

RFP 000003754 - Lottery Drawing Witness
Technical Proposal
Attachment F

The Technical Proposal must be divided into the sections as described below. Every point made in each section must be addressed in the order given. The same outline numbers must be used in the response. RFP language should not be repeated within the response. Where appropriate, supporting documentation may be referenced by a page and paragraph number. However, when this is done, the body of the technical proposal must contain a meaningful summary of the referenced material. The referenced document must be included as an appendix to the technical proposal with referenced sections clearly marked. If there are multiple references or multiple documents, these must be listed and organized for ease of use by the State.

Technical Proposal

Instructions: Please supply all requested information in the areas shaded yellow and indicate any attachments that have been included. The state is expecting creative cost saving solutions from all of the Respondents in an effort to distinguish the best partner to select.

From Section 2.4 of RFP 000003754

2.4.1 Account Management & Reporting

2.4.1.1 - Do you agree to have a representative available year-round to be present at and monitor all of the lottery's drawings?

Yes, CFFI agrees to have year-round witness representative availability and to monitor all lottery drawings.

2.4.1.2 - Should the Lottery need to make changes to the drawing equipment or code, does your company agree to change its procedure to ensure continued security and integrity of all drawings? How would this change process be implemented?

Yes, upon any request by or notification from the State Lottery Commission of Indiana, CFFI agrees to update its procedures to ensure continued security and integrity of all drawings. We would use a top-down approach to implement the change process, in which the Supervisory CPA will submit planned procedure updates in writing to the Lottery Commission point of contact. Upon receiving approval of the procedure update's sufficiency to address the program change, the Supervisory CPA and/or Scheduling & Logistics Coordinator will train all staff witnesses on the updated procedure, provide updated checklists for staff use during the lottery draws, and consider observing staff witness procedures as needed until the changes are 100% implemented.

2.4.1.3 - Does your company have experience with similar entities? If so, please describe services provided to them.

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2.4.1.4 - What are the standard reports that your company provides to customers? Please provide a list of your company's standard reports, including examples, as an attachment to your RFP response. Please note which are available online.

CFFI designs custom reports and regular communications to meet the specific needs of each client. We are flexible to customize client communications and written reports in a mutually agreeable format. Past examples have included:

- Client engagement letters
- Formal written reports with Executive Summary, Scope, Limitations, Findings, and Conclusions summarizing an entire engagement
- Weekly activity reports specifying significant updates, procedures, and circumstances as they occur
- Periodic, ad hoc, or annual formal briefings using professional PowerPoint presentations
- Completed compliance checklists with exception report for each observation or unit audited
- Forensic accounting expert witness report for criminal and civil court proceedings
- Weekly and monthly reports of time and expenses

CFFI provides deliverables directly to our clients' point of contact, using secured and encrypted communication when needed for sensitive material.

Appendix 1 to this Attachment F includes sample CFFI reports and formats.

2.4.1.5 - Describe how your company will be able to provide reports to the Lottery on a monthly basis and also provide a deviation report the following workday after a drawing occurs?

CFFI will prepare monthly reports as well as next-day deviation reports for any exceptions identified during lottery drawing observations. Each report would come directly via email (secured and encrypted, if necessary) from the Supervisory CPA or designated company official to the Lottery Commission point(s) of contact. Witnesses will be trained to immediately (while still on site at the lottery drawing) communicate any deviations observed to the Logistics Coordinator and Supervisory CPA and will be directed to write up the deviation on the same day, immediately following the completion of the lottery draw. CFFI will be available for meetings to discuss any questions or concerns about the content of any reports or to make improvements to the reports as directed by the Commission.

2.4.1.6 - Will your company be able to provide one single point of contact for the lottery to communicate with on all issues?

Yes, the Supervisory CPA will act as the single point of contact for the State Lottery Commission. Backup CPA and Scheduling/Logistics Coordinator are also available upon any request of the State or in the event that the primary contact is unavailable for any urgent or immediate needs.

2.4.1.7 - Please provide detail on the personnel who will be assigned to this project and their qualifications to provide this service.

We have assembled a highly qualified and professional team for this proposal. **Appendix 2** is attached to this Attachment F to introduce the following team of CFFI and its partner firms:

- Jennifer Hathaway, Supervisory CPA, Program Manager, Lottery Drawing Witness backup
- Michael Hathaway, Scheduling & Logistics Coordinator, Lottery Drawing Witness backup
- Debra Currey, Backup Supervisory CPA, Lottery Drawing Witness backup
- CFFI Staff, Lottery Drawing Witness
- Bondry Management Consultants, LLC (MBE) Assigned Staff Member(s), Lottery Drawing Witness
- ST Logic (WBE) Assigned Staff Member(s), Lottery Drawing Witness
- Vespa Group (IVOSB) Assigned Staff Member(s), Lottery Drawing Witness

2.4.1.8 - Please describe the back-up procedures your company will establish to ensure the presence of a qualified representative at every scheduled drawing.

1. Advance Scheduling. Every drawing will have a witness and backup witness scheduled at least 2 weeks in advance of the drawing. Each morning, the scheduling & logistics coordinator will confirm current availability with the scheduled witness and backup for every observation that is scheduled for the day.
2. Emergency Backups. We will have at least 7 active witnesses trained on lottery drawing witness procedures at any given time. In case of emergency unavailability of the scheduled witness and backup, all remaining witnesses will serve as emergency backup, in addition to the Scheduling & Logistics Coordinator, Supervisory CPA, and Backup Supervisory CPA, all of whom will serve as emergency backup witnesses.
3. Continuous Communication. We will be using Slack or a similar form of group communications that will allow our entire pool of trained witnesses to have visibility to the witness schedule and to be in contact with one another on a moment's notice. The scheduled witness will alert the entire team immediately upon encountering circumstances that would require backup to ensure any vacancies are promptly filled.
4. Local to Indianapolis. CFFI and all of its subcontractor partners are headquartered locally in and around Indianapolis. Upon any unforeseen circumstances, our entire team of trained witnesses will be within reasonable proximity to arrive on site expeditiously for a lottery drawing.

2.4.1.9 - Does your company have a back-up supervisor who is also a CPA?

Yes, see 2.4.1.7.

2.4.2 Training

2.4.2.1 Describe your company's employee training programs. Explain how training will specifically address Indiana laws and Lottery regulations and practices.

We hire highly qualified professionals who are respected and often credentialed in their accounting, auditing, compliance, monitoring, and investigative capacities. Employees receive client-specific, on-the-job training under the supervision of credentialed owners. For this contract, the Supervisory CPA will work with the State Lottery Commission of Indiana to ensure that training materials and witnessing programs are tailored to meet all requirements under IC 4-30 and related regulations. We will ensure that every witness demonstrates a thorough understanding of the regulations and procedures and that they have observed at least one afternoon and one evening lottery draw before performing witness procedures on their own. Our Supervisory CPA will be available to witnesses for any questions or deviations that arise during any lottery draws.