

**DIVISION OF LEGISLATIVE AUDIT  
RFP NUMBER 22-33-01  
AMENDMENT NUMBER 1**



**Division of Legislative Audit**  
Attn: JC Kestel  
State Capitol, 120 4<sup>th</sup> Street, Room 3  
Juneau, AK 99801-1182

**DATE AMENDMENT ISSUED: February 16, 2022**

**RFP TITLE: RFP 22-33-01 - AN EXAMINATION OF IRIS AND ALDER INFORMATION  
TECHNOLOGY GENERAL CONTROLS AND APPLICATION CONTROLS**

**RFP CLOSING DATE & TIME: 2:00PM Alaska Time on February 23, 2022**

The following changes/additions/clarifications are made:

**1. On Page 24, sec. 5.01 (Scope of Work) is amended to read as follows:**

**5.01 Scope of Work**

The Division will require detailed, written documentation of all procedures performed, including, but not limited to, any checklists, working papers, or flowcharts obtained or created during the engagement. In documenting the results of the engagement, the contractor will also be required to identify control weaknesses, identify the types of potential misstatements that could occur, and identify the State's policies and procedures to prevent or detect these misstatements. These documents become the property of the Division and will be used in designing appropriate substantive testing to be performed.

After the contract has been awarded, the following key dates related to the examination apply:

Item	Anticipated Date of Action FY 22 Examination	Anticipated Date of Action FY 23 Examination
Project Starts	Monday, April 11, 2022	Monday March 20, 2023
Draft Copies of Report Delivered to DLA	Monday, June 13, 2022	Monday May 22, 2023
Final Copies of Report Delivered to DLA	Monday, June 27, 2022	Monday June 12, 2023

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The engagement services will be made in conformity with the following guidelines and regulations:

1. The attestation standards adopted by the American Institute of Certified Public Accountants (AICPA)
2. The standards for attestation engagements set forth in the U.S. Government Accountability Office's (GAO) *Government Auditing Standards* (2018 - GAO-18-568G). An electronic version of this document can be accessed at: <https://www.gao.gov/assets/gao-21-368g.pdf>.
3. **The criteria set forth in TSP Section 100 2017 Trust Services Criteria for Security, Availability, Processing Integrity, Confidentiality, and Privacy (as updated March 2020) published by the AICPA.**
4. **Applicable state laws**
5. **Special items or reports prescribed by the DLA as set forth in the attached Engagement Services Schedule (ATTACHMENT A).**

DLA shall have the right to reject, at any time during this contract period, any work not meeting the terms of this contract. Should DLA reject any services, the DLA project director shall provide written notice to the contractor of such rejection, giving the reason for the rejection. Written notice shall be made either electronically or delivered via hard copy to the contractor, whichever method selected is in the sole discretion of DLA. The right to reject services shall extend throughout the life of the contract.

2. The following questions were received from potential offerors:

- 1) *We would like to know what the audit appropriation is on an annualized basis.*

**Response:** The Legislative Audit appropriation for FY 22 is \$6.601 million. Included in this amount is an increment of \$175,000 specifically for the audit of IRIS/ALDER.

- 2) *My understanding is that there would be an appropriation available on an annual basis.*

**Response:** See response to question 1) above.

- 3) *Then are you willing to share what your budget is, anticipate budget amount?*

**Response:** The FY 22 budget was increased by 175,000 to allow for an audit of IRIS/ALDER. This amount was based on the prior year's contract.

- 4) *I would like to know a little bit more about what the upgrade functionality changes include.*

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**Response:** Legislative Audit has requested further clarification on the changes from the Division of Finance (DOF). The information will be issued in a future Amendment to this RFP once received by Legislative Audit.

- 5) *In regard to the planned upgrades, what is DOF's confidence that they will complete the upgrades before this work is supposed to begin.*

**Response:** Legislative Audit has requested further clarification on the changes from the Division of Finance (DOF). The information will be issued in a future Amendment to this RFP once received by Legislative Audit.

- 6) *Can you repeat the timeline for the updates to the Alder system?*

**Response:** The ALDER system will go down on February 19, 2022 and come back up on March 1, 2022.

3. All other terms and conditions of Request for Proposals 22-33-01 will remain as written.

**A signed copy of this amendment and any others issued, in addition to your proposal, must be received by the issuing office prior to the closing date and time for your proposal to be considered responsive.**

JC Kestel, Procurement Manager  
PHONE: (907) 465-6705  
TTY: (907) 465-4980  
EMAIL: [JC.Kestel@AKLeg.gov](mailto:JC.Kestel@AKLeg.gov)

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NAME OF COMPANY

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AUTHORIZED SIGNATURE

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TITLE

\_\_\_\_\_  
PRINTED NAME

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DATE