and specified in the Request for Quote (RFQ). Refer to section 5.3 of the RFP
36.	Section 5.0	How long will we have to respond to Statement of Work that arises from any of the entities included in this proposal?	The timeline for responding to the Statement of Work will be determined by the soliciting agency and specified in the Request for Quote (RFQ); however, vendors will have a minimum of ten (10) days to respond. Refer to section 5.3 of the RFP.
37.	Section 5.0	There is some overlap in areas in regards to expertise, team, experience, etc. When responding, for sake of brevity, may we reference previous responses with appropriate name/number guidance or would you prefer a complete separate response?	Staff/personnel qualification/experience/education, is only needed once for each type of service included in the Vendors proposal, in response to Sections 5.4 and 5.5.
38.	Section 5.0	When the State has a project need, will it contact all of the firms on this contract (within the applicable category in the RFP) and provide them with an opportunity to submit a proposal? If no, what selection process will be used when project needs arise?	Soliciting agencies must fill out the Statement of Work form (refer to Exhibit 3) and submit it to a minimum of two (2) qualified vendors in the desired category. Refer to section 5.3 of the RFP. See Section 1, Modification #3.
39.	Section 5.0	When the State has a project need, how much advanced notice is typically provided the consultant before the project needs to commence?	Soliciting agencies shall give vendor(s) a minimum of ten (10) days to respond. Refer to section 5.3.2 of the RFP.
40.	Section 5.0	How should we identify which areas we would like to considered for versus areas that are outside of our expertise?	Vendors shall indicate the service categories in which they wish to be considered by submitting base or upper rates for staff, supervisor, and executive hourly rate ranges for each on the pricing schedule (Attachment A). Refer to section 4.9 Cost Proposal.

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Question #	Document Section	Vendor Question	State's Response
41.	Section 5.0	Can we propose on all or just certain portions of the work?	State unable to determine details of this question. See Section 4.9 for details on how vendors should provide proposals for one (1) or more service categories.
42.	Section 5.0	Do we need to include different personnel for each type of work and different references, fees, etc. for each type of work that they list in the RFP?	See Response for Questions 12 and 13 above.
43.	Section 5.0	In the RFP, they ask for expertise with Construction Audits but it is not specifically listed as one of the services...do they consider Construction Audit as a separate service?	Construction audits are not a service category but will follow under compliance audits in Section 5.2 and Assurance audits in Section 4.9
44.	Section 5.0	Do they have an estimated number of hours of support identified for each component?	The State does not have an estimated number of hours for support identified for each component. Vendors should inquire this information of the soliciting agencies.
45.	Att. C NC General Terms and Conditions	How should the Offeror provide exceptions to the State's contractual terms and conditions for the State's consideration?	Please refer to section 2.7 Notice to Vendors Regarding RFP Terms and Conditions.
46.	Att. C NC General Terms and Conditions, Section 2	In (a), would the State consider modifying the remedy for procurement of substitute services to provide that we may be found liable for such costs, since a party's damages should be based on the facts and circumstances and determined by dispute resolution processes? In (b), would the State consider providing a notice and cure period after which, if not cured, such termination for cause would be effective? Alternatively, if the State wishes to discuss specific language or better understand the concerns, would the State please confirm that it is open to the possibility of later discussions and negotiation which may result in a potential amendment of this specific provision of the Contract as per Section 2.3 of the RFP?	The State is willing to negotiate any NC general terms and conditions if the Vendor's includes the modifications in their proposal as stated in Section 2.3.

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Question #	Document Section	Vendor Question	State's Response
47.	Att. C NC General Terms and Conditions, Section 15	Would the State consider the clarifying modifications outlined below to align the insurance requirements with our industry-standard coverage? Alternatively, if the State wishes to discuss specific language, would the State please confirm that it is electing to leave open this section for later negotiation and amendment of this specific provision of the Contract as per Section 2.3 of the RFP? 2(ii)./3(ii). Commercial General Liability – General Liability Coverage on a Comprehensive Commercial Broad Form... 2(iii). Automobile – The minimum combined single limit shall be \$250,000.00 bodily injury and property damage combined. ~~\$250,000.00 uninsured/under insured motorist; and \$2,500.00 medical payment.~~ 3(iii). Automobile – The minimum combined single limit shall be \$500,000.00 bodily injury and property damage combined. ~~\$500,000.00 uninsured/under insured motorist; and \$5,000.00 medical payment.~~	The State is willing to negotiate any NC general terms and conditions if the Vendor's includes the modifications in their proposal as stated in Section 2.3.

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48.	Att. C NC General Terms and Conditions, Section 16	Can the indemnity be modified to be for third party claims for bodily injury, including death, or damages to real or tangible personal property to the extent directly and proximately caused by Contractor's negligence or intentional misconduct in its performance of the services? We would propose the use of the following example. However, in the event the State does not agree with our example, we ask that the State please confirm that it is open to the possibility of later discussions and negotiation which may result in a potential amendment of this specific provision of the Contract as per Section 2.3 of the RFP? "The Vendor shall indemnify, defend and hold and save the State, its officers, agents, and employees, harmless from (i) liability of any kind, including all claims and losses, in each case accruing or resulting to any other person, firm, or corporation furnishing or supplying work, Services, materials, or supplies in connection with the performance of the Contract as a subcontractor or vendor of Vendor, and also from (ii) any and all claims and losses accruing or resulting to any person, firm, or corporation that may suffer personal be injured or whose/which real or tangible property is damaged by the Vendor in the performance of the Contract, in each of cases (i) and (ii) that are attributable to the negligence or intentionally tortious acts of the Vendor, provided that the Vendor is notified in writing within 30 days from the date that the State has knowledge of such claims."	The State is willing to negotiate any NC general terms and conditions if the Vendor's includes the modifications in their proposal as stated in Section 2.3.
49.	Att. C NC General Terms and Conditions, Section 20	Would the State agree to clarify that the Vendor is responsible for the loss or damage to the State's real or tangible property and, as to Data, the cost to restore the State's most recent backup? Alternatively, if the State wishes to discuss specific language, would the State please confirm that it is open to the possibility of later discussions and negotiation which may result in a potential amendment of this specific provision of the Contract as per Section 2.3 of the RFP?	The State reserves the right to negotiate this term of the contract prior to contract award.

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Question #	Document Section	Vendor Question	State's Response
50.	Att. C NC General Terms and Conditions	Prior to contract execution, would the State be willing to negotiate a mutual, aggregate limitation of liability for each party (other than for damages arising from a party's recklessness or intentional misconduct and any other damages for which a limit is specifically not allowed by State law)? We would propose the use of the following example. However, in the event the State does not agree with our example, we ask that the State please confirm that it is open to the possibility of later discussions and negotiation which may result in a limitation of liability as per Section 2.3 of the RFP? "Each party shall not be liable to the other party for any claims, liabilities, or expenses relating to or in connection with this Contract or any statement of work ("Claims") for an aggregate amount in excess of the fees paid by the State to Vendor under such statement of work, except to the extent resulting from their recklessness, bad faith or intentional misconduct."	The State reserves the right to negotiate this term of the contract prior to contract award.
51.	Att. C NC General Terms and Conditions, Section	New Section – Disclaimer of Damages Would the State be willing to include a mutual disclaimer of consequential and punitive damages in the resulting Contract? We would propose the use of the following example. However, in the event the State does not agree with our example, we ask that the State please confirm that it is open to the possibility of later discussions and negotiation which may result in a disclaimer of consequential and punitive damages as per Section 2.3 of the RFP? "In no event shall a party be liable to the other party for any consequential or punitive loss, damage, or expense, relating to or in connection with this Contract or any statement of work."	The State reserves the right to negotiate this term of the contract prior to contract award.
52.	Section 4.9 Cost Proposal	Should this read: The rate that the Vendor will provide an staff accountant with expert qualifications that demonstrated success. Upper Rates as quoted in this RFP will preclude any Vendor from offering a rate for an auditor higher than the established upper rate in response to a soliciting agency's request for services.	The proposed rate provided by a Vendor will be the maximum rate that can be charged. The lower rate of for less experienced staff and the upper rate is for more experienced staff. The rate proposed will be the ceiling and vendor will not be able to charge soliciting agency high rates.

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Question #	Document Section	Vendor Question	State's Response
53.	Section 2.8 Proposal Contents/ Section 3.4 Evaluation Criteria	The proposal contents listed in section 2.8 require a response to RFP 5.4 (Project Staffing), but not to RFP 4.11 (Personnel). However, the evaluation factors in Section 3.4 state that personnel (RFP 4.11) will be evaluated and are silent on whether and how RFP 5.4 will be evaluated. Please clarify whether vendors should respond to 4.11 and/or 5.4 and how each will be evaluated.	See Response for Questions 12 and 13 above.
54.	Att. A Pricing Form	Would the State please consider allowing bidders to include additional Labor Categories, outside of base rate and upper rate for an auditor, audit supervisor and audit executive? Additional labor categories, particularly in between the base and upper rates, will provide the State with more flexibility in execution to tailor the qualifications of their teams to the specific SOW requirement.	Yes. See Section 1, Modification #5 (Attachment A: Cost Proposal Form), updated to reflect optional additional labor categories. Other professional staff – At their discretion, responding firms may include hourly rates for additional professional staff experienced in respective categories.
55.	Section 2.8 Proposal Contents	Please clarify where in the Sourcing Tool (Ariba) we should upload our response to Section 2.8 Proposal Contents, letter d ((d) Vendor's Proposal addressing all Specifications of this RFP: 4.4, 4.5, 4.6, 4.7, 4.8, 4.9, 5.4, 5.5, 6.1). We did not see a location specified in the tool.	The State has assigned specific sections for vendors to submit the completed RFP attachments. Any additional required documents should be uploaded in section 6.1 labeled "Return Solicitation Document" within the Ariba Sourcing Event, unless specified otherwise.
56.	ATT. G: CERTIFICATION OF FINANCIAL CONDITION	Should attachment G be added to the Evaluation Criteria table on page 12 and evaluated as pass/fail?	Although Attachment G is not part of the evaluation criteria, it is still required to be submitted along with the vendor's response to determine their level of responsiveness.
57.	Section 2.8 Proposal Contents	Would the State please provide Attachment E? It was not included with the Solicitation documents.	Attachment E Reference form has been added to section 6.3 of the sourcing event.
58.	Section 5.5 Technical Approach	Section 5.5. Technical Approach asks for "Key Personnel Qualifications - Education/Background, experience." This appears to be duplicative of what is required in sections 4.11 and 5.4. Would the State please clarify what is required for Key Personnel in section 5.5 and how it differs from section 4.11 and 5.4? Alternative, please state that the bidder can simply reference sections 4.11 and 5.4 in its response to section 5.5.	See responses for Questions 12 and 13 above.

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59.	Section 4.9 Cost Proposal	Please clarify how the 4 Services included in 4.9 Cost Proposal (Assurance Services, Accounting Services, Managerial Advisory Services, Data Analytics Services) relate to the 9 Service Categories included in Section 5.2 ((a) Operational Performance Audits...(i) Managerial Audit Services). Please also clarify how the 4 Services included in 4.9 Cost Proposal should be used in completion of Attachment A. Pricing Form.	Section 4.9 Assurance Services equates to the following service identified in Section 5.2: 1) operational/performance audits 2) investigation audits 3) compliance audits 4) information system audits 5) financial audits 6) risk assessments and Audit Plan Development Section 4.9 Accounting Services equates to Section 5.2 Accounting and Financial Services. Section 4.9 Managerial Advisory Services equates to Section 5.2 Managerial Advisory Services Section 4.9 Data Analytics Service equates to Section 5.2 Data Analytics/Continuous Monitoring
60.	General	My company is not based out of North Carolina and we plan on submitting a response to this RFP. I wanted to confirm if my firm can respond to this RFP as an out of state company?	Any vendor may submit a proposal for this solicitation.
61.	Section 5.2 References	I am reviewing your Excel spreadsheet and do not see attachment E? Alternatively, I can submit my own form with at least 5 references. I just want to make sure I am following the directions.	Attachment E Reference form has been added to section 6.3 of the sourcing event.
62.	Section 3.8 Proposal Contents	Item g, Attachment E: Customer Reference Form states that vendors are to include a, 'completed and signed version of Attachment E: Customer Reference Form.' There is not an Attachment E form issued. Can North Carolina Division of Purchase and Contract issue Attachment E: Customer Reference Form?	Attachment E Reference form has been added to section 6.3 of the sourcing event.
63.	Section 2.4 RFP Schedule	RFP Schedule lists August 22, 2023 @ 2:00pm ET as due date and time for vendors to submit proposals. The Ariba Sourcing portal lists August 21, 2023 @ 2:00pm ET as due date and time for vendors to submit proposals. Can North Carolina Division of Purchase and Contract confirm the day and time responses for this opportunity are due by?	The bid opening date was revised in Addendum #1. The bid opening is now scheduled for September 1, 2023 @ 2:00 PM. Any further modifications to the RFP schedule will be posted via an addendum posted in the Ariba Sourcing Tool.
64.	Att. A Pricing Form	The event indicates that the Pricing Form should be an Excel file, but it's a pdf. Should we provide the table from the pdf in an Excel file?	The Pricing form provided in the sourcing event is a PDF document.

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Question #	Document Section	Vendor Question	State's Response
65.	Att. A Pricing Form	Will NCDOA allow Vendors to submit additional roles (e.g., for Subject Matter Experts) and associated rates outside of the four roles (Staff Base/Upper Rate, Supervisor, Executive) listed within the pricing form?	At the end of Section 4.9 – “Other professional staff” can be added to any of the service categories.
66.	Att. C General Terms & Conditions	Can Vendors utilize offshore resources to support the scope of work listed in the solicitation?	It is possible depending on the specific set of circumstances in which offshore resources are being utilized.
67.	Exhibit 2: Example Auditor's Professional Qualifications	Within Exhibit 2: Example of Auditor's Professional Qualifications, most Base Rate qualifications require 2 or 3 years of experience within the service category. Are Vendors allowed to use resources that don't meet the minimum years of experience even if there is proper oversight of an individuals performance and quality of work?	Exhibit 2 are examples and not requirements. The expectation for rates are that less experience staff would garner a lower hourly rate and more experience staff would have a higher hourly rate.
68.	Page 21, para 5.2g. Financial Audit	Please clarify the narrative found in this section pertaining to Financial Audits. The summary statement opening this section reads "Independent financial statement audits to attest to the fairness and accuracy of financial statements are not within the scope of this RFP." However the text that follows appears to clearly define audit services as they are defined in relevant professional guidance. Please advise as to what services are envisioned by DOA under this category.	Financial audits can range from verifying information in program report is complete and accurate to verifying financial controls are working properly. Opining on the fairness of the financial statement for an agency is not part of this RFP.
69.	Exhibit 2: Example Auditor's Professional Qualifications	Please reconcile the service category for Construction Audits found on page 27, Exhibit 2, last row with the pages 19-22 - scope of work section. This category does not appear to be included in the RFP's scope section, please advise.	Construction audits are not a service category but will follow under compliance audits in Section 5.2 and Assurance audits in Section 4.9
70.	Section 4.10 Work Papers	Please confirm that bidders will be permitted to retain copies of work papers in order to comply with applicable professional standards (e.g. AICPA)	Per section 4.10a, Vendors shall not retain copies of any work papers unless the Vendor is required to comply with quality assurance review auditing standards and when the soliciting agencies agrees, in writing, to waive this requirement. Vendors required by the AICPA or a State governing body to maintain workpaper for external quality assurance review purpose will be allowed to retain copies but may not use any state data obtain during the scope of work, for any other purposes.

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Question #	Document Section	Vendor Question	State's Response
71.	Section 4.10 (c) Confidentiality and North Carolina General Terms and Conditions	Would the State please consider the negotiation of limited data disclosure to third party vendors who perform various administrative and clerical functions for the Firm?	The State reserves the right to negotiate this term of the contract prior to contract award.
72.	North Carolina General Terms and Conditions	Would the State consider the negotiation of a Limitation of Liability provision?	The State reserves the right to negotiate this term of the contract prior to contract award.
73.	Section 4.10 (Work Papers) and North Carolina General Terms and Conditions	Would the State please consider the negotiation of a mutually agreeable IP Ownership provision as it relates to any resulting contract? We would seek to protect our organization's intellectual property and allow for residual knowledge rights related to our services.	The State reserves the right to negotiate this term of the contract prior to contract award.
74.	North Carolina General Terms and Conditions	Would the State please consider the negotiation of a reasonable opportunity to cure for any material deficiencies which results in the Vendor's breach of contract?	The State reserves the right to negotiate this term of the contract prior to contract award.
75.	North Carolina General Terms and Conditions	Would the State please consider the negotiation of limited changes to the general indemnity provision which holds the Vendor responsible for third party claims related to death, bodily injury, or damage to tangible property?	The State reserves the right to negotiate this term of the contract prior to contract award.
76.	Section 5.2g Financial Audits	We understand that independent financial statement audits attesting to the fairness and accuracy of financial statements are not within the scope of this RFP. However, this service category requests "verification of the financial statements, or a component of the financial statement, of a legal entity with a view to express an audit opinion. The audit opinion is intended to provide reasonable assurance that the financial statements are presented fairly." Can you please provide further distinction between "independent financial statement audits" and "financial audits" related to the scope of services being requested? Or confirm if these services are all out of scope for this contract?	Financial audits can range from verifying information in program report is complete and accurate to verifying financial controls are working properly. Opining on the fairness of the financial statement for an agency is not part of this RFP.

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Question #	Document Section	Vendor Question	State's Response
77.	Section 2.3 & North Carolina General Terms and Conditions	13. ACCESS TO PERSONS AND RECORDS - we request the following change: "...the State Auditor and any Purchasing Agency's internal auditors shall have access to persons and records related to the Contract to verify accounts and data affecting fees or performance under the Contract, as provided in G.S. 143-49(9), upon reasonable advance written request."	The State reserves the right to negotiate this term of the contract prior to contract award.
78.	Section 2.3 & North Carolina General Terms and Conditions	6. GENERAL INDEMNITY - we request replacing Paragraph A with the following: "Provided that the Vendor is notified in writing within 30 days of the date that the State has knowledge of applicable claim, Vendor agrees to indemnify, defend and hold harmless the State (including, without limitation, its officers, directors, shareholders, employees, agents, successors, and assigns) from and against any and all claims, debts, liabilities, damages, demands, obligations, costs, expenses (including, without limitation, reasonable attorneys' fees and court costs), actions and causes of action arising from (a) the breach of any of the terms of the contract by Vendor or any party acting by or through Vendor (including, without limitation, any of its representatives); (b) the violation of any applicable law or regulations; or (c) a claim asserted by any third-party based on the negligence of the Vendor in the performance of the contract. This paragraph shall survive the termination of the contract including any renewal or extension thereof; provided, however, that the maximum aggregate liability of Vendor with respect to the indemnification obligations of this Contract shall not exceed the sum of ten million dollars (\$10,000,000.00)."	The State reserves the right to negotiate this term of the contract prior to contract award.
79.	Section 2.3 & North Carolina General Terms and Conditions	20. CARE OF STATE DATA AND PROPERTY - we request the following change: "The Vendor shall notify the State of any security breaches within 24 48 hours..."	The State reserves the right to negotiate this term of the contract prior to contract award.

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Question #	Document Section	Vendor Question	State's Response
80.	Section 2.3 & North Carolina General Terms and Conditions	28. FEDERAL FUNDS PROVISIONS, i) Access to Records, paragraph 1 - we request the following change: "Upon reasonable advance, written notice, The Vendor agrees to provide the Purchasing Agency, the Administrator of the federal agency providing funds hereunder, the Comptroller General of the United States, or any of their authorized representatives access to any books, documents, papers, and records of the Vendor which are directly pertinent to this Contract for the purposes of making audits, examinations, excerpts, and transcriptions."	The State reserves the right to negotiate this term of the contract prior to contract award.
81.	Section 4.10 Additional Requirements	d. Records Retention - we request the following change: "Record retention requirements shall be consistent with any pertinent regulatory or other requirements and records shall be maintained for a minimum of ~~ten~~ eight years.:	The State reserves the right to negotiate this term of the contract prior to contract award.
82.	Section 4.3 HUB Participation	Can the goal of 10% utilization be achieved with an MBE, WBE or Veteran firm?	The vendor is not required to meet the goal of 10%, but documenting the vendors status of small, minority, physically handicapped, and women contractors in purchasing Goods and Service or strategic plan, should be provided in the Attachment, to allow the State to pursue efforts for the State's goal of meeting the 10%.
83.	Section 4.9 Cost Proposal	Is the State seeking one rate for each professional level, to remain applicable for the duration of the five-year contract, or should bidders provide rates by level with applicable increases for each year?	Vendors must provide their best current hourly rates. Changes to the contract during its duration must be agreed upon by both the State and the Vendor and documented through written contract amendments.
84.	Section 5.1 General	Will the vendor be required to follow up on reported findings and recommendations?	The Vendor will only be required to conduct follow up work, if the soliciting agency requesting a quote includes follow up to recommendations in a scope of work.
85.	Attachment F, Location of Workers Utilized by Vendor	Attachment F indicates the State will evaluate the use of potential resources out of the U.S. Are you able to confirm whether the use of offshore resources will be allowed for this work? What percentage of the work can be estimated as needing to be done on-site at a State location vs performed remotely? I'm sure the nature of each audit will dictate that, but if there are no specific reasons (onsite physical observation of a data center for example) why on-site work would need to be performed is remote work acceptable?	Per Attachment F, The State will evaluate the additional risks, costs, and other factors associated with the utilization of workers outside of the United States prior to making an award. The State cannot estimate the proportion of on-site work versus remote work that is needed. The decision on whether remote work is acceptable shall be mutually agreed upon by the soliciting agency and the contracting vendor. Please refer to Exhibit 3 for more information.

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Question #	Document Section	Vendor Question	State's Response
86.	General Solicitation	Do you envision any of this work being performed as staff augmentation where the State will supervise the vendor's resources, or would all resources needed to perform work be supervised by the vendor's management and leadership team?	No. The purpose of this solicitation does not include scope for staff augmentation.
87.	Section 4.8 Financial Statements	Related to the disclosure of financial statements, we are a privately held limited liability partnership and do not routinely disclose firm financial information like most large CPA firms. The RFP indicates financials are worth 200 points. Is it acceptable to provide you our insurance for liability claims and our bank contact information if you feel the need to discuss our firm's financial stability? This approach was acceptable the last time we bid on this same contract and want to ensure we do not lose points under this method as our firm is financially stable.	Yes. Section 4.8(b)(1) requires the vendor to provide "...such other evidence that is accurate, reliable and trustworthy regarding the Vendor's financial stability."
88.	Att. A Pricing Form	If offshore resources are allowed to be used per the above question (#88), how would you like us to document those rates since there is no specific place for "Other" rates on the form and those rates would be lower than our staff base rate listed on the form?	Section 4.9 last paragraph can be applied to any service category and states: Other professional staff – At their discretion, responding firms may include hourly rates for additional professional advisory staff experienced in organizational operations, business administration, economic or revenue analysis and related managerial advisory tasks and functions. A vendor should list Off-shore staff and the applicable rates.
89.	Section 4.10a Additional Requirements	If the State requires us to draft audit reports for internal audit work, would those reports be on our firm's letterhead or State of NC letterhead for the respective agency or university the report pertains to?	Audit reports should be on the firm's letterhead.
90.	Section 4.3 HUB Participation	The RFP seems to indicate 10% is the goal for the usage of minority, women, and disabled businesses (historically underutilized businesses per the form). Can you confirm that is the goal of this RFP such that if my firm is not considered one of these types of organization that we should plan on subcontracting 10% of this work to firm that is classified as one of these types of organizations?	The vendor is not required to meet the goal of 10%, but documenting the vendors status of small, minority, physically handicapped, and women contractors in purchasing Goods and Service or strategic plan, should be provided in the Attachment, to allow the State to pursue efforts for the State's goal of meeting the 10%. For information about becoming a certified HUB vendor, please visit: https://ncad-min.nc.gov/divisions/historically-underutilized-businesses-hub/certifications

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Question #	Document Section	Vendor Question	State's Response
91.	Section 4.11 Personnel /5.0 Scope of Work	Many of our Internal Audit consultants can also do Managerial Advisory work since there is some overlap and crossover. Can you confirm it is acceptable to leverage some of the same individuals in multiple scope areas such as these provided those individuals possess the required skills?	Yes, this is acceptable.
92.	Section 5.0 Scope of Work	The RFP discusses Compliance audits and Financial Statement audits and seems to indicate that the vendor may be asked to perform these. Can you confirm contractual compliance (for example), but a formal opinion won't be required as an attest financial statement audit would these won't be considered attest audits, such that the vendor may test financial controls or controls related to?	Financial audits can range from verifying information in program report is complete and accurate to verifying financial controls are working properly. Opining on the fairness of the financial statement for an agency is not part of this RFP.
93.	Section 2.8 Proposal Contents	Indicates we need to complete Attachment E – Customer Reference Form, but this did not seem to be on the portal to download. As discussed in the pre-proposal conference, can you add to the portal?	Attachment E Reference form has been added to section 6.3 of the sourcing event.
94.	Section 5.5 Technical Response	Section 5.5 says we should provide a “description of each task and deliverable and the schedule for accomplishing each”. How would you like us to document this when no specific scope of work has been identified? Should we just provide a general description of how we typically perform an internal audit, forensic investigation, etc. for each in scope area?	Vendors are required to provide their organization and approach to accomplishing Sections 5.1 – 5.3, as the Scope of Work for conducting described type of audits, using their current business practices.
95.	Att. A Pricing Form	The rates listed are staff base rate, staff upper rate, supervisor, and executive. Can you confirm a staff upper rate would be similar to senior internal auditor and a supervisor would be similar to an internal audit manager role? Also, our firm, like many others, has a senior manager role. Can we document in the supervisor column on the form both a base rate for the manager role and an upper rate for a senior manager?	Do not deviate from the requirement in Att. A Pricing form. The prices provided are a ceiling rate. When a Vendor is responding to a request for quote from a soliciting agency, the rates provided in the quote may be lower but cannot be higher than the amounts provided in the Vendor's proposal. The Cost Proposal form has been updated to allow for additional position categories.

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Question #	Document Section	Vendor Question	State's Response
96.	Section 5.0 Scope of Work/Exhibit 2	Construction audit shows in Exhibit 2 and the Pricing Form but is previously not mentioned as a requested service in Section 5 of the RFP. Can you clarify if this is in scope of this RFP and if we need to provide rates and technical experience in this area?	Construction audits are not a service category but will follow under compliance audits in Section 5.2 and Assurance audits in Section 4.9
97.	General Solicitation	Does the Department of Information Technology in North Carolina provide the centralized governance standards that all other agencies in the state need to follow with regards to IT security, IT compliance, IT Systems Development and Acquisition, Baseline Configurations for Server Operating Systems and Databases, Identifying and Classifying their sensitive IT Systems and the frequency in which they are audited, etc.?	Yes.
98.	General Solicitation	Does North Carolina IT follow a particular governance standard for Information Technology and Information Security (e.g., NIST, ISO27001, other)?	You can view NC DIT Security, Privacy & Data Protection Policies & Forms here: State IT Policies NCDIT
99.	General Solicitation	Does North Carolina have IT Security governance standards in place that each state agency using Third Party vendor hosted or cloud-based systems must follow?	Yes. There are specific requirements and approvals needed for storing States data in cloud-based third party hosting sites. You can view NC DIT Security, Privacy & Data Protection Policies & Forms here: State IT Policies NCDIT
100.	General Solicitation	Does each North Carolina state agency support their own internal Infrastructure, or does the Department of Information Technology provide Managed Services IT support to state agencies?	It varies by agency but many cabinet agencies are supported by the Department of Information Technology (DIT) while most Council of State agencies are not supported by DIT and maintain their own infrastructure.
101.	SECTION 5.G.2 Financial Audits	Will the State provide more detail about the types of financial audits requested? Are previous audit results publicly available?	Financial audits can range from verifying information in program report is complete and accurate to verifying financial controls are working properly. Opining on the fairness of the financial statement for an agency is not part of this RFP. An agency's internal audit reports are subject to public records request.

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Question #	Document Section	Vendor Question	State's Response
102.	SECTION 2.8.B Proposal Contents	Can vendors provide proposal responses on their own letterhead and include the execution pages from the RFP, or must all responses be drafted and submitted within the RFP document?	All responses must include all execution pages, along with the body of the RFP (with response to all questions answered), along with any addenda and attachments required to be returned. Additionally, (See Section 2.8.d) vendors shall provide response to all free form response addressing required response on their own letterhead. All information should be uploaded to the Sourcing Tool. Failure to provide all required items or submitting incomplete items may result in the State rejecting their proposal.
103.	SECTION 5.0	Construction audit is listed in Exhibit 2 and Attachment A, but not in 5.0 Scope of Work. Can the State confirm if Construction Audit services are in-scope for this contract?	Construction audits are not a service category but will follow under compliance audits in Section 5.2 and Assurance audits in Section 4.9
104.	SECTION 4.3	Can the State confirm that the 10% HUB utilization is not required for this proposal response but rather for future responses to Request for Quotes under this contract?	The vendor is not required to meet the goal of 10%, but documenting the vendors status of small, minority, physically handicapped, and women contractors in purchasing Goods and Service or strategic plan, should be provided in the Attachment, to allow the State to pursue efforts for the State's goal of meeting the 10%. For information about becoming a certified HUB vendor, please visit: https://ncadmin.nc.gov/divisions/historically-underutilized-businesses-hub/certifications
105.	SECTION 4.11	Can the State confirm which labor categories it is evaluating in 3.4 Evaluation Criteria: Personnel (4.11)? Is the State evaluating the following labor categories per service category, as the Attachment A: Pricing Form suggests? a. Lower staff b. Upper staff c. Supervisor d. Executive	Pricing categories are not being evaluated for staff qualifications. For each service category in Section 5.2 that is included in a Vendor's proposal, the Vendor is responsible for providing information on staff qualifications that supports the ability to perform the specific service. Vendors may provide resumes for executives, supervisors (manager), or staff.
106.	SECTION 5.2.f	Can the State provide information about how many auditable areas are there and expectation of time to complete each audit?	The number of auditable areas is unknown. There are 38 State agencies and universities, 58 community colleges, 115 local education agencies and several regulatory boards that may use this state term contract. The time to complete each audit should be specified by the soliciting agency in the Request for Quotes/Scope Statement. Refer to Exhibit 3.

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Question #	Document Section	Vendor Question	State's Response
107.	SECTION 5.2.f	Does the State have personnel on staff to carry out some of the activities listed?	Soliciting agency requesting risk assessment and audit plan development may or may not have staff to carry out some of these activities. This would be indicated in the soliciting agency's Request for Quotes/Scope Statement.
108.	Section 4.5 References	Can the 5 projects be ongoing or do they have to be completed?	The projects may be ongoing.
109.	Section 4.4 a), Vendor Experience	May we provide a list of similar projects with client names and project titles, or does the State require short descriptions of each project as well? We will be submitting detailed project descriptions in our reference response.	Section 4.4 requires that Vendor demonstrate their experience with public and/or private sector clients with similar or greater size and complexity to the State. Vendor shall provide information as to the qualifications and experience of all executive, managerial, legal, and professional personnel that were assigned to similar projects. This information is different from what is requested in section 4.5.
110.	Section 4.7 a), External Reviews and Regulatory Action	Can we provide just the review letter and comments, not the whole report?	The Vendor must provide the opinion received and all deficiencies identified.
111.	Section 5.4, Project Staffing	May we provide a table with the names of consultants who may provide services, with columns indicating which service categories they would provide services for?	Yes. However, vendors must also provide information as to the qualifications and experience of audit, accounting, data analytics and managerial advisory personnel to be assigned to each of the service categories for which the Vendor submits a proposal.
112.	Section 5.5 Technical Approach	Does the state want a draft, detailed workplan for each service category, or would a more general description of our approach to each category be sufficient?	Vendors are required to provide their organization and approach to accomplishing Sections 5.1 – 5.3, as the Scope of Work for conducting described type of audits, using their current business practices. Vendors should provide a general description of the approach taken to complete each service category.
113.	Section 5.5 Technical Approach	What Key Personnel qualifications should be included in this part of our proposal? Is the State looking for principal, senior auditor, and project manager level qualifications?	Key personnel are individuals that have the responsibility for ensure milestones, deadlines and/or accomplishment of project objectives are achieved.
114.	General Solicitation	Due to technical issues with the eVP and Ariba systems, we were not able to access the Ariba event with the attachments and additional instructions until 7/31. Would the State consider extending the proposal due date to August 29th?	The proposal due date and bid opening has been changed to September 1, 2023.
115.	Exhibit 2	For the Qualifications listed in Exhibit 2, do these apply to all personnel working on the project or can they apply to only some?	These are examples that may relate to some personnel.
116.	Section 5.2e, Data Analytics /Continuous Monitoring	Are the firms providing Data Analytics services required to have audit experience?	No, firms providing data analytic skills are not required to have audit experience.

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Question #	Document Section	Vendor Question	State's Response
117.	General Solicitation	Will the State favor vendors that can provide all of the service categories?	All qualified proposals will be assessed by the State according to the evaluation criteria and requirements stated in the RFP. The State will award based on what is deemed most advantageous for the State.
118.	Section 4.6 Legal Right to Practice in NC	Could the State kindly provide clarification on the requirements specified under Section 4.6? Specifically, we seek clarification on whether vendors are obligated to furnish one of the mentioned points or if vendors are required to provide all of them.	The Vendor must demonstrate it is legally authorized to practice in North Carolina. One item on the list would validate this legal right.
119.	Exhibit 3	Under section 11 COST (AND PROJECT HOURS), could the State please clarify how they want vendors to address column "Number of Staff"?	. Exhibit 3 will only be completed once a soliciting agency request a quote for services. The number of staff would be the full-time equivalent. Example: Vendor provides one full-time and one-part time staff to work on the projects continually, staff = 1.5
120.	Exhibit 3	Under section 11 COST (AND PROJECT HOURS), could the State please clarify if vendors have to provide the number of resources, they are proposing in column "Number of Staff"?	Additional clarification should be inquired of the soliciting agency.
121.	Section 5.4 Project Staffing	Could the State please clarify if they must provide actual or sample resumes? If actual resumes are required, can we replace these resources at the task order level if they are not available?	Vendors must show how staff qualification and if these staff leave the Vendor's employment or do not have capacity, staff of similar years and experience may take their place.
122.	Section 4.9 Data Analytics Service	Data Analytics Service, it says, "Other Professional Staff" Could the State please clarify what information or positions the State wants vendors to provide?	Section 4.9 last paragraph can be applied to any service category not just Data Analytics. The State is providing Vendors the opportunity to provide additional staff to the approved list. These would be subject matter experts such as economic or revenue analysis for data analytics or an organizational behavioral specialist for operational/performance audits.
123.	Section 4.9 Data Analytics Service	Data Analytics Service, it says "Other Professional Staff" could the State please clarify if vendors can provide any Data position under this category?	Section 4.9 last paragraph can be applied to any service category not just Data Analytics. The State is providing Vendors the opportunity to provide additional staff to the approved list. These would be subject matter experts such as economic or revenue analysis for data analytics or an organizational behavioral specialist for operational/performance audits
124.	Section 4.8 Financial Statement	Could the State please clarify if vendors only have to provide one of these points, not all?	Yes, just one of the points.

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Question #	Document Section	Vendor Question	State's Response
125.	Section 4.7 External Reviews and Regulatory Action	Could the State please clarify if vendors who can provide point b but not point a are still eligible to bid on this solicitation?	Only vendors required by the AICPA are required to meet 4.7a. Vendors not required to obtain a peer review must 4.7b and fully describe the system of quality controls.
126.	Section 5.2 d Information Systems Audits	Could the State please clarify if they are looking for vendors to provide IT Staff Augmentation services to recruit the positions once the contract is awarded, or is the State looking for a vendor who has In-house personnel to fill the positions required?	Soliciting agency will drive the types of services needed. Agencies may solicit for a turn-key IT audit where the Vendor is responsible for planning, testing and report writing.
127.	Section 5.2 d Information Systems Audits	Could the State please clarify if this solicitation is for IT Staff Augmentation services or deliverable-based project services?	Deliverable based project services only.
128.	Section 4.3 HUB Participation	Could the State please confirm if it is mandatory to use a HUB subcontractor to bid on this solicitation?	It is not mandatory to use a HUB subcontractor.
129.	Section 4.5 References	Could the State please confirm if vendors can provide ongoing contracts as references?	Vendors may provide references for on-going contracts.
130.	General Solicitation	Could the State please confirm if this a new contract? If not, could the State please share the incumbent names?	The State is seeking to establish a new Statewide Term Contract (STC). Information regarding vendors on the current STC can be found here .
131.	Section 4.9 Cost Proposal	For the upper rate information systems auditor, can equivalent experience (such as 8 years) be substituted for a Master's degree?	Section 4.9 for assurance audits upper rate states: The maximum rate that the Vendor will provide an auditor with expert qualifications that demonstrated success. Upper Rates as quoted in this RFP will preclude any Vendor from offering a rate for an auditor higher than the established upper rate in response to a soliciting agency's request for services. Exhibit 2 provides examples only.

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Check **ONLY ONE** of the following options and return one properly executed copy of this Addendum prior to the Solicitation opening time and date.

- ☐ A response was submitted prior to this Addendum. An updated response has been submitted to address the changes resulting from this Addendum.
- ☐ A response was submitted prior to this Addendum. **NO CHANGES have resulted** from this Addendum.
- ☒ A response was **not** submitted prior to this Addendum. **ANY CHANGES resulting** from this Addendum are included in our response.

ALL OTHER TERMS AND CONDITIONS REMAIN THE SAME


Authorized Signature

9/5/2023

Date

Raminder Singh
Printed Name

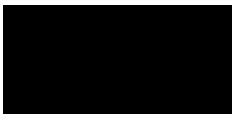
President/CEO
Title



SOLCITATION ADDENDUM

Issuing Agency:	Division of Purchase and Contract
Solicitation Number:	DPC-646236801-MT
Solicitation Description:	Supplemental Internal Audit Services
Solicitation Opening Date and Time:	August 29, 2023 @ 2:00 PM ET
Addendum Number:	02
Addendum Date:	August 17, 2023
Purchasing Agent:	Melinda Tomlinson

Due to the volume and complexity of questions received, the State requires additional time to provide responses. Any updates or modifications will be posted as an addendum in the Sourcing Event.



Raminder Singh

9/5/2023

President/CEO

C. PROPOSAL ADDRESSING ALL SPECIFICATIONS

C.1 VENDOR EXPERIENCE

CCS' Background

Founded in 1997, California Creative Solutions Inc. (dba. CCS Global Tech) is a Microsoft Solution Partner (Data & AI, and Azure) headquartered in Poway, California, with global footprints (through our offices in the UK, Canada, India, and Costa Rica).

CCS Global Tech brings more than two decades of rich experience providing specialized Data Analytics, Data Warehousing, Data Architecture, Data Integration, Visualization, Data Management and Maintenance, Cloud Services, and much more to our Commercial and Government clients.

We specialize in Microsoft Business Intelligence technologies. We are experts in providing Microsoft SQL database support services from data modeling, data warehousing, SQL Server Integration Services, SQL Server Analytical Services, SQL Server Reporting Services, and eventually using tools like Tableau and Powerbase for reporting purposes. We have been providing similar services to different commercial and government clients like Cap Metro (TX), the City & County of San Francisco, Rent, Thomson Reuters, Ross Stores, etc.

With over 700 employees, CCS is a distinguished MBE-certified firm known for extensive experience and expertise in a full spectrum of Data Services.

We have successfully undertaken numerous projects where we were pivotal in supporting key stakeholders in identifying and implementing transformative technological solutions for their intricate data ecosystems. We understand the uniqueness of data in each industry, ensuring our processes are highly agile and flexible. CCS has matured its processes over the years across each aspect of our service offerings, allowing us to provide the most customized and comprehensive data warehousing solution for each one of our clients. (See **Exhibit 1**: 360-degree view of CCS' Data Service Offerings).

Why CCS?

- ✓ Data Warehouse by CCS for CapMetro has been awarded **Best of Texas Award**.
- ✓ **Partnerships:** Microsoft Solutions Partner (Data & AI), Snowflake, Denodo certified.
- ✓ ISO 27001 Certified.
- ✓ SOC 2 Certified.
- ✓ **Bootcamp:** We have a team of Certified instructors who train employees through our boot camp program in several technologies.
- ✓ Over 300 Data Migrations in the past 5 years.
- ✓ 100 +Clients (Government & Commercial).
- ✓ Over 350 W2 employees and a consistent talent pool of 98K+ consultants.

Data Warehouse

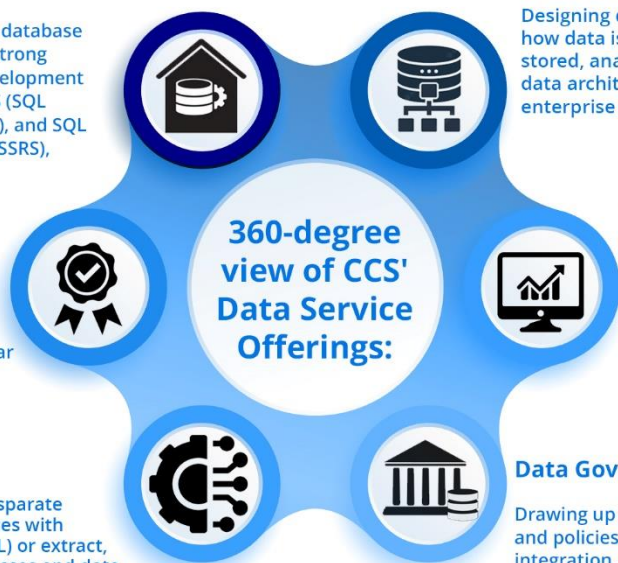
Data management quality, database design and development. Strong experience in software development with SQL Server/SSMS, SSIS (SQL Server Integration Services), and SQL Server Reporting Services (SSRS), Tableau and Snowflake.

Data Quality Management

Data cleansing activities, data enrichment and regular data quality assurance.

Data Integration

Consolidating data from disparate internal and external sources with extract, transform load (ETL) or extract, load, transform (ELT) processes and data virtualization.



Data Architecture

Designing data architecture to govern how data is captured, integrated, stored, analyzed and used. Auditing data architecture to align it with the enterprise strategy.

Data Visualization/ Analytics

Our Data Analytics & Visualization Service offers expert data analysis to extract valuable insights and trends. Through visual representations like charts and dashboards it helps clients make informed decisions, optimize processes, & gain a competitive edge.

Data Governance

Drawing up data governance standards and policies to ensure data availability, integration, quality, security, proper usage, etc. Evaluating the existing data governance standards and policies.

Exhibit 1 CCS' Data Service Offerings

CCS specializes in delivering successful data analytics projects similar to the ones requested in this solicitation. As a testament to our unwavering commitment to successful project delivery, we are delighted to share that we have been honored (June 29, 2023) with the prestigious award for Best of Texas Award for the CapMetro Digital Transformation. This award showcases our ability to transform businesses by leveraging cutting-edge technologies and implementing innovative strategies. We firmly believe that this recognition further validates our expertise in delivering on transformative projects and reinforces our position as a trusted partner for organizations seeking to harness the power of data.



Best of Texas Award

Enterprise Data Analytics Platform -
CapMetro (June 29, 2023)

The table below shows a list of recent/current data projects.

Client Name	Project Name
Capital Metropolitan Transportation (CapMetro), TX	Data Warehouse and Business Intelligence Solution Implementation (DW/BI Implementation)
Anthology (Education)	Data Migration
Santa Clara Valley Transportation Authority	Data Warehouse Integration
Ross Stores, Inc	Inventory Management Efficiency with Data Analytics
Prominent Mortgage Company	Streamlining Reporting Capabilities via a Centralized Data System and Oracle BI Tools
Rent	Data Management and Report Creation
Thomson Reuters	Data Management

CCS' Qualifications

CCS brings unique benefits that make us the most suitable firm to provide services to the State of North Carolina under this contract. Find below some benefits that demonstrate part of our commitment and experience to provide services to our clients.

- **Deep Expertise and Diverse Skill Set:** The team members at CCS possess a wide range of expertise and skills that are highly relevant to the project requirements. With extensive experience in data services, project management, software development, business strategy, and more, our team brings diverse capabilities to effectively address the project's challenges.
- **Proven Track Record:** CCS has a strong track record of successful project execution, demonstrated by our past engagements and client testimonials. We have consistently delivered high-quality results within the specified timelines and budgets, showcasing our commitment to excellence and customer satisfaction.

Below are a few examples of positive outcomes from our customers where we have implemented data projects.

 Capital Metropolitan Transportation Authority, TX	Project: Data Warehouse and Business Intelligence Solution Implementation Outcomes: • Low Maintenance Solution. • Affordable pay-as-you-use approach. • The technical effort to maintain and grow the platform was reduced. • Replaced its email-based spreadsheet reporting system with a modern platform where all employees can access, filter, and interact with reports in real-time. • Improved data quality as well and reduced data latency by 96%.
 Santa Clara Valley Transportation Authority	Project: Data Warehouse Integration Outcomes: • Streamlined access to operational and financial metrics. • Advanced financial modeling and forecasting. • Democratization of operational analytics.
 anthology Anthology	Project: Data Migration Outcomes: • Effective data transfer. • Created more control over enterprise reporting. • Facilitated a data-driven culture. • Established process standardization, metric tracking, documentation, and operation reviews.

	• The data transitioned to the new system smoothly and securely, ensuring no compromise in completeness or accuracy. • Scalability and flexibility: Moving to a cloud-based infrastructure positioned Anthology's customers for future growth and needs. The system can scale and flex to meet new data sources, volumes, and requirements. • Enhanced Analytics Capabilities: Anthology's customers could analyze business insights, trends, patterns, and outliers in real-time, which helped them make data-driven decisions to improve overall performance and efficiency.
RentPath Rent	Project: Data Management and Report Creation Outcomes: • No issues with production support. • IT System working smoothly and efficiently. • Business growth and development. • Cost reductions.

- **In-Depth Understanding of the Projects:** Our team thoroughly understands the demands posed by ongoing education projects. We are experienced in providing similar services and managing multiple projects simultaneously. This knowledge enables us to seamlessly integrate new initiatives and efficiently manage our workload, ensuring timely project delivery.
- **Effective Project Management:** Our dedicated project management team excels in planning, organizing, and executing complex projects. Our project managers are adept at resource allocation, tracking progress, managing budgets, and meeting deadlines. With our robust project management methodologies and tools, we ensure transparency, accountability, and effective communication throughout the project lifecycle.
- **Collaborative Approach:** CCS believes in fostering strong partnerships with our clients. We emphasize open communication, active collaboration, and a client-centric mindset. By working closely with the State of North Carolina stakeholders, we ensure alignment with their goals and objectives, leading to a more successful and tailored project outcome.
- **Access to Technical Resources:** CCS has access to a network of technical resources and support personnel who can assist in performing the required work on schedule and within budget. We leverage our extensive industry connections and partnerships to access specialized skills and expertise whenever needed, ensuring the project benefits from the best available resources.
- **Skilled Resources:** We have a team of over **350 W2 employees**, covering diverse skill bases, job categories, and Industry-specific expertise. This experience makes us confident that we have the required skills to support The State of North Carolina. We have Certified professionals in the following categories:
 - ✓ Microsoft Certified Data Engineers
 - ✓ Microsoft Certified Data Scientist
 - ✓ Microsoft Certified Data Analysts

- ✓ Microsoft Certified Database Administrator
- ✓ Microsoft Certified Solution Architects
- ✓ Snowflake Certified Data Engineers and Analysts
- ✓ Tableau Certified Desktop Specialist
- ✓ Tableau Certified Data Analyst
- ✓ Tableau Certified Consultant

CCS' Experience with public and/or private sector clients similar to the State.

CCS Global Tech has fostered enduring relationships with numerous state and local government agencies, substantiated by **60+ awarded Master Service Agreements (MSAs)**. These MSAs are a testament to our unwavering commitment to delivering successful outcomes and our reputation as a trusted partner in the government sector. Through our extensive experience working with government clients, we have gained a comprehensive understanding of the intricacies and unique requirements governing public sector projects.

Our track record of successful deliveries on government projects showcases our expertise in navigating the complexities of governmental regulations, compliance standards, and procurement processes. This unparalleled understanding enables us to streamline project implementation, minimize risks, and ensure compliance with stringent governmental guidelines. Moreover, our team possesses an in-depth knowledge of government-specific frameworks. This expertise empowers us to develop robust data solutions that adhere to the highest security standards while fostering efficient data management and utilization.

With our extensive experience and profound understanding of government projects, we strategically position ourselves to support the State of North Carolina in achieving its objectives with utmost precision. Our proven ability to deliver exceptional results in the government sector reinforces our position as a preferred partner for government initiatives. With Team CCS's comprehensive understanding of government operations and our unwavering commitment to excellence, we stand ready to provide the State with tailored data solutions that align with its unique needs and drive transformative outcomes. **Exhibit 2** provides an overview of our clients.

State Clients	
▪ State of North Carolina ▪ State of California ▪ State of Texas ▪ State of Oklahoma ▪ State of Maryland ▪ State of Florida ▪ State of Kansas	▪ State of Vermont ▪ State of Louisiana ▪ State of Montana ▪ State of Ohio: DBITS ▪ State of Minnesota ▪ State of Washington ▪ State of South Carolina

Government Clients	
- City and County of San Francisco, CA - County of Santa Clara, CA - County of San Mateo, CA - County of Westchester, NY - Hennepin County, MN - Wayne County, MI - Campbell County, VA - Miami Dade County, FL - Clark County, NV - County of Ramsey, MN - City of Chesapeake, VA - City of Miami Beach, FL - City of Tacoma, WA - City of Milwaukee, WI - City of Phoenix, AZ - City of Redmond, WA - METRA, IL - University of Washington - Texas A& M University	- Maryland Health Benefit Exchange - Washington Department of Corrections - Community Transit, WA - Metropolitan Council of Government, WA - Metropolitan Nashville Public Schools, TN - Los Angeles Unified School District, CA - School Board of Broward County, FL - Jefferson County Public Schools, CO - School Board of Miami Dade County, FL - Goodbuy Purchasing Cooperative, TX - Baltimore County Public Schools, MD - Wayne County Airport Authority - City Colleges of Chicago - Fort Bend Independent School District, TX - St. Charles Community College, MO - Judicial Council of California - Lansing Board of Water and Light, MI
Commercial Clients	
Capital Insurance Group, Thomson Reuters, Phone.com, Mission Staff, KPMG, Apex Systems, Cap Gemini, Crescent solutions, TEKsystems, Eliassen, GDH, DISYS, VPSie, Accion Labs, Modis, NTT Data, Palmer Group, Paragon IT Professionals, Randstad, Beacon Hill Technologies, Sogeti USA, Hyundai Capital, Toyota, Mazda, Toyota Financial Services, Deutsche Bank, Capital Group, CU Direct, AAA, Ocean Media, CenterPoint Energy, Infosys, LabCorp, Edwards Lifesciences, Cryoport System, Beachbody on demand, BECU Credit Union, T-Mobile, Dell, DocuSign, Compunnel, Eteam, McDermott Bull, Wisemen	

Exhibit 2 CCS' Client Snapshot

At CCS Global Tech, we understand that Data Analytics with data accuracy and Integrity is key to informing critical Management decisions. We take Data Quality very seriously, and our processes are carefully set up to take advantage of the latest innovations in Data Analytics/visualization, helping our clients to analyze that data and make the best out of it. We identify bugs, perform root cause analysis, and report them at the early stage of SDLC to reduce the cost and time based on those analyses. We perform data profiling/data mining to better understand the trends and patterns of data and identify any source data bugs. We compare data from different data sources with different formats/structures to the target systems per the business rule. On relational databases, we run extensive SQL queries on huge volumes (terabytes) of data to identify anomalies.

To deliver the best Data Analytics and Insights to our clients, CCS Team works directly with stakeholders to identify key metrics and desired outcomes that are relevant to the organization. We use advanced data analytics techniques and tools to generate insights that will help clients make

data-driven decisions. Our analytics services are customized to meet specific client needs, and we provide regular reports and updates to ensure that our clients are always up-to-date with the latest insights. Also, the CCS team works with the client to establish robust data management and governance processes that ensure data accuracy, consistency, and security. We also provide ongoing support and training to the team to ensure they are equipped with the necessary skills to manage and govern data effectively. CCS' predictive analytics services help clients anticipate future trends and identify potential risks and opportunities. We use machine learning algorithms to analyze client data and provide insights that help make informed decisions. Our predictive analytics services are highly customizable, and we work with the client to ensure that they meet their specific needs.

Below are examples of a few projects where we have delivered similar services as required by the State.

Project 1

Client: [REDACTED]

Contract: [REDACTED]
[REDACTED]

Contract Value: [REDACTED] **Contract Period:** [REDACTED]

Description of Services:

Client Requirements

[REDACTED]
[REDACTED]
[REDACTED]
[REDACTED]

What We Did

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Results

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Project 2

Client: [REDACTED]	
Contract: [REDACTED]	
Contract Value: [REDACTED]	Contract Period: [REDACTED]
Description of Services:	
 <u>Client Requirements</u>	
[REDACTED]	
[REDACTED]	
■ [REDACTED] ■ [REDACTED]	
[REDACTED]	
 <u>What We Did</u>	
[REDACTED]	
[REDACTED]	

-
- | Response | Percentage |
|-----------------------------|------------|
| U.S. should take action | 85% |
| U.S. should not take action | 15% |



Results

-
- | Government | Percentage |
|---------------------|------------|
| Current government | 100% |
| Previous government | 0% |

Project 3

Client: [REDACTED]

Contract: [REDACTED]

Contract Value: [REDACTED]

Contract Period: [REDACTED]

Description of Services:



Client Requirements

[REDACTED]
[REDACTED]
[REDACTED]

- [REDACTED]
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- [REDACTED]
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What We Did

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Results

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[REDACTED]
- [REDACTED]
[REDACTED]

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	[REDACTED]
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	[REDACTED]
	[REDACTED]
	[REDACTED]

Project 4

Client: [REDACTED]	
Contract: [REDACTED]	
Contract Value: [REDACTED]	Contract Period: [REDACTED]
Description of Services:	
 <u>Client Requirements</u>	
[REDACTED]	
[REDACTED]	
[REDACTED]	
[REDACTED]	
[REDACTED]	
[REDACTED]	
 <u>What We Did</u>	
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	[REDACTED]
 <u>Results</u>	
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✓ [REDACTED]
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■ [REDACTED]
■ [REDACTED]
[REDACTED]

Project 5

Client: [REDACTED]

Contract: [REDACTED]
[REDACTED]

Description of Services:

 Client Requirements

[REDACTED]
[REDACTED]
[REDACTED]

[REDACTED]
[REDACTED]
[REDACTED]

 What We Did

- [REDACTED]
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- [REDACTED]
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 Results

[REDACTED]

■	[REDACTED]
■	[REDACTED]
■	[REDACTED]
■	[REDACTED]
■	[REDACTED]
■	[REDACTED]

Project 6

Client: [REDACTED]

Contract: [REDACTED]

Description of Services:

[REDACTED]
[REDACTED]
[REDACTED]
[REDACTED]



Client Requirements

[REDACTED]

- [REDACTED]
[REDACTED]
- [REDACTED]
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[REDACTED]
- [REDACTED]
[REDACTED]



What We Did

[REDACTED]
[REDACTED]

- [REDACTED]
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- [REDACTED]
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- [REDACTED]
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[REDACTED]



Results

[REDACTED]

- [REDACTED]
[REDACTED]
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[REDACTED]
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Conclusion:

[REDACTED]
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[REDACTED]
[REDACTED]
[REDACTED]

Project 7

Client: [REDACTED]
Contract: [REDACTED]

Contract Value: [REDACTED] Contract Period: [REDACTED]

Description of Services:



Client Requirements

[REDACTED]

- [REDACTED]
- [REDACTED]
- [REDACTED]
- [REDACTED]
[REDACTED]
[REDACTED]



What We Did

[REDACTED]

- [REDACTED]
- [REDACTED]
- [REDACTED]
- [REDACTED]
- [REDACTED]
- [REDACTED]
- [REDACTED]



Results

- [REDACTED]

For the experience and qualifications of our key personnel on the above-mentioned projects, please see section C.7 **Project Staffing**.

C.2 REFERENCES

Reference 1	
Client Name	[REDACTED]
Project Name	[REDACTED]
Contact Information	Name: [REDACTED] Title: [REDACTED] Email: [REDACTED] Phone: ([REDACTED])
Scope of Work	[REDACTED] [REDACTED] [REDACTED] [REDACTED] [REDACTED] [REDACTED] [REDACTED] [REDACTED]
Contract Value	[REDACTED]
Contract Period	[REDACTED]

Reference 2	
Client Name	[REDACTED]
Project Name	[REDACTED]
Contact Information	Name: [REDACTED] Title: [REDACTED] Email: [REDACTED]



Reference 3	
Client Name	[REDACTED]
Project Name	[REDACTED]
Contact Information	Name: [REDACTED] Title: [REDACTED] Email: [REDACTED] Phone: [REDACTED]
Scope of Work	[REDACTED] [REDACTED] [REDACTED] [REDACTED] [REDACTED] [REDACTED] [REDACTED]
Contract Value	[REDACTED]
Length of time	[REDACTED]

PAGE 20

Scope of Work	[REDACTED]
Contract Value	[REDACTED]
Length of time	[REDACTED]

Reference 5	
Client Name	[REDACTED]
Project Name	[REDACTED]
Contact Information	Name: [REDACTED] Title: [REDACTED] Email: [REDACTED] Phone: [REDACTED]
Scope of Work	[REDACTED]
Contract Value	[REDACTED]
Length of time	[REDACTED]

CCS' North Carolina Contracts

CCS currently has a contract with the State of North Carolina under CAI for the IT Supplemental Staffing Program.

Contract Number	ITS-009440
Contract Duration	5 Years (2020-2025)

C.3 LEGAL RIGHT TO PRACTICE IN NORTH CAROLINA

CCS has the legal right to practice in North Carolina. Please find CCS' North Carolina license to do business on the following page.



NORTH CAROLINA

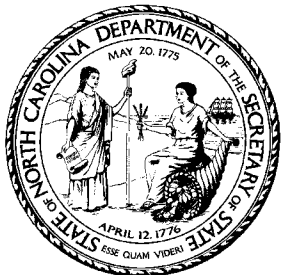
Department of the Secretary of State

CERTIFICATE OF AUTHORITY

I, ELAINE F. MARSHALL, Secretary of State of the State of North Carolina, do hereby certify that

CALIFORNIA CREATIVE SOLUTIONS, INC.

having filed on this date an application conforming to the requirements of the General Statutes of North Carolina, a copy of which is hereto attached, is hereby granted authority to transact business in the State of North Carolina.



Scan to verify online.

IN WITNESS WHEREOF, I have hereunto set my hand and affixed my official seal at the City of Raleigh, this 29th day of August, 2022.

Elaine F. Marshall

Secretary of State

C.4 EXTERNAL REVIEWS AND REGULATORY ACTION

- a. *In its proposal response, Vendor shall provide a copy of its most recent external peer/quality assurance review report and any letter of comments or similar correspondence describing deficiencies noted in the peer review. The vendor must have received an unqualified opinion on its system of quality control and the peer review must have been performed within the last three (3) years. The Vendor's failure to provide an external peer/quality assurance review report and any letter of comments or similar correspondence describing deficiencies will result in the rejection of the Vendor's proposal. Vendors are encouraged to explain any deficiencies described in the above-mentioned documents and to provide documentation supporting those explanations.*

CCS is currently in the process of achieving SOC2 compliance, and as a result, we are working towards obtaining an Independent Assurance report with a Qualified opinion. We are also in the process of getting certified with ISO 9001 (Quality Management).

The remainder of this page has been intentionally left blank. Please find attached the bridge letter for SOC2 Type 2 compliance (expected audit by Dec 2023) on the following page.

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- b. *Vendors not subject to the American Institute of Certified Public Accountants external review requirements must provide detailed information regarding all aspects of the Vendor's formal internal quality control program/process. This should include but is not limited to: quality control policies and procedures; any independent evaluation or self-assessment of the quality control program; summary results of client surveys; or any other data supporting the success of the quality control process.*

CCS is AICPA SOC2 Type 1 Compliant and ISO 27001.

The remainder of this page has been intentionally left blank. CCS' SOC2 Type 1 Compliance report and ISO 27001 certificate are on the following pages.



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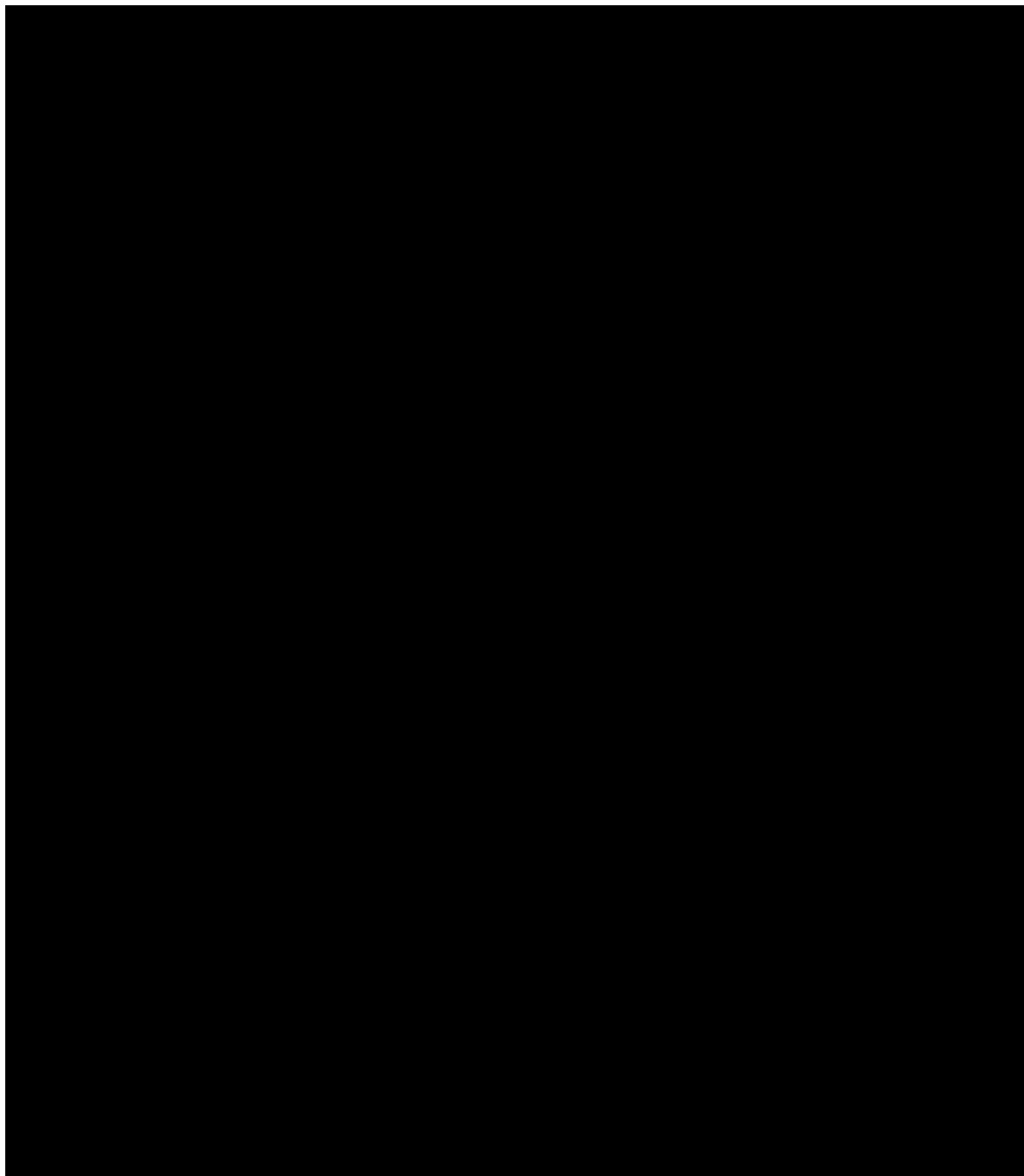
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- c. *In its proposal response, Vendor shall include a statement asserting whether or not any regulatory sanctions have been levied against it or any of its partners, officers, directors, employees, or agents by any state or federal regulatory agencies within the last three (3) years. As used herein, the term “regulatory sanctions” includes the revocation or suspension of any license or certification, the levying of any monetary penalties or fines, and the issuance of any written warnings. If any such action has been taken, the Vendor shall include a complete description of the action and the circumstances that resulted in the action.*

No regulatory sanctions have been levied against CCS or any of its partners, officers, directors, employees, or agents by any state or federal regulatory agencies within the last three (3) years.

- d. *In its proposal response, The Vendor shall include a statement asserting whether or not any regulatory investigations are pending against the vendor or any of their officers, directors, employees, and agents by state or federal regulatory agencies. If any such investigations are pending, the vendor shall include a complete description of the pending investigation.*

No regulatory investigations are pending against the vendor or any of their officers, directors, employees, and agents by state or federal regulatory agencies.

- e. *In its proposal response, Vendors shall include a statement certifying it has no outstanding liabilities to the Internal Revenue Service, other government entities or unpaid final judgments for which it remains liable.*

CCS does not have any outstanding liabilities to the Internal Revenue Service, other government entities, or unpaid final judgments.

C.5 FINANCIAL STATEMENT

The remainder of this page has been intentionally left blank. Please find attached CCS’ financial statements on the following pages.

C.6 PERSONNEL

As per Addendum 03 released by the State of North Carolina, this section is no longer required within the response. Please find our personnel qualifications and experience in Section **C.7 Project Staffing**.

C.7 PROJECT STAFFING

After carefully reviewing this contract's requirements, CCS proposes the following key personnel. All proposed key personnel are CCS employees. We commit that our proposed key personnel are available now and will see the project through to completion, thus helping the State maintain continuity. In case, upon award, they are unavailable, we will provide personnel of equal qualification and experience.

Executive

- ✓ **Mark Hunsicker- Sr. VP Account and Partnership Management:** Mark Hunsicker is an executive with extensive experience in the semiconductor industry, with the general manager and vice president of product management experience. He holds an MBA in Business Administration and is responsible for driving alliances and partnerships supporting CCS Global Tech's government clients. Mark has successfully ensured contract compliance with clients such as CapMetro, Lansing Board of Water and Light, and Thomson Reuters. For the State, Mark will ensure contract compliance, the experience of personnel assigned, and the satisfaction of work completed.
- ✓ **Nishant Mishra- Delivery Head:** Nishant is a Business Intelligence and Azure Specialist with strong project management and Analytical skills. He has managed and executed BI projects comprising a wide variety of international markets and spanning various industries. He holds a Master's in Business Administration, Information Technology, and Marketing Research. He is currently responsible for designing sophisticated Business Intelligence (BI) Solutions using MS BI stack, implementing ETL Strategies, and Data Mining, among other projects.

Supervisor

- ✓ **Nitin Gupta- Data Engineering Lead:** Nitin Gupta is an accomplished Data Engineering Lead known for his analytical prowess and solution-oriented approach. With a rich background in business intelligence solutions, he excels in shaping application visions, refining roadmaps, and delivering results. Nitin's expertise shines in Azure transformation projects and architectural decision-making, where he adeptly leverages Azure Data Factory (ADF) and SQL Server Integration Services (SSIS) to implement ETL and data movement solutions. His proficiency extends to SQL Server principles, database design, and Transact-SQL development, enabling him to efficiently manage and manipulate data. Nitin's forte lies in building ETL architectures and source-to-target mapping for data warehousing, ensuring the delivery of scalable, high-performance data engineering solutions.

- ✓ **Gayathri P Janagama- Data Visualization Lead:** Gayathri is a highly skilled Data Visualization Lead with a decade-plus experience in Reporting and business Intelligence (BI), holding a Microsoft Certified Solutions Associate (MCSA) certification. She excels in Data Modeling, Database Design, and Client-Server Application development. Gayathri's expertise spans MS SQL Server, including SSIS, SSAS, SSRS, and Power BI, across various industries. Her key strength lies in Data Visualization, with a focus on Power BI, where she crafts interactive visualizations using DAX. She's proficient in Power BI deployment and ensures data security.

Data Analytics Staff

- ✓ **Raju Nath- Solution Architect:** Raju is a seasoned Solution Architect with 15+ years of diverse experience, both onshore and offshore. He's renowned for his ETL Project Solution Architecture expertise, collaborating with prestigious clients like Citigroup, Bank of America, and others. Raju's skills encompass team leadership, cost optimization, DataStage implementation, and Master Data Management. His extensive background spans industries like Retail, Banking, Healthcare, and more. He's well-versed in Data warehousing, including Star and Snowflake schemas, and has a strong grasp of Snowflake cloud data warehouse and cloud technologies.
- ✓ **Bet Sackey - Data Analyst:** Bet has over six years of experience in the IT Industry. Bet excels in regression analysis, T-SQL queries, and SQL database development. He is skilled in data modeling, SQL performance tuning, and data validation using SSIS. Bet brings substantial experience in data preprocessing and building interactive web-based solutions. His expertise extends to business strategy implementation for operational data management and business intelligence, making them a valuable asset for data-driven decision-making.
- ✓ **Peter Gawai - Data Analyst:** Peter is a Data Analyst with 7+ years of IT experience. He excels in data analysis and machine learning implementation. He has expertise in building data analysis infrastructure, including data collection, analysis, and visualization. Peter possesses in-depth knowledge of relational and dimensional data modeling, using T-SQL and MS Excel for data analysis. He's proficient in managing databases, creating SQL objects, and conducting exploratory data analysis on large datasets. Peter is an expert in SQL Server constraints, database design, and maintenance and excels in developing Transact-SQL queries, stored procedures, and triggers. He's skilled in API documentation and designing efficient ETL strategies using SSIS. Peter's analytical, negotiation, and presentation skills make him a valuable asset.

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Mark Hunsicker- Sr. VP Account & Partnership Management

Summary:

Marketing executive with extensive experience in the semiconductor industry with general manager and vice president of product management experience. My diverse experience includes technologies such as wireless power systems, LAN and WAN communications integrated circuits, power management integrated circuits, application-specific integrated circuits, and field programmable gate arrays.

Education

- ✓ BS, Metallurgy- Penn State University
- ✓ MBA, Business Administration- Lehigh University

Combined Professional Experience:

Employer Name	Position/Title	Date
CCS Global Tech	Sr. VP Account & Partnership Management	September 2020-Present
Eighty Three Lion Inc.	President and CEO	September 2019 – September 2020
AMD	Senior Director, Product Management - Semi-Custom Business Unit	June 2016 – August 2019
Wireless Power Industry	Consultant	June 2016 – June 2017
PGH Ventures Incorporated	Founding Partner	June 2016 – June 2017
Qualcomm	Senior Director, Product Management	April 2009 – June 2016

Experience

CCS Global Tech (09/2020- Present)

- ✓ Responsible for driving alliances and partnerships supporting CCS Global Tech's government clients. Focus areas to augment current teams' skills through alliances or partnerships include but are not limited to Implementation, migration, or support of SharePoint365, Dynamics, and/ or Office365; implementation and support of Oracle CRM and CC&B, SalesForce, and SAP CRM and ERP.

Eighty Three Lion, Inc (08/2019-09/2020)

- ✓ Pursued a home healthcare company acquisition with the intent to lead the team to being recognized as a premier agency focused on superior caregiving for our clients.

Wireless Power Industry (06/2016 – 06/2017)

- ✓ Provided non-exclusive wireless power consulting services to a market-leading wireless power integrated circuit company that has revenues in excess of \$700 million. Consultation included all facets of the wireless power industry, from overall strategy to specific product roadmap discussions.

PGH Ventures Incorporated (06/2016– 06/2017)

- ✓ PGH Ventures is a start-up that provides training on the application of language and neurosciences to business interactions. The training prepares our clients to drive accelerated and more favorable business decisions. Responsibilities included:
 - Corporate Formation
 - Market segmentation and target customer strategies
 - Collateral and website development
 - Business plan development

➤ Financial management
Qualcomm (04/2009 – 06/2016)
✓ Developed the go-to-market strategy for a new technology developed in Qualcomm's corporate research and development organization: near-field magnetic resonance wireless charging. Led the business plan development and received funding as well as go-to-market strategy approval from QCT and Qualcomm Technology Licensing (QTL) division presidents as well as Qualcomm's CEO. Chartered to develop organization structure for this new business (engineering and business), build and subsequently lead product management and business development organizations. ✓ Drove definition and product management of multiple reference designs for wireless power transmitters and receivers. First products to be certified in the Alliance for Wireless Power (A4WP) ✓ Drove intellectual property creation and patent prosecution that led to LexInnova ranking Qualcomm as the leader in this domain of technology based on quality and filing activity ✓ Negotiated multiple ASIC contracts with multiple vendors to cost and area reduce both receivers and transmitters ✓ Engaged Qualcomm's semiconductor division and drove wireless power to be embedded in multiple chipset phone and tablet reference designs offered to their OEMs ✓ Developed A4WP engagement strategies to maximize and maintain Qualcomm's intellectual property position on the industry specification while driving a thriving ecosystem ✓ Drove Qualcomm's test engineering team to develop the initial test hardware and test scripts to be used by A4WP-certified test laboratories for official A4WP certification ✓ Represented Qualcomm for multiple industry speakership events. Wireless Power Summit (3 times), Wireless Power World Summit (once), Keynote speech at semiconductor company's executive summit, Keynote speech at KEIT/ KETI conference at University of California at San Diego ✓ Primary contact for industry analysts and press members for wireless power relating to consumer electronics

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Nishant Mishra- Delivery Head

Summary:

Nishant is a results-driven Delivery Manager with over 12 years of experience in managing and leading cross-functional technical teams to successfully execute and deliver high-impact technology initiatives. He has a strong track record of gathering and documenting business requirements, translating them into logical statements, and conducting thorough research to ensure the effective implementation of business needs.

Throughout his career, Nishant has led several transformation projects in complex and fast-paced environments, working with teams distributed across multiple delivery locations. He deeply understands managing and guiding applications migration to new Public Cloud platforms, utilizing optimization, modernization, and self-migrate strategies. His expertise includes conducting an extensive analysis of cloud technology requirements, providing accurate estimations, and making critical technical assumptions to facilitate seamless migration efforts.

Nishant's experience spans across different geographies, having successfully worked on projects using both Onsite and Offshore models. He brings a wealth of hands-on experience in designing and implementing cloud services using leading platforms such as MS Azure and Snowflake. His technical proficiency and knowledge allow him to effectively navigate complex cloud environments and deliver scalable and efficient solutions.

As a Delivery Manager, Nishant excels in maintaining the overall program scope, ensuring alignment with strategic business objectives, and resolving conflicts to enhance effectiveness in achieving business results and strategic goals. His strong leadership skills and ability to drive collaboration and manage resources make him a valuable asset in delivering successful cloud migration projects.

Education:

- ✓ MCSA (Microsoft Certified Solutions Associate) - Certification #: E788-6004.
- ✓ Microsoft Certified Trainer 2022-23.
- ✓ MCP (Microsoft Certified Professional) - Certification #: E752-5173.
- ✓ Advanced Level Diploma in Computer Application (Registration #: 601231) from the National Institute of Electronics and Information Technology (NIELIT).
- ✓ 20533: Implementing Microsoft Azure Infrastructure.

Technical Skills:

- ✓ **Applications:** ProLaw, Terminus Pro, Elite 3E, Termi AI Chatbot
- ✓ **RDBMS:** MS SQL Server (2008R2, 2012, 2014, 2016, 2017, 2019), SSMS, Oracle
- ✓ **Database Languages:** T-SQL, Dynamic SQL, PL/SQL, SnowSQL
- ✓ **ETL Tool:** Integration Services (SSIS), Azure Data Factory
- ✓ **Analysis Services:** SSAS, OLAP Cubes, MDX, DAX
- ✓ **Reporting:** SSRS, Report Builder, Power BI, Tableau
- ✓ **Development Tools:** SSMS, BIDS, SSDT
- ✓ **SDLC Methodologies:** Waterfall Model, Agile, Spiral, Scrum

- ✓ **Languages:** C#, VB.Net, C, C++
- ✓ **Web Technologies:** MVC 4.0, .Net Framework, Asp.Net, AngularJS, AJAX, jQuery, CSS, VBScript, Figma
- ✓ **Cloud Skills:** MS Azure, Azure Data Factory, Azure SQL, PowerShell, Azure Data Warehouses, Databricks, Data Lake, Backup Services, Embedded Power BI, Bot service, Relay, Snowflake
- ✓ **Release Management:** Azure DevOps CI/CD Pipelines

Combined Professional Experience:

Employer Name	Position/Title	Date
California Creative Solutions, Inc.	Delivery Manager – Cloud Data Solutions	August 2012 – Present
OutsourceMR, New Delhi	SQL Developer	September 2011 – July 2012

Professional Projects:

California Creative Solutions, Inc., (August 2012 – Present)

1 - Termi AI Chatbot: Termi™ gives you the power to access complex data from all your systems simultaneously, in real-time, using plain English. It uses Natural Language Processing and AI to intelligently pull data from legal tech applications and other data sources to create interactive, actionable intelligence for every role within a firm. Termi™ AI Chatbot helps to report WIP, visualize key KPIs, and collaborate with your team.

- ✓ Directed full lifecycle project management for projects with a special focus on data management, data warehousing, and business intelligence solutions.
- ✓ Connected to Snowflake using SnowSQL and execute SQL queries to perform DDL and DML operations.
- ✓ Handling Cloud parameters URL, Storage Integration, and Encryption for snow pipe configuration.
- ✓ Created and provided solutions using data warehousing concepts and dimensional / cube data modeling techniques via DAX scripting.
- ✓ Collaborated with team members and DBA to analyze and provide solutions to data issues and other challenges while implementing the OLAP model.
- ✓ Performed index analysis on tables and developed more efficient solutions to use between different kinds of indexes, such as clustered, non-clustered, and covering indexes.
- ✓ Designed and built ETL processes to integrate data from business production databases into Termi staging Database.
- ✓ Developed packages to perform data wrangling operations related to various modules such as AR, AP, Matter Budget, etc.
- ✓ Created views, stored procedures, functions, aggregations, and indexes in support of various databases and ETL applications.
- ✓ Designed and developed the data access layers with C# and ADO.Net for Termi UI.

- ✓ Developed User Interface layer for Termi using .Net framework, AngularJS, Figma, and CSS.
- ✓ Created and managed the various services required for Termi within the Azure environment, such as bot channel, relay, SQL instances, Speech services, etc.
- ✓ Deployed the Termi Application to Azure App Service and troubleshooted the deployment issues.
- ✓ Maintained database security, user management, and auditing of production servers in the Azure environment.
- ✓ Planned and developed roadmaps/deliverables to advance the migration of existing solutions on-premise systems/applications to Azure cloud.
- ✓ Designed and implemented Azure SQL Data Warehouse and Azure SQL solutions.
- ✓ Architected and implemented ETL and data movement solutions using Azure Data Factory.
- ✓ Provided data warehouse solutions using the external table on Azure Synapse.

2 - EDAP (Enterprise Data Analytics Platform): EDAP enables businesses to unlock insights to drive strategic priorities and improve operational efficiency, control, and monitoring. EDAP breaks down data silos and enhances the accessibility and availability of data to different departments in a secure way.

- ✓ Participated in requirement-gathering sessions to outline functional requirements.
- ✓ Performed extensive data modeling to differentiate between the OLTP and data warehouse data models.
- ✓ Established and maintained comprehensive data model documentation, including detailed descriptions of business entities, attributes, and data relationships.
- ✓ Performed data quality analysis using SnowSQL by building analytical warehouses on Snowflake.
- ✓ Provided structured data to reduce chances of data integrity utilizing Snowflake.
- ✓ Created and managed the various services required for EDAP within the Azure environment, such as Azure Data Factory, Databricks, data lakes, Virtual Networks, logic app, etc.
- ✓ Designed and developed data models and schemas to support data warehouse using Lucid chart.
- ✓ Built data pipelines to integrate data from production databases into the EDAP staging environment using Azure Data Factory.
- ✓ Created ADF pipelines for data cleansing operations.
- ✓ Designed the data access layers with C# and ADO.Net for Data Management application (DMA).
- ✓ Developed User Interface layer for DMA using .Net framework, ASP, Figma, and CSS.
- ✓ Configured Azure DevOps Git repo for source code control and versioning.
- ✓ Deployed EDAP application to QA and PROD environments using CI/CD pipelines and troubleshooted the deployment issues.
- ✓ Worked on Azure copy to load data from on-premise SQL server to Azure SQL Data Warehouse.
- ✓ Designed Azure SQL Data Warehouse fact and dimension tables using different distributions while creating facts and dimensions.

- ✓ Create pipelines in ADF using linked services to extract, transform, and load data from Azure SQL Data warehouse.

3 - ProLaw Desktop: The ProLaw software suite is designed to automate the practice and manage the business of law. Comprehensive features simplify, streamline, and coordinate attorneys and staff work in small and mid-size law firms, corporate legal departments, and government agencies. Built from the ground up on a single database, ProLaw combines case and matter management and time entry, billing, and accounting capabilities within a single integrated solution.

- ✓ Coordinated JAD meetings with the development team to understand functional requirements.
- ✓ Designed and developed the framework of the ProLaw application using use case diagrams.
- ✓ Involved in writing data access layers with C# and ADO.Net.
- ✓ Implemented Web. Config file to connect and access data from SQL Server.
- ✓ Developed the application using Entity Data Model, RESTful, and WCF services.
- ✓ Created SSIS packages to import/export historical data into existing database tables.
- ✓ Performed and documented unit testing and system testing of the entire application.
- ✓ ProLaw Integration with EBH: This is the integration of ProLaw with the EBH tool, which allows users to validate their billing before it is generated. The project included the design of a conversion tool to migrate ProLaw enterprise or legacy data into a live production database.
- ✓ ProLaw Portal (Mobile App V1/V2): The ProLaw Portal allows you to access your ProLaw data via a mobile, iPad, and desktop web browser interface. The ProLaw Portal itself runs on a web server.
- ✓ Terminus Pro: Terminus Pro™ uses semantic architecture to intelligently pull data from ProLaw and other data sources to create interactive, actionable intelligence for every role within a firm. Terminus Pro™ BI reporting suite offers a variety of KPIs and Dashboards per legal business demand.
- ✓ CNB Connect: This project was developed to allow ProLaw users to connect with the CNB application for reconciliation. The utility developed was used to connect with CNB (City National Bank) securely using web service.

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Nitin Gupta- Data Engineering Lead

Summary:

Nitin Gupta is a highly skilled and analytical Data Engineering Lead with a strong focus on solution implementation. He brings extensive experience in analyzing, developing, testing, and refining application vision and roadmaps for business intelligence solutions. Nitin excels in aligning business objectives and maturing business intelligence capabilities to drive effective decision-making.

One of Nitin's key areas of expertise is in Azure transformation projects and Azure architecture decision-making. He possesses a deep understanding of implementing ETL (Extract, Transform, Load) and data movement solutions using Azure Data Factory (ADF) and SSIS (SQL Server Integration Services). His experience in utilizing Azure technologies enables him to design and develop robust data engineering solutions on the cloud platform.

Furthermore, Nitin has a comprehensive knowledge of SQL Server constraints, database design, and maintenance principles. He is proficient in developing Transact-SQL queries, stored procedures, and triggers to efficiently manage and manipulate data. Nitin's expertise extends to building ETL architectures and designing source-to-target mapping for data loading into data warehouses. His skills in data integration and data warehousing contribute to the successful implementation of scalable and high-performance data engineering solutions.

With Nitin's solid technical acumen, collaborative approach, and in-depth understanding of business intelligence and data engineering, he is well-equipped to lead the data engineering efforts for the project.

Education:

- ✓ M.Sc. (IT) from Kuvempu University, Karnataka, India.
- ✓ Two Yr. (Full-Time) Post Graduate Diploma in Computer Application (P.G.D.C.A.) from the Institute of Social Sciences, Dr. B.R. Ambedkar University, Agra, India, in 2001.
- ✓ Oracle Application Developer (SQL, PL/SQL) from "SQL Star International, New Delhi, India."

Certifications:

- ✓ Microsoft Certified Solution Expert (MCSE).
- ✓ Microsoft Certified Solution Associate (MCSA).
- ✓ Microsoft Certified Trainer.

Technical Skills:

- ✓ **Cloud Computing:** Azure SQL Server, Azure Data Factory
- ✓ **GUI:** C#, ASP.Net MVC, ASP.Net Forms, JSP
- ✓ **RDBMS:** Oracle-11g, SQL Server 2008, MySQL
- ✓ **Reporting Tools:** Crystal Reports
- ✓ **Business Intelligence Tools:** Microsoft BI Stack (SSIS, SSAS, SSRS), Power BI
- ✓ **Programming Language:** C, C++, JAVA-7

Combined Professional Experience:

Employer Name	Position/Title	Date
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CCS Global Tech	Data Engineer	November 2015 – Present
NIIT Technologies	SQL / UI Developer	July 2008 – October 2015
Experience:		
CCS Global Tech (November 2015 – Present)		
Project: Prolaw Desktop		
✓ Developed database objects such as tables, views, indexes, stored procedures, triggers, and constraints with T-SQL. ✓ Conceptualized and designed dynamic SSIS packages to transfer data across multiple platforms. ✓ Designed web services in C# to communicate and pass information to the database. ✓ Implemented business logic with various SSIS control flow tasks in SSIS packages, such as executing SQL tasks, file system tasks, package/process tasks, and script tasks. ✓ Conceptualized and designed dynamic SSIS packages to transfer data across multiple platforms. ✓ Utilized complex SQL structures such as while loops, if...else, and case statements, including temporary objects.		
CCS Global Tech (November 2015 – Present)		
Project: Terminus		
✓ Developed database documentation for table and column dictionaries and other reference materials. ✓ Created triggers to audit the data inserted/updated/deleted from heterogeneous sources. ✓ Performed data profiling, cleansing, validation, and verification with SSIS tasks and SQL stored procedures. ✓ Worked on SSIS packages and transferred data from the OLTP system to OLAP following data profiling. ✓ Created SSIS packages to clean dirty data utilizing different transformations such as lookup, fuzzy lookup, and data conversion. ✓ Worked with business analysts for requirements gathering and project coordination.		
NIIT Technologies (July 2008 - October 2015)		
Project: Insurance Management System		
✓ Worked on creating this website about various operations on insurance like health insurance, life insurance, two-wheeler insurance, and four-wheeler insurance. Customers can create their accounts and avail of various services offered by the insurance website.		
NIIT Technologies (July 2008 - October 2015)		
Project: Student Website		
✓ Created a website aimed to help NIIT students access various services, such as Fee structure, syllabus, and daily updates regarding the new technology. The student can also avail the facility of making their ID and sending messages to other students.		

Gayathri P Janagama - Data Visualization Lead

Summary:

Gayathri P. Janagama is a highly skilled Data Visualization Lead with over ten years of experience in the field of Reporting and Business Intelligence (BI). She holds a Microsoft Certified Solutions Associate (MCSA) certification, highlighting her expertise in this domain. Gayathri is known for her strong work ethic, goal-oriented mindset, and extensive experience in Data Modeling, Database Design, Programming, Development, and Implementation of Client-Server Applications and Database systems. Gayathri has utilized MS SQL Server extensively throughout her career, working with versions ranging from SQL 2000 to SQL 2016. She has leveraged these technologies for both OLTP (Online Transaction Processing) and Data Warehousing purposes, utilizing applications such as SSIS (SQL Server Integration Services), SSAS (SQL Server Analysis Services), SSRS (SQL Server Reporting Services), and Power BI. Her experience spans across diverse industries, including Technology, Healthcare, and Pharmacy.

Gayathri's expertise in Data Visualization is particularly notable, with a strong focus on Power BI. She is adept at developing Power BI files using Power BI Desktop and is well-versed in utilizing DAX (Data Analysis Expressions) to create interactive visualizations. She is also experienced in deploying Power BI reports and dashboards to the Report Server and Cloud Services, ensuring proper row-level security settings for data access. Additionally, Gayathri possesses a comprehensive understanding of Power BI's report development, publishing, sharing, and security features. Furthermore, Gayathri has significant experience configuring the on-premises Power BI gateway, allowing for dataset refreshes in Power BI. Her expertise in this area ensures smooth and efficient data updates for Power BI solutions.

Education:

- ✓ Bachelor of Engineering at Jawaharlal Nehru Technological University, Hyderabad, India.
- ✓ Master of Science in Electrical Engineering at Temple University, Philadelphia, PA.

Certifications:

- ✓ MCSA – SQL 2016 BI Development:
 - MS 70-767; Implementing a Datawarehouse.
 - MS 70-768: Developing SQL Data Models.
- ✓ Microsoft Certified Trainer (MCT).

Technical Skills

- ✓ **Database:** SQL Server 2016, 2014, 2012, 2008/R2, 2005
- ✓ **SDLC:** Agile, Scrum, Waterfall, Spiral
- ✓ **Data Modeling:** Erwin, MS Visio
- ✓ **Database Programming:** T-SQL, Dynamic SQL, MDX, DAX
- ✓ **Development Tools:** BIDS, SSDT, SSMS
- ✓ **Integration Tool:** SSIS
- ✓ **Analysis Services:** SSAS, OLAP Cubes, Tabular Model

✓ Reporting Tools: SSRS, Power BI, Excel Power BI, SharePoint, Performance Point Services ✓ Source Control & Collaboration Tool: Team Foundation Server (TFS), SharePoint		
Combined Professional Experience:		
Employer Name	Position/Title	Date
CCS Global Tech, San Diego, CA	Data Visualization (Power BI) Lead	January 2013 to Present
IHS (Information Handling Services) Denver, CO	Sr. SQL/ SSAS/Reports Developer	August 2011 - December 2012
Clariant Inc. (A GE Healthcare Company) Orange County, CA	Sr. SQL /Reports Developer	January 2011 – June 2011
Experience:		
Project: Data Visualization (Power BI) Lead Jan 2013 to Present		
✓ Created transformations and loaded data from multiple sources into the Power BI dashboard. ✓ Designed data model and visualized data with a bar chart, pie chart, and filled/regular map with Power BI. ✓ Explored data in various ways and across multiple visualizations using Power BI. ✓ Worked on data visualization and data analysis using Power BI. ✓ Installed, configured, and maintained Power BI Report Server. ✓ Provided end-to-end training on Excel Power BI, Power BI Desktop, Power BI server, and TFS. ✓ Provided onsite and remote training to create key performance indicator objects, actions, perspectives, hierarchies, and attribute relationships for added functionality and better performance of SSAS warehouses.		
Project: Sr. SQL/ SSAS/Reports Developer Aug 2011 - Dec 2012		
✓ Facilitated and Implemented design requirements for the Data Warehouse required for the MS CRM application. ✓ Involved in the design of data marts utilizing star schema and Kimball Methodology. ✓ Optimized cubes by creating usage-based optimization and assigning appropriate storage modes (MOLAP, HOLAP, and ROLAP) to different partitions. ✓ Implemented Proactive Caching for refreshing the cubes by utilizing scheduled MOLAP or Automatic MOLAP. ✓ Deployed and Maintained reports on MS Dynamic CRM Portal for easy access to the Users.		
Project: Sr. SQL /Reports Developer Jan 2011 – June 2011		
✓ Designed and facilitated the implementation of data warehouses required by application systems. ✓ Created multiple database objects like Procedures, Functions, and Triggers utilizing T-SQL for complex scripts and batches. ✓ Defined data sources and data source views for OLAP Cubes utilizing SSAS.		

- ✓ Queried and manipulated multidimensional cube data with MDX scripting in SSAS.
- ✓ Deployed and scheduled reports utilizing SSRS to generate all daily, weekly, monthly, and quarterly Reports, including status.
- ✓ Developed stored procedures and UDFs in support of ETL process and reports.
- ✓ Implemented error handling in SQL scripts utilizing try catch and transactions.
- ✓ Delivered on-demand; scheduled reports for business analysis or management decisions utilizing SSRS.

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Raju Nath- Solution Architect

Summary:

Raju is a highly experienced Solution Architect with a career spanning over 15 years, during which he has excelled in various capacities both onshore and offshore. He has established himself as an ETL Project Solution Architecture expert, earning recognition for his exceptional skills and knowledge in this domain.

Throughout his career, Raju has built an impressive clientele portfolio, working with esteemed organizations such as Citigroup US, Bank of America, Northern Trust Corporation, ANZ Bank, ING Bank, Stanley Black & Decker, Beckton Dickinson, Astellas Pharma US, Verizon FiOS NBO Analytics, Wal-Mart, and ILG. His engagements with these clients highlight his ability to deliver effective solutions and meet their specific business needs.

Raju possesses diverse expertise, including team building, project cost optimization, DataStage implementation, cost/benefit modeling, Master Data Management strategy, Big Data, and cloud concepts. He has consistently demonstrated his proficiency in building efficient teams, implementing DataStage within tight project schedules, and creating compelling business cases for migration projects.

With a strong focus on ETL and Data warehousing, Raju has gained extensive experience in various domains such as Retail, Banking, Healthcare, Pharmaceutical, Telecom, Airlines, and Public sectors. He possesses in-depth knowledge of Data warehouse concepts, including Star schema and Snowflake schema. Furthermore, Raju has a comprehensive understanding of Snowflake Cloud Data Warehouse fundamentals and expertise in utilizing Snowflake Data Warehouse with Microsoft Azure, cloud object storage, and AWS S3. He has actively contributed to onsite Big Data consulting projects, often requiring significant travel commitments.

Education:

- ✓ General Management Program for IT Executives from IIM Bangalore (Ex-MBA), India, 2019
- ✓ Master of Computer Application from West Bengal University of Technology (WBUT), India, 2017

Certifications:

- ✓ IBM Certified Solution Developer Infosphere DataStage v8.0

Technical Skills:

- ✓ **Cloud Environment:** Azure Data Factory, Azure Databricks, Azure Data Lakes, CI/CD, Synapse, SnowSQL, DBT, SQLake, Snowflake, Matillion ETL
- ✓ **Database:** ERP & SAP, Oracle 11g, DB2, Netezza, Teradata, HP Enterprise Vertica, MongoDB, Synapse SQL, PostgreSQL

Combined Professional Experience:

Employer Name	Position/Title	Date
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CITI Bank	Technical Manager	May 2021 – Present
Becton Dickinson, NJ, USA	Technical Manage / Tower Lead	June 2019 – April 2021
Experience:		
Becton Dickinson, NJ, USA (June 2019 – April 2021)		
✓ Used DataStage Job Sequences to execute the jobs in sequence order. ✓ Utilized Quality stages to enrich data to meet business objectives and quality management standards. ✓ Created DataStage Jobs to build business rules to load data. ✓ Imported table/file definitions into the Data stage repository. ✓ Used DataStage Director to run and monitor the status of the jobs. ✓ Involved in performance tuning and enhancement.		
CITI Bank (May 2021 – Till Date)		
✓ Led analysis, architecture, designing, and development of data warehouse and business intelligence solutions. ✓ Defined cloud data strategies, including designing multi-phased implementation roadmaps for AWS, S3, Redshift, and Elastic Map Reduce (EMR), a plus. ✓ Performed ETL DataStage coding using Datasets, Sequential file, Transformer, Sort, Merge, and Aggregator stages compiled, debugged, and tested. ✓ Extensively used stages available to redesign DataStage jobs for performing the required integration. ✓ Worked as a team to design and develop cloud data solutions. ✓ Came up with a robust, reusable model for all BI Applications. Ensured maintenance of user access and security systems. ✓ Provided advice to the Teradata Development team on the technical aspects of the system.		

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Bet Sackey- Data Analyst

Summary:

Bet is very skilled at performing regression analysis forecasting and exploratory data analysis. Extensive abilities in writing T-SQL queries and developing SQL databases. Excellent knowledge and experience of OLTP, OLAP, and data mart/warehouse modeling of star and snowflake schema patterns as per normalization rules utilizing Erwin. Bet is also very Skilled in fine-tuning SQL Server Performance utilizing tools such as index tuning wizard, SQL profiler, and database engine tuning advisor. Applied skills in data analysis, data verification, and problem-solving in response to inquiries/issues. Bet has expertise in creating dynamic ETL workflows for validating, importing, and exporting data from Excel, XML, Flat Files, SQL Servers, and MS Access using SSIS.

Bet has vast experience in collecting, cleaning, and preprocessing large datasets for regression analysis, ensuring data accuracy and reliability in modeling. Bet has been involved in building database models, APIs, and views in order to build an interactive web-based solution. Applied the scientific process to data evaluation, performing statistical inference, and data mining. Bet is proficient in conceptualizing and implementing business strategies for operational data management, data warehousing, master data management, and business intelligence that improve operational efficiency for effective decision-making. Experience in data analysis, validation, cleansing, matching/merging, verification, and identifying data mismatches. Rich knowledge of conducting data flow modeling, object modeling, case analysis, and functional decomposition analysis.

Education:

- ✓ Master of Mathematics, Illinois State University, Normal, IL
- ✓ Bachelor of Mathematics, Kwame Nkrumah University of Science and Technology, Ghana

Technical Skills:

- ✓ Database Programming: T-SQL, Dynamic SQL, MDX, DAX, SnowSQL
- ✓ Development Tools: BIDS, SSDT, SSMS
- ✓ Integration Tool: SSIS
- ✓ Analysis Services: SSAS, OLAP Cubes, Tabular Model
- ✓ Reporting Tools: SSRS, Power BI, Excel Power BI
- ✓ Source Control & Collaboration: Team Foundation Server (TFS), SharePoint
- ✓ Cloud Experience: Azure SQL, Azure Data Warehouses, Azure Data Factory, PowerShell, Azure Storage
- ✓ Database: SQL Server 2017, 2016, 2014, 2012, 2008/R2, Azure SQL
- ✓ SDLC: Agile, Scrum, Waterfall, and Spiral
- ✓ Data Modelling: ER-win, MS Visio
- ✓ Snowflake: SnowSQL, Snowpipe, Zero-copy Cloning, Time travel, Stages, RM

Combined Professional Experience:

Employer Name	Position/Title	Date
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BeneSyS Inc., Troy, MI	Data Analyst	July 2022 – Present
Aetna Healthcare, Scottsdale, AZ	SQL Data Developer	April 2021 – June 2022
Anthem, Richmond, VA	BI Data Analyst	January 2020 – March 2021

Experience:

BeneSyS Inc., Troy, MI, (Jul/2022 – Present)

- ✓ Collaborated with business users and stakeholders in Data Definition sessions to gather and understand business requirements.
- ✓ Applied the scientific process to data evaluation, performing statistical inference, and data mining.
- ✓ Edited existing procedures to add new business requirements.
- ✓ Attended weekly/daily meetings with users and Business Analysts for scope and data warehouse requirements, writing ad hoc SQL queries for data analysis.
- ✓ Conducted gap analysis and developed data migration and integration plans successfully.
- ✓ Elicited requirements using interviews, document analysis, surveys, business process descriptions, use cases, business analysis, and task and workflow analysis.
- ✓ Performed the requirement analysis and documented the requirements.
- ✓ Developed associated project documentation, schedule, design specifications, test plan, test scenarios/scripts, and performed gap analysis.
- ✓ Involved in project estimation, creating mapping documents, reviewing implementation along with test results, and conducting data analysis; gathered requirements, analyzed, and wrote the design documents.
- ✓ Led data analysis, data profiling, source-to-target mapping, and data specification documentation for the conversion process.
- ✓ Worked on different tools for visualization techniques for summarizing complex data analysis.
- ✓ Involved in exhaustive documentation for the technical phase of the project and training materials for all data management functions.
- ✓ Implemented the predictive analysis utilizing Python Script and libraries.
- ✓ Wrote various scripts in Python for data extraction from APIs and data cleansing.
- ✓ Developed and implemented an API strategy aligned with business goals.
- ✓ Wrote SQL queries on data staging tables and data warehouse tables to validate the data results.
- ✓ Used SQL Server profiler to trace the slow-running queries and tried to optimize SQL queries for improved performance and availability.
- ✓ Monitored the SQL profiler and tuned queries and procedures to boost database performance.
- ✓ Fine-tune the performance of the application programs using an explained plan and SQL trace.
- ✓ Wrote T-SQL statements for retrieval of data and was Involved in performance tuning of T-SQL queries, stored procedures, views, etc.

- ✓ Used SSIS jobs for implementing ETL; imported data from the flat files that bring the data to the application tables.
- ✓ Utilized Power BI to create multiple kinds of graphs to achieve data visualization.
- ✓ Used DAX logical functions like IF Statement, SWITCH, etc., to achieve the desirable Power BI dashboard visualization data.
- ✓ Tools & Environment: SQL Server, Erwin, T-SQL, SQL Profiler, ETL, SSIS, SSMS, SSDT, Power BI, DAX, Python, API, TFS.

Aetna Healthcare, Scottsdale, AZ, (Apr/2021 – Jun/2022)

- ✓ Collaborated with business users and stakeholders in JRD sessions to gather business requirements.
- ✓ Led data extraction, data modeling, data wrangling, statistical modeling, data mining, and data visualization.
- ✓ Transformed logical model based on changing business requirements; defined various constraints utilizing Erwin.
- ✓ Worked with business owners to identify key data elements that will be monitored to ensure high data quality within the warehouse.
- ✓ Analyzed user requirements and understood business rules in order to build an enterprise-wide data quality environment.
- ✓ Directed full lifecycle project management for projects with a special focus on data management, data warehousing, and business intelligence solutions.
- ✓ Developed different statistical machine learning data mining solutions to various business problems and generated data visualizations.
- ✓ Administered interface to organize reports and data sources, schedule report execution delivery, and track report history.
- ✓ Established API governance processes, including defining standards, documentation, versioning, and lifecycle management.
- ✓ Ensured adherence to API design principles, including consistency, reusability, and scalability.
- ✓ Used statistical packages in SQL to develop complex statistical models for predictive analysis, principal component analysis, and performing cluster analysis.
- ✓ Wrote SQL stored procedures, functions, and triggers for data retrieval/updates in the database.
- ✓ Analyzed requirements and fine-tuned SQL stored procedures to improve performance.
- ✓ Optimized and restructured SQL stored procedures for applications by partitioning large tables and managing indexing strategies.
- ✓ Encapsulated frequently used SQL statements into stored procedures, reducing query execution time.
- ✓ Wrote dynamic SQL scripts to perform the bulk operations in the OLTP environment.
- ✓ Contributed to analyzing query optimizations with execution plan analysis, SQL profiler, and DTA.
- ✓ Wrote custom T-SQL stored procedures and triggers to enhance performance, preserve referential integrity, and provide additional application functionality.
- ✓ Created dynamic SQL script to transfer data from multiple tables between databases.
- ✓ Created SQL scripts to analyze historical data and extract required data to support management decisions.

- ✓ Consumed data in Power BI and created insights with the help of Power BI features.
- ✓ Generated high interactive dashboards utilizing Power BI and defined calculations using DAX in Power BI.
- ✓ Wrote complex DAX (data analysis expressions) code to develop new measures.
Tools & Environment: SQL Server, T-SQL, SQL Profiler, Erwin, SSMS, SSDT, Power BI, Power BI Desktop, DAX, API.

Anthem, Richmond, VA (Jan/2020 – Mar/2021)

- ✓ Decoded business requirements to technical and function specifications from JRD sessions.
- ✓ Normalized tables to arrive at effective relational schemas without any redundancies.
- ✓ Created complex functions, scripts, stored procedures, and triggers to support application development.
- ✓ Assisted with the design and development of data schemas and definitions to support Business Intelligence and Data Warehousing requirements.
- ✓ Designed and constructed applications and methodologies that enabled organizations to collect data, prepare it for analysis, develop and run queries against that data, and create reports and visualizations.
- ✓ Created Database objects – tables, views, functions, and developing procedures for implementing application functionality at the database side for performance improvement.
- ✓ Successfully applied multivariate regression analysis to account for interactions and dependencies among multiple predictor variables, improving model realism.
- ✓ Collaborated with development teams to design, build, and enhance APIs that enabled seamless integration and data exchange between different platforms.
- ✓ Utilized data analysis and data reporting methods and tools like SQL and Excel to examine business questions.
- ✓ Performed data analytics and generated insights as per business requirements
- ✓ Conducted data mining, data modeling, statistical analysis, business intelligence gathering, trending, and benchmarking.
- ✓ Provided data analytics support decisions for high-priority enterprise initiatives involving IT/product development, customer service improvement, organizational realignment, and process reengineering.
- ✓ Worked with the technical and functional teams to identify and correct data anomalies using data quality reports.
- ✓ Implemented and developed predictive models for data analysis.
- ✓ Used data analysis techniques to validate business rules and identify low-quality missing data in the existing Enterprise Data Warehouse; managed the implementation of enterprise-class marketing systems successfully.
- ✓ Performed business analysis and wrote SQL scripts to analyze data and parse it to Excel.
- ✓ Scheduled and monitored all maintenance activities of SQL Server, including database consistency check.
- ✓ Enforced ETL process using SSIS packages in which data sources included flat files, Excel Sheets, and SQL servers.
- ✓ Converted all operational Excel reports into Power BI Reports.
- ✓ Integrated custom visuals based on business requirements using Power BI desktop.

- ✓ Tools & Environment: SQL Server, SQL Profiler, T-SQL, ETL, SSIS, SSMS, SSDS, Power BI, API, Power BI Desktop, TFS.

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Peter Gawai- Data Analyst

Summary:

Peter is a prolific Data Analyst with over seven years of experience in the IT industry. He has successfully implemented data analysis by utilizing a simple machine-learning algorithm. Peter has experience building data analysis infrastructure to collect, analyze, and visualize data. In addition, Peter has in-depth knowledge of relational data modeling, dimensional data modeling and design, and extensive experience in data analysis utilizing T-SQL and MS Excel.

He is proficient in creating and managing databases, tables, stored procedures, triggers, views, user-defined functions, indexes, and SQL queries using T-SQL programming. Peter has successfully conducted exploratory data analysis on large datasets, uncovering patterns and trends that informed strategic business decisions. Besides, he is an expert in utilizing all types of SQL Server Constraints, SQL Server Database Design, Database Maintenance, developing Transact- SQL queries, Stored Procedures, and Triggers using SQL Servers as primary data platforms.

Peter has extensive knowledge in creating comprehensive API documentation, including endpoints, request/response formats, authentication methods, and usage examples, to ensure smooth integration for external developers, as well as designing efficient ETL strategies, utilizing SSIS as the preferred ETL tool for extracting data from various sources like Excel, CSV, and flat files, and loading it into different destinations. Finally, Peter is a very skilled professional with extremely good analytical, negotiation, and presentation skills.

Education:

- ✓ Master of Science in Computer Science Digipen Institute of Technology, Redmond, WA
- ✓ B.Sc. Computer Science & Engineering Manipal University Jaipur, Jaipur, India

Technical Skills:

- ✓ Data Modelling: Erwin, MS Visio
- ✓ Database Programming: T-SQL, Dynamic SQL, MDX, DAX
- ✓ Development Tools: BIDS, SSDT, SSMS
- ✓ Integration Tool: SSIS
- ✓ Analysis Services: SSAS, OLAP Cubes, Tabular Model
- ✓ Reporting Tools: SSRS, Power BI, Excel Power BI, Salesforce Reporting
- ✓ Source Control & Collaboration Tool: Team Foundation Server (TFS), SharePoint
- ✓ Cloud Technologies: MS Azure (IaaS, PaaS, SaaS), Azure SQL, Azure Data Warehouses, Data Factory, PowerShell, Azure Storage (BLOB, Tables, Queues, and File Share)
- ✓ Snowflake: Snow Pipe, SnowSQL Time Travel, Stages (External/Internal) ODBC, Resource Monitor
- ✓ Database: SQL Server 2019, 2016, 2014, 2012
- ✓ SDLC: Agile, Scrum, Waterfall, & Spiral

Combined Professional Experience:

Employer Name	Position/Title	Date
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Yale University, New Haven, CT	Data Analyst	July 2021 – Present
Aetna Healthcare, Scottsdale, AZ	BI Analyst	December 2019 – June 2021
Applied Materials, Santa Clara, CA	BI Data Analyst	August 2018 – November 201
Homestreet Bank, Seattle, WA	SQL Data Analyst	November 2017 – July 2018

Experience:

Yale University, New Haven, CT, (Jul/2021 – Present)

- ✓ Conducted JAD sessions and performed data analysis for documented data quality standards.
- ✓ Conducted meetings with end users to get requirements for reporting purposes.
- ✓ Created logical and physical models of the data mart utilizing Erwin as a data modeling tool.
- ✓ Cleaned and preprocessed data by addressing missing values, outliers, and inconsistencies to prepare it for analysis.
- ✓ Performed data analysis during development and reported findings to the team; involved in production support activities as needed.
- ✓ Gathered data from various sources, such as databases, spreadsheets, APIs, etc.
- ✓ Converted data into a suitable format for analysis involving aggregating, reshaping, and combining datasets.
- ✓ Used data analysis techniques to validate business rules and identify low-quality missing data in the existing data warehouse.
- ✓ Worked as a Data Analyst and understood trends, patterns, relationships, and anomalies within datasets to help businesses and organizations make informed decisions and solve complex problems.
- ✓ Showcased active participation in various projects related to data modeling systems/data analysis; designed and developed OLTP and data warehousing environments.
- ✓ Utilized various error-handling techniques to handle run-time issues with procedures and other SQL scripts
- ✓ Optimized the performance of queries with modifications to the existing index system and re-designing of indexes.
- ✓ Identified data sources and defined data extraction criteria within the ELT context.
- ✓ Analyzed data quality and availability to ensure it aligns with the ELT framework.
- ✓ Utilized various SSIS transformations such as union all, conditional split, and join to implement integration logic during the ETL process.
- ✓ Built KPIs in tabular models based on user requirements and optimized performance of SSAS tabular models.
- ✓ Assessed and migrated business processes to Power Apps and Power Automate.
- ✓ Created roles-based security in Power BI data models using DAX filters.
- ✓ Designed and developed visually appealing and user-friendly reports, charts, graphs, and dashboards using Power BI Desktop.

- ✓ Implemented DAX calculations in Power Pivot to support advanced business logic and customized calculations.
- ✓ Worked closely with designers to create visually engaging Power View reports communicating insights effectively.
- ✓ Designed and developed the most suitable user interface, such as dashboards, multiple chart types, trends, KPIs, custom requests for Excel export, and objects for management dashboard reporting using Power Pivot.
Tools & Environment: SQL Server, T-SQL, SSIS, SQL Profiler, Erwin, ETL, ELT, SSAS, SSMS, SSDT, Power BI, Power BI Desktop, DAX, Power Apps, Power Automate, Power Pivot, Power View, API, TFS.
- ✓ Tools & Environment: SQL Server, SSDT, T-SQL, ETL, SSIS, SSAS - Tabular Model, SQL Profiler, Erwin, SSMS, SSDT, Power BI, DAX, Power BI Desktop, Power BI Gateways, Power Query, API, TFS

Aetna Healthcare, Scottsdale, AZ, (Dec/2019 – Jun/2021)

- ✓ Participated in JRD sessions to map business requirements from business users and stakeholders.
- ✓ Worked with end users and business analysts to ensure fit between BI environment and requirements.
- ✓ Created triggers and audit tables to capture the incremental data from OLTP and created complex stored procedures to perform data profiling in the pre-staging Database.
- ✓ Performed data analysis for the existing data warehouse and changed the internal schema for performance.
- ✓ Contributed to data analysis, data validation, data cleansing, data verification, and data mismatch identification.
- ✓ Developed and deployed end-to-end data analysis pipelines and applications for users with diverse backgrounds.
- ✓ Used statistical sampling methods to perform data analysis of the dataset.
- ✓ Responsible for data extraction, data analysis, and understanding the ‘Why’ behind data.
- ✓ Conducted data mapping, data analysis, logical data modeling, and gap analysis between source and destination systems.
- ✓ Managed API versioning to ensure backward compatibility while introducing new features or changes, minimizing disruption for existing users.
- ✓ Wrote procedures, functions, and SQL logical statements for the data analysis.
- ✓ Authored SQL statements with joins, subqueries, and correlated subqueries.
- ✓ Designed data warehouse and data marts with star schemas, snowflake architecture, and Kimball dimensional modeling.
- ✓ Performed data profiling and verification utilizing SQL stored procedures in a pre-staging/staging environment.
- ✓ Created different database objects such as stored procedures, user-defined functions, and views.
- ✓ Improved the performance of existing stored procedures and queries by analyzing execution plan logs and using SQL Server Profiler and Database Engine Tuning Advisor (DTA).

- ✓ Developed and deployed SQL Server Integration Services (SSIS) ETL packages and other backend processes to maintain system integration and ETL processes to facilitate the creation and population of new Datamart.
 - ✓ Defined data sources and modified structure for SSAS tabular models using SSAS.
 - ✓ Transformed data extracted from various sources utilizing Power Query and Mashup codes in Power BI.
 - ✓ Created roles-based security in Power BI data models using DAX filters.
 - ✓ Wrote complex DAX expressions to generate calculated columns and filters for role-based security.
 - ✓ Administered Power BI gateways by connecting datasets and updated the gateway with missing data sources.
 - ✓ Successfully integrated custom visuals based on business requirements in Power BI Desktop.
- Tools & Environment: SQL Server, SSDT, T-SQL, ETL, SSIS, SSAS - Tabular Model, SQL Profiler, Erwin, SSMS, SSDT, Power BI, DAX, Power BI Desktop, Power BI Gateways, Power Query, API, TFS.

Applied Materials, Santa Clara, CA, (Aug/2018-Nov/2019)

- ✓ Analyzed system-specific business requirements and translated them into technical requirements.
- ✓ Performed data modeling based on the client requirements, daily maintenance, and performance tuning.
- ✓ Lead data analytics projects from requirement stage, scope analysis, developing models, deployment, and support.
- ✓ Used data analysis techniques to validate business rules and identify quality for missing data in the warehouse.
- ✓ Worked closely with the Project Manager in handling the scope creep and analyzing its effects.
- ✓ Created stored procedures to implement data profiling, data validation, and verification in OLAP environments.
- ✓ Used advanced features of T-SQL to design and tune T-SQL to interface with the Database and other applications in the most efficient manner and created stored Procedures for the business logic using T-SQL.
- ✓ Recommend SQL tuning for report queries for them to work efficiently on high-volume scenarios.
- ✓ Created SQL scripts to analyze historical data and extract required data to support management decisions.
- ✓ Converted complex business logic into SQL stored procedures and user-defined functions per requirements.
- ✓ Designed and developed code with respect to security vulnerabilities, such as SQL injections.
- ✓ Scheduled packages through SQL Server Agent and implemented shared schedules.
- ✓ Improved the functionalities of the ETL process using Execute package tasks in SSIS packages to create Master-Child architecture.
- ✓ Used DAX expression for creating measures, calculated columns, and table calculations in Power BI.

✓ Utilized transformations such as merge queries, append queries, and calculated columns in Power BI Desktop.
Homestreet Bank, Seattle, WA (Nov/2017 – July/2018)
✓ Analyzed system-specific business requirements and translated them into technical requirements. ✓ Performed data modeling based on the client requirements, daily maintenance, and performance tuning. ✓ Lead data analytics projects from requirement stage, scope analysis, developing models, deployment, and support. ✓ Used data analysis techniques to validate business rules and identify quality for missing data in the warehouse. ✓ Worked closely with the Project Manager in handling the scope creep and analyzing its effects. ✓ Created stored procedures to implement data profiling, data validation, and verification in OLAP environments. ✓ Used advanced features of T-SQL to design and tune T-SQL to interface with the Database and other applications in the most efficient manner and created stored Procedures for the business logic using T-SQL. ✓ Recommend SQL tuning for report queries for them to work efficiently on high-volume scenarios. ✓ Created SQL scripts to analyze historical data and extract required data to support management decisions. ✓ Converted complex business logic into SQL stored procedures and user-defined functions per requirements. ✓ Designed and developed code with respect to security vulnerabilities, such as SQL injections. ✓ Scheduled packages through SQL Server Agent and implemented shared schedules. ✓ Improved the functionalities of the ETL process using Execute package tasks in SSIS packages to create Master-Child architecture. ✓ Used DAX expression for creating measures, calculated columns, and table calculations in Power BI. ✓ Utilized transformations such as merge queries, append queries, and calculated columns in Power BI Desktop. Tools & Environment: SQL Server 2014/2016, T-SQL, SSIS, SQL Profiler, Erwin, SSMS, SSDT, Power BI, Power BI Desktop, DAX, TFS.

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C.8 TECHNICAL APPROACH

CCS has an agile approach to performing Data Analytics Services, which is customized as per the client's requirements, such as specific technologies, end products, requirements, expected outcomes, etc.

We are an ISO 27001-certified company, and our Data Analytics services are aligned with it, underscoring our commitment to stringent protocols that ensure the confidentiality, integrity, and availability of sensitive data throughout every stage of our analytics process. Below are the general duties/ responsibilities the CCS Team performs while working on Data Analytics contracts. These responsibilities are designed to be adaptable, allowing us to customize them to the specific requirements of individual Task Orders. This flexibility ensures that we consistently deliver high-quality results that align with the precise features and objectives requested by our clients, including the State.

Relevant Data Project Work

Client: Metropolitan Nashville Public Schools Project: Data Migration with Reporting Modules: Student Enrollment, Evaluation, and Assessment, and Student Behavior
Client: Yale University Project 1: Power BI Reporting with Data Migration Modules: Health & Medicine Department: COVID, Vaccination Enrollment Data Project 2: ETL (My SQL to Azure Cloud) and report Migration Qlikview to Power BI/SSRS Modules: University Grant approval Module
Client: Anthology Project: Data Migration Modules: Admissions, Career Services, Academic Records Management, Student Accounts, Student Services, and Financial Aid
Client: Ivy Tech Community School Project: Report Migration from Pentaho to Tableau Modules: Enrollment, Grading/Evaluation, Accounting, Staff, Revenue
Client: Blackbaud Project 1: Data Scrubbing, Data Mapping, ETL, and Reporting Module: Ticketing & Education Administration Module Project 2: ETL Migration Module: Basic eLearning and Fundamentals Certifications Department

1. Discovery Phase:

Timeline: Within the first two weeks of Project

- ✓ Identify the business problem and objectives.
- ✓ Gather and analyze available data sources.
- ✓ Determine the feasibility of the project.
- ✓ Define key performance indicators (KPIs) for the project.

2. Design Phase

Timeline: TBD by Task Order Terms

- ✓ Develop a project plan, including timelines and deliverables.
- ✓ Define the data requirements, including data sources, data format, and data quality.
- ✓ Develop a data model that aligns with the business objectives and KPIs.
- ✓ Select appropriate analytics tools and technologies.
- ✓ Identify potential risks and mitigation strategies.

3. Development Phase

Timeline: TBD by Task Order Terms

- ✓ Collect and prepare data for analysis.
- ✓ Implement the data model and analytics solution.
- ✓ Develop data visualization and reporting tools.
- ✓ Conduct preliminary data analysis to validate the approach.
- ✓ Refine the solution based on feedback from stakeholders.

4. Testing and Q&A Phase

Timeline: TBD by Task Order Terms

- ✓ Perform rigorous testing to ensure the accuracy and reliability of the analytics solution.
- ✓ Conduct user acceptance testing to ensure the solution meets the business objectives and KPIs.
- ✓ Perform quality assurance to ensure the solution is free of errors and bugs.
- ✓ To address any issues or concerns identified during testing and Q&A.

5. Deployment Phase

Timeline: TBD by Task Order Terms

- ✓ Deploy the analytics solution in a production environment.
- ✓ Monitor the performance of the solution to ensure it is meeting the business objectives and KPIs.
- ✓ To address any issues or concerns identified during deployment.
- ✓ Provide ongoing support to end-users.

6. Training Phase

Timeline: Within two weeks after Deployment

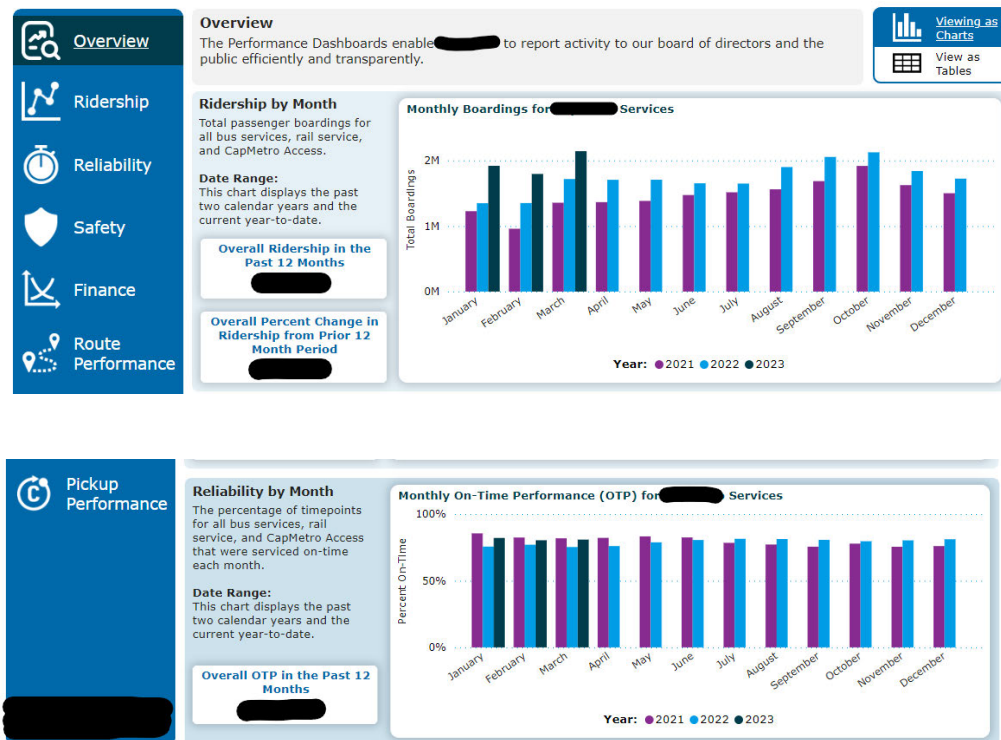
- ✓ Develop training materials and documentation for end-users if needed.
- ✓ Provide training to end-users on how to use the analytics solution.
- ✓ Provide ongoing support and training to ensure end-users can use the solution effectively and efficiently.

Overview of Data Analytics Approach:

Building a Data Analytics platform/ service, CCS has a robust and proven approach encompassing the following steps:

- ✓ **Data collection:** In this step, CCS' starts the process of gathering information or data from various sources to analyze and make decisions based on that data. In this step, we also develop a data collection plan for the entire project.
- ✓ **Data storage:** Once the data has been collected, it will be stored in a secure and scalable database. The collected data would be stored in a scalable and secure data storage solution, such as a cloud-based or on-premises data warehouse.

- ✓ **Data processing:** The collected data will be processed to extract meaningful insights and information. This can be achieved by using data processing techniques such as filtering, aggregation, and enrichment.
- ✓ **Data analysis:** The process will be analyzed using statistical and machine learning techniques to uncover hidden travel data patterns and relationships. This can be done using tools such as Apache Spark, Apache Storm, or R.
- ✓ **Data visualization:** The results of the data analysis will be visualized in a way that is easy to understand for users. This can be achieved through the use of interactive dashboards, maps, charts, and graphs. The platform will provide a user-friendly experience for users to access and utilize the available data. This includes designing a user-friendly interface and providing relevant information and services to users based on their needs and other data. The below images showcase reporting dashboards that CCS created for one of our clients.



- ✓ **Data Access, Storage, and Sharing** CCS, along with the client, determines the level of access required by each user, such as read-only or read-write access, and the specific data sets or resources that they need to access.
- ✓ **Post-Production & Customer Support:** Customer support is essential to a successful data analytics implementation. This will ensure that users can effectively use the data analytics tools and solutions implemented and can also help identify and resolve any issues that arise. Users

can refer to clear and concise documentation and training materials when they need help. This can include user manuals, video tutorials, and FAQs.

In addition to our above-proven data analytics approach, we also perform the following activities:

- ✓ Regularly monitor the performance of the data analytics tools and solutions to ensure that they are working as expected and address any issues that arise. This will include monitoring the data quality, the algorithms' performance, and the user experience.
- ✓ Ongoing user support to help users troubleshoot any issues they encounter and aid with using the data analytics tools and solutions.
- ✓ Regularly update the data analytics tools and solutions to ensure that they remain relevant and effective. That will include bug fixes, performance improvements, and new features.
- ✓ Regularly review the data analytics project to identify improvement opportunities, including adding new data sources, improving the algorithms, or enhancing the user experience.

Additionally, CCS will align the project business case with the State's goals and expectations and then identify and confirm requirements for specific projects for which services need to be delivered. We model both the As-Is and To-Be high-level process flows and define the formal inventory of Business System Requirements needed to implement the Solution Blueprint. We use (and update regularly) application mock-ups, which behave like real applications. Working closely with our clients, we complete **Exhibit 3** Analyze Phase deliverables to support the requirements confirmation:

Analysis Phase Deliverables	Purpose
Requirements Gathering / Confirmation (Service Delivery)	
As-Is Process Flows	Document activities currently performed to accomplish a business goal.
Organizational Change Template	Identify organizational changes that may be required when a "To-Be" solution is implemented.
Business Case Requirements	Gather key statistics used to construct the cost/value analysis, including current systems, client service levels, operational efficiency, and headcount.
Requirements Gathering / Confirmation (Functional)	
Functional Requirements Document	Inventory of business requirements identified before defining the "To-Be" process flows.
Policy Requirements	Documents policies impacted by "As-Is" process flows based on policy checklist.
Requirements Gathering / Confirmation (Data)	
Analysis Phase Deliverables	Purpose
Data Conversion Requirements	Document data sources required to support current business functions; information is used to define the data model and data conversion plan.

Requirements Gathering / Confirmation (Technical)	
Security Requirements	Document requirements that protect the confidentiality of data and business functions based on a security checklist
Technical Architecture Requirements	Documents requirements related to the system architecture as well as the reporting and document management solutions
Fit / Gap Analysis	
To-Be Process Flows	High-level sample workflows are created based on the applicable packaged solutions; sample workflows are used as a starting point in defining 'To Be' Process flows.
Gap Analysis Document	Document any gaps between Agency business requirements and box capabilities of package solutions when used.
Business & System Impact Assessment	
Agency Briefing	Executive Summary presentation for project steering committee used to facilitate management review of options to address gaps between agency requirements and available technology solutions. Options may include processing changes or the development of custom solutions to meet the Agency's unique needs.
Business Case Confirmation	Confirms the cost/value proposition based on the recommendations from the business and systems impact assessment task.
Finalized Requirements	
Business System Requirements (BSR)	The finalized and detailed business systems requirements are based on the decisions made in the "business and systems impact assessment" task. The BSR contains a numbered inventory of requirements for traceability through the system design and development process.

Exhibit 3 Requirements and capabilities defined with building/managing support

For the experience and qualifications of our key personnel please see section **C.7 Project Staffing**.

C.9 CONTRACT MANAGER AND CUSTOMER SERVICE

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