# GOVERNANCE, Risk, and COMPLIANCE Consulting SERVICES POOL

# RFP #25-06

# Exhibit D – questionnaire

## GENERAL INFORMATION & CONTACT SHEET

### legal entity with whom the contract is to be written

|  |  |
| --- | --- |
| **Name** |  |
| Mailing address (primary office) |  |
| Phone number |  | Fax number |  |
| Mailing address (alternate office) |  |
| Phone number |  | Fax number |  |

### Primary contact(s)

|  |  |
| --- | --- |
| **Name of Primary Contact, Title** |  |
| Mailing address |  |
| Phone number |  | Fax number |  | Email |  |

|  |  |
| --- | --- |
| **Name of Secondary Contact, Title** |  |
| Mailing address |  |
| Phone number |  | Fax number |  | Email |  |

### principal officers

|  |  |
| --- | --- |
| **Name of Principal Officer #1** |  |
| Mailing address |  |
| Phone number |  | Fax number |  | Email |  |

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| --- | --- |
| **Name of Principal Officer #2** |  |
| Mailing address |  |
| Phone number |  | Fax number |  | Email |  |

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| --- | --- |
| **Name of Principal Officer #3** |  |
| Mailing address |  |
| Phone number |  | Fax number |  | Email |  |

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| **Name of Principal Officer #4** |  |
| Mailing address |  |
| Phone number |  | Fax number |  | Email |  |

### Legal status of organization

(e.g., sole proprietorship, partnership, corporation, etc.).

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| --- | --- |
| Legal Status |  |

### Identification/Certification Numbers

|  |  |
| --- | --- |
| Federal Employer Identification Number |  |
| Washington State Department of Revenue Registration Number (UBI Number) if Applicable |  |

### The location of the facility from which the Offeror will operate

|  |  |
| --- | --- |
| Location |  |

**QUESTIONS AND WRITTEN RESPONSES**

### Instructions

For purposes of this Exhibit, the terms “you” and “your” refer to the Offeror as that term is defined in Section 4.1, *Definitions*, of the RFP.

Provide written answers to the following questions, reproducing the questions with each answer. The total length of your answers to questions listed below shall not exceed 25 pages. The organizational information requested in Section B, and supplemental materials specifically requested by the WSIB (e.g., the organizational chart referenced in Question C.1., or the resumes referenced in Question C.2.), shall not count toward such page limit. The WSIB reserves the right to not review any materials in excess of such page limit and to assign scores accordingly.

### Services Offered

Using the table provided below, please indicate which of the three subject areas that are within the scope of this RFP for which you wish to be considered:

|  |  |
| --- | --- |
| Governance |  |
| Risk Management |  |
| Compliance |  |

### Depth, Stability, and Capacity of Organization

1. Provide a brief description of the firm, including background, history, location, experience, as well as other factors that the Offeror considers relevant. Describe any significant developments in your organization (changes in ownership, personnel reorganization, etc.) that have occurred in the past three (3) years. Discuss any anticipated near-term changes as well. Include how many years your firm has been providing governance, risk, and/or compliance consulting services to institutional investors and public pension fund clients.

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1. Explain in detail any potential for conflicts of interest which would be created by your firm’s retention by the WSIB and include whether your firm and its officers, directors or controlling shareholders have any personal or private business or commercial relationship with any of the WSIB staff or Board members. Please include any activities of affiliated or parent organizations, as well as other client relationships which may inhibit services to the WSIB.

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1. Describe policies and procedures of your firm to identify, mitigate, and prevent possible conflicts of interest among clients, or conflicts of interest that may result from other investment products or services provided by your firm or affiliated organizations.

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1. Since January 1, 2015, has your firm, or any officer or principal in your firm, been involved in any business litigation, legal settlements, regulatory or other legal proceedings or government investigation involving allegations of fraud, negligence, criminal activity, or breach of fiduciary duty? If so, provide a description, explanation, and indicate the current status.

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1. Please provide a list of all clients that either (a) formally complained about your services in the last three (3) years, or (b) terminated a contract for similar services over the past five (5) years. Indicate the reason(s) for such complaint(s) and termination(s) and your process for trying to resolve such issues.

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### Quality and Experience of Personnel

Please provide the following information separately for each subject area your firm is proposing in Section A of this Exhibit. Clearly label each response heading to correspond with such subject service areas.

1. Please provide a functional organization chart, as an exhibit, showing all relevant functions and key management personnel involved in providing the relevant services requested. If any portion of this service is outsourced to another entity, including offshore relationships, provide the same information for the outsourced firm.

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1. Please provide the resumes for at least 1 and up to 3 key persons from your firm who would be assigned to the WSIB to perform the specific types of services requested through this RFP. Please limit the length of each resume to 2 pages.

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1. Please describe your ability and experience to educate the WSIB personnel on governance, risk, and/or compliance topics as requested in this RFP.

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### Governance, Risk, and/or Compliance Services and Approach

Please provide the following information separately for each subject area your firm is proposing in Section A of this Exhibit. Clearly label each response heading to correspond with such subject service areas.

1. Please describe your experience, please describe your firm’s experience, expertise, and approach for each relevant in governance, risk, and/or compliance consulting subject area.

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1. Describe in detail assignments recently undertaken for clients for specific consulting engagements. Include redacted examples of reports and recommendations you have prepared for them. Two examples for each relevant subject area you are being considered for is required.

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1. Please describe your experience in providing consulting services for large institutional investors. Which areas do you typically identify for improvement from your assistance and expertise?

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1. What lead times do you generally require to successfully provide resources to clients for the services described in this RFP? What key dependencies does your firm have in your current staffing?

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1. Describe any software or tools used during consulting projects that you have introduced to clients and have been considered value-add. Please includes details on how the software added value to the client versus software/tools that were already in place.

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1. *For Offerors requesting to be considered for compliance services, please also respond to the following*: Please describe any trends or developments in compliance that are of particular note and may require institutional investors to develop new processes and systems or change existing processes and systems to address.

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### Fees

Please set forth the fee schedule for the services described in Section 2, “Statement of Work,” of the RFP. In no event shall the fees or rates actually paid exceed those set forth in this Exhibit. The Offeror’s rates must be guaranteed for the entire possible duration of the initial period of the resulting contract.

The rates listed below must be all-inclusive, covering all costs associated with the provision of these services, including all travel and other service costs.

While the hourly rates listed below shall be considered in the evaluation of Responses and included as a term in any resulting Contract, the WSIB reserves the right to request alternative billing structures as part of any work request process. When doing so, such fees will be based on the rates included in the Contract and a reasonable estimate of the number of hours and staffing levels required to complete the services described in the specific work request.

The contracts with the selected firm(s) will contain provisions for an extension term. At the time of such extension, the parties may choose to re-negotiate the fees listed herein.

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| --- | --- |
| **Staff Classification (please input classifications that apply to your firm; add rows as necessary)** | **Hourly Fee** |
|  | $ |
|  | $ |
|  | $ |
|  | $ |
|  | $ |