# 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 November 1, 2023. 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 Contact 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 Statue, 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
* Auditor Qualifications and Experience
* Cost

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**

1. Service Category: Enter appropriate category as identify in STC #8411A
2. Location of Work: Enter address , remote work or define if some of the work can be performed remotely.
3. Invoicing: Invoices will be submitted no more then monthly and must included the individual’s name, job title, hourly rate, number of hours worked and total amount per person. The Vendor may submit an invoice the combines all hours by title (see section 11) but **must** provide other documents that support the combine hours, and this document must have the individual’s name, associated hours and title as identify in Section 11. Agency name will withhold 10% of the contract to be paid upon final completions and acceptance of Vendors work.
4. 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.

1. Work Papers: Any and all work papers, documents, and reports (hereinafter referred to as work papers) created or obtained under the agreement between the Soliciting Agencies and Vendor are the property of the Soliciting Agencies. All work papers shall be provided to the agency and the Vendor shall not retain copies of any of the work papers unless the Vendor is required to comply with quality assurance review standards set by a regulatory body such as the American Institute of Certified Public Accountants or U.S. Security Exchange Commission or some other regulatory body, or when the soliciting agencies agrees, in writing, to waive this requirement. This does not include the Vendor’s intellectual property.

**SECTION 8: DATA CLASSIFICATION**

*Note to Agency: Each Scope of Work will be required to receive and securely manage data that is classified as: 1) Low Risk, 2) Medium Risk, or 3) High Risk. For a definition of each data class, refer to the* [*NC Statewide Data Classification and Handling Policy*](https://it.nc.gov/document/statewide-data-classification-and-handling-policy)*.* *The classes determine the level of security that must be placed around the data. If data includes multiple classifications, the classification must default to the highest level.*

The [Project Title] will be required to receive and securely manage data that is classified as [Low Risk, Medium Risk, or High Risk].

**SECTION 9: DATA SOLUTION & SECURITY INFRASTRUCTURE**

The Vendor must confirm if the Vendor Readiness Assessment Report and/or Third Party Assessment approved in the original State contract applies to the current SOW/project as described in the RFQ. If yes, Vendor may move forward with the previously approved Department of Information Technology Security clearance. If not, Vendors must supply **with their offer** the applicable third party assessment for that specific solution infrastructure as defined in the BAFO Section 1.2 SOLUTIONS NOT HOSTED ON STATE INFRASTRUCTURE.

**YES**

**NO**

**SECTION 10: 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.

1. Vendor Primary Contract*:*
2. Name and Title:
3. Telephone Number, office:
4. Address:
5. Email Address:
6. Vendor Secondary Contract Alternate Contact:
7. Name and Title:
8. Telephone Number, office:
9. Address:
10. Email Address:

**SECTION 11: 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 12: AUDITOR, ACCOUNTING, DATA ANALYTIC AND MANAGERIAL ADVISORY QUALIFICATIONS AND EXPERIENCE**

Vendor shall provide the names and qualifications of all personnel being submitted to meet the requirements of this Scope Statement, including their roles during the audit engagement. Resumes may be provided to meet this requirement. Any staff changes must be approved by the soliciting agency.

Demonstrate your 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 13: 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.

|  |  |  |  |
| --- | --- | --- | --- |
| Choose an item. | | | |
| **Position** | **Hourly Rate** | **Number of Hours** | **Total ($) Amount**  (Rate x Staff x Hours) |
| Staff Base Rate | $ |  |  |
| Staff Upper Rate | $ |  |  |
| Supervisor |  |  |  |
| Manager | $ |  |  |
| Executive |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
| **TOTAL Estimated Not-to-Exceed** | | | **$** |

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