

**SUPREME COURT OF LOUISIANA  
400 ROYAL STREET, SUITE 1190  
NEW ORLEANS, LA 70130-8101**

**RFP 2017-001  
REQUEST FOR PROPOSALS FOR  
INTERNAL AUDITING SERVICES**

**I. PURPOSE**

The Supreme Court of Louisiana invites qualified vendors to submit proposals to provide professional/technical financial and performance internal auditing services, requiring the practical application of audit procedures, general accounting and auditing principles, fiscal guidelines established by state law or court policy, and auditing, business, management and social science research methods. In addition, vendors must adhere to the International Standards for the Professional Practice of Certified Internal Auditors.

**II. BACKGROUND**

The Supreme Court of Louisiana (the “Court”) is a state court of last resort with its principal offices located in the Parish of Orleans, State of Louisiana. The Court presently employs approximately 231 full-time employees. A large majority of Court employees are housed in the 400 Royal Street Courthouse or in other New Orleans locations, along with a small satellite office in Baton Rouge.

**III. SUBMISSION OF PROPOSALS**

One (1) original and three (3) copies of each proposal must be **received**, either by hand delivery or certified mail; or one (1) copy sent via email, no later than **5:00 p.m. on Friday, June 30, 2017** at the following address:

Attention: Terence Sims, Deputy Judicial Administrator  
The Supreme Court of Louisiana  
Office of the Judicial Administrator  
400 Royal Street, Suite 1190  
New Orleans, Louisiana 70130-8101  
[tsims@lasc.org](mailto:tsims@lasc.org)

Any proposals which are received after this deadline will not be considered. All proposals must bear the name of the entity making the proposal, and must have the following clearly written or typed on the face of the envelope or email subject line: “Proposal for Auditing Services”. No faxed submissions will be accepted.

All questions relative to this RFP should be directed to Terence Sims, Deputy Judicial Administrator and not to any other person at the Court. Mr. Sims may be reached via telephone at (504) 310-2550 or via e-mail at [tsims@lasc.org](mailto:tsims@lasc.org).

The Court specifically reserves the right to reject, in full or in part, all proposals submitted, and/or to cancel this request for proposals, when such action is in the Court's best interests. Any contract which may be awarded shall be based upon the proposal which is most advantageous to the Court and its employees, costs and other factors considered. All contracts are subject to the availability of funds.

#### **IV. TIMETABLE FOR PROPOSALS**

Issue date of RFP	June 5, 2017
Deadline for receipt of proposals	June 30, 2017

**NOTE:** The Court reserves the right to amend and/or change this timetable as it deems necessary.

#### **V. SCOPE OF SERVICES**

The Court wishes to enter into an agreement with an independent accounting firm to perform internal auditing services. The winning firm would be responsible for assigning an experienced and dedicated team to provide professional/technical financial and performance auditing requiring the practical application of internal audit procedures, general accounting and auditing principles, fiscal guidelines established by state law or court policy, and auditing, business, management and social science research methods. In addition, vendors must adhere to the International Standards for the Professional Practice of Certified Internal Auditors. Work involves the study and assessment of financial control risks and recommendation of appropriate corrective action as necessary. Services may include:

- Plan financial and performance audits, including objectives, data collection, period of audit, scope, sample sizes, tests, confirmations, cut-offs and other substantive audit procedures as necessary;
- Examine documents such as program goals and objectives and other documents related to program compliance and effectiveness, personnel records, payroll registers, payroll distribution journals, cash receipt and disbursement journals, inventory records, accounts receivable and payable registers, banking records and general ledgers for accuracy and comprehensiveness;
- Examine supporting documents such as case records, memoranda, time sheets, invoices, receipts, canceled checks and sales slips to ascertain validity of expenditures and to determine efficiency and dependability of record-keeping practices;
- Review applicable policies, plans, procedures, laws and regulations and perform tests for compliance with same;
- Verify the existence of assets and reviews the means of security over those assets;

- Appraise the economic and efficient use of resources by identifying areas for special inquiry into fiscal or programmatic practices which may indicate possible duplication of effort, needless delays in work flow, incomplete files and/or violation of policies, laws and rules; and
- Analyze findings to discern problems such as inefficiency, abuse, mismanagement and noncompliance relative to program impact, policies and procedures, human resources, funds, laws, regulations and/or accounting principles.

## **VI. TERM OF INITIAL AGREEMENT**

If a contract is to be awarded, it will be for a one-year period commencing on or about July 15, 2017.

The Court reserves the right to extend the initial contract for such mutually beneficial additional term(s) as may be negotiated.

## **VII. PUBLIC NATURE OF PROPOSAL AND PROSPECTIVE CONTRACT**

All proposals submitted in response to this request for proposals, and any contract which might ultimately be agreed upon, will be open to public inspection by any interested person, firm or corporation. Trade secrets or other proprietary information submitted by a proposer as part of its RFP may not be subject to public disclosure, provided the proposer specifies the relevant law supporting its request for confidentiality. However, the proposer must invoke the protections of this section prior to or upon submission of its proposal, must identify the specific data or other materials to be protected, and must state the reasons why protection is necessary. Any aspect of the proposal which addresses the cost of providing the requested services will not be considered confidential under any circumstance. Any proposal marked as confidential or proprietary in its entirety may be rejected without further consideration or recourse.

**It should be noted and understood that all proposals, contracts and other documents presented in connection with this RFP become the property of the Court.**

## **VIII. COURT DISCRETION**

The Court specifically reserves the right to reject, in full or in part, all proposals submitted, and/or to cancel this request for proposals, when such action is in the Court's best interests. In addition, the Court specifically reserves the right to waive any of the technical requirements of the proposal, when such action is in the Court's best interests.

Any contract which may be awarded shall be based upon the proposal which is most advantageous to the Court and its employees, costs and other factors considered. All contracts are subject to the availability of funds.

## **IX. CHANGES, ADDENDA, WITHDRAWALS**

The Court reserves the right to change the calendar of events or issue addenda to the RFP at any time. The Court also reserves the right to cancel or reissue the RFP.

If the proposer needs to submit changes or addenda, such shall be submitted in writing, signed by an authorized representative of the proposer, and cross-referenced clearly to the relevant proposal section. **All such changes must be received prior to the deadline for proposal submission.**

## **X. COST OF PREPARING PROPOSALS**

The Court is not liable for any costs incurred by proposers prior to issuance of or entering into a contract. Costs associated with developing the proposal, preparing the proposal, and any other expenses incurred by the proposer in responding to the RFP are entirely the responsibility of the proposer, and shall not be reimbursed in any manner by the Court.

## **XI. AUDIT OF RECORDS**

The State Legislative Auditor or other auditors so designated by the Court shall have the option to audit all accounts directly pertaining to the resulting contract for a period of three (3) years after project acceptance or as required by applicable State or Federal law. Records shall be made available during normal working hours for this purpose.

## **XII. RECORDS RETENTION**

The successful proposer shall maintain all records relating to any contract which is agreed upon for a period of at least three (3) years after acceptance by the Court.