



# Invitation for Sealed Proposal 00-413

Description: Mainframe Security Review

Department: Internal Auditing

City of Tulsa

Page 1 of 18

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**Mail Sealed Bid TO:**

City of Tulsa  
200 Civic Center, Room 109  
Tulsa, Oklahoma 74103

**Envelope/Box Labeling:**

Proposal Number and opening date must appear on the lower left corner of all envelopes and box tops.

**Sealed Bid Due By:**

**5:00 PM  
Wednesday  
May 23, 2001**

**Bid Opening:**

**8:30 AM the next day  
City Council Room**

Bid Bond Required: \_\_Yes X No  
Performance Bond: \_\_Yes X No  
PreBid Conference: \_\_Yes X No

Response to this request must be submitted on this form with requested and supporting documents attached to the back of packet.

5 Copies Required

**Published:** **Tulsa Daily Commerce and Legal News**(announcement only) May 3,4,7,8,9 2001

**Purchase Net Fax-on-Demand: 918-596-1171**

**Purchase Net Website: [www.cityoftulsapurchasing.org](http://www.cityoftulsapurchasing.org)**

**City Contacts:**

**Project Buyer:**

Bill Youngblood, CPM  
byoungblood@ci.tulsa.ok.us  
Fax: 918-699-3153  
Phone: 918-596-7551

**Technical Questions:**

Jim Bella  
jbella@ci.tulsa.ok.us  
Fax: 918-699-3475  
Phone: 918-596-7840

**Acknowledgement of Intent:**

E-mail the Project Buyer of your intent. If you don't receive a return e-mail within 48 hours, contact the Project Buyer

**Addendum:**

All addenda will be communicated to all known respondents in writing. Any verbal communications by any City personnel or their agent will not be a part of these bid specifications.

**NIGP Codes:**

**918-29-00-000-0; 918-28-00-000-0**

**RETURN THIS ENTIRE RFB PACKET WITH ANY SUPPORTING DOCUMENTS ATTACHED TO THE BACK**

I have read and understand these Bid Specifications and agree to adhere to all terms and conditions contained herein. I have included all costs in my bid to implement the solution requested in these bid specifications. Exceptions must be described in detail and attached to this bid packet. Note: Taking an exception to a "must item" may cause your bid to be rejected. ( DO NOT PRINT SIGNATURE)

Firm name: \_\_\_\_\_ Date: \_\_\_\_\_

Street: \_\_\_\_\_ County: \_\_\_\_\_ City/State: \_\_\_\_\_ Zip: \_\_\_\_\_

E-Mail \_\_\_\_\_ Fax: \_\_\_\_\_ Phone: \_\_\_\_\_

Print Name: \_\_\_\_\_ Signature: \_\_\_\_\_

( Authorized agent for the firm shown)

**\*\*\* Entire packet must be notarized by Notarizing this page\*\*\***

Subscribed and sworn to before me this \_\_\_\_\_ day of \_\_\_\_\_, 19\_\_\_\_\_.

Signature of Notary Public \_\_\_\_\_ MY COMMISSION EXPIRES: \_\_\_\_\_



**Invitation for Sealed Proposal 00-413**  
**Description: Mainframe Security Review**  
**Department: Internal Auditing**

**City of Tulsa**

Page 2 of 18

**TABLE OF CONTENTS**

<b><u>Topic</u></b>	<b><u>Page</u></b>
<b>Cover Page</b>	<b>1</b>
<b>Table of Contents</b>	<b>2</b>
<b>Interest and Bidder Affidavit</b>	<b>3</b>
<b>Contractor / Bidder Information Sheet</b>	<b>4</b>
<b>Detailed Price Sheet – Fee Proposal Form</b>	<b>5</b>
<b>I. Introduction</b>	<b>6</b>
<b>II. System to be Evaluated</b>	<b>6</b>
<b>III. Audit Staff Assistance to the Consultant</b>	<b>6</b>
<b>IV. Scope of Consultant Services</b>	<b>7</b>
<b>V. Scope of Educational Services</b>	<b>9</b>
<b>VI. Deliverables</b>	<b>9</b>
<b>VII. Other Information</b>	<b>10</b>
<b>VIII. The Selection Process</b>	<b>11</b>
<b>IX. Structure of Proposal</b>	<b>12</b>
<b>X. Non-discrimination provision</b>	<b>13</b>
<b><u>EXHIBITS</u></b>	
<b><u>#1 Scoring Sheet to be completed by the City</u></b>	<b>15</b>
<b><u>#2 Qualifications and independence statement</u></b>	<b>17</b>



**Invitation for Sealed Proposal 00-413**

**Description: Mainframe Security Review**

**Department: Internal Auditing**

**City of Tulsa**

Page 3 of 18

**INTEREST AFFIDAVIT**

**State and County (Same as shown by the authorized agent on the front of this packet)**

**I, the authorized agent shown on the front of this packet**, of lawful age, being first duly sworn, states that s(he) is the agent authorized by the bidder to submit the attached bid. Affiant further states that no officer or employee of the City of Tulsa either directly or indirectly, owns a twenty-five percent (25%) interest in the bidder's business or such a percentage which constitutes a controlling interest. Affiant further states that the following officers and/or employees of the City of Tulsa have some direct or indirect interest in the bidder's business:

-----  
-----  
-----

**BIDDER AFFIDAVIT - TITLE 74 O.S. (1974 SUPP.) 85.22-85.25**

**State and County (Same as shown by the authorized agent on the front of this packet)**

**I, the authorized agent shown on the front of this packet**, of lawful age, being first duly sworn on \_\_\_\_\_ oath says

1. (s)he is the duly authorized agent of the firm presenting this response, the bidder submitting the competitive bid which is attached to this statement, for the purpose of certifying the facts pertaining to the existence of collusion among bidders and between bidders and municipal officials or employees, as well as facts pertaining to the giving or offering of things of value to government personnel in return for special consideration in the letting of any contract pursuant to the bid to which this statement is attached.
2. (s)he is fully aware of the facts and circumstances surrounding the making of the bid to which this statement is attached and has been personally and directly involved in the proceedings leading to the submission of such bid; and
3. neither the bidder nor anyone subject to the bidder's direction or control has been a party;
  - a. to any collusion among bidders in restraint of freedom of competition by agreement to bid at a fixed price or to refrain from bidding,
  - b. to any collusion with any municipal official or employee as to quantity, quality or price in the prospective contract, or as to any other terms of such prospective contract, nor
  - c. in any discussions between bidders and any municipal official concerning exchange of money or other thing of value for special consideration in the letting of a contract.



## Contractor/Bidder Information Sheet

**To be completed by all respondents to  
 Invitations for Sealed Bids or Proposals  
 (Print or type)**

<b>Project No:</b>		
<b>Description:</b>		
<b>Taxpayer Identification No:</b>		
<b>Legal Identity:</b> <small>Corporation, Partnership, Individual, etc.</small>		
<b>Full Name of Bidder:</b>		
<b>Street :</b>		
<b>City/State/Zip:</b>		
<b>Project Manager</b>		<b>Legal Contact</b>
Name:		Name:
Street:		Street:
City/State/Zip:		City/State/Zip:
E-Mail:		E-Mail:
Phone:		Phone:
Fax:		Fax:
<b>Alternate Contact:</b>		<b>Alternate Contact:</b>
Name:		Name:
E-Mail:		E-Mail:
Phone:		Phone:
Fax:		Fax:
<b>Website Address:</b>		
<b>Would you like to receive information to register as a potential supplier to the City of Tulsa for other projects?</b>	<b>Yes</b> <input type="checkbox"/>	<b>No</b> <input type="checkbox"/>
Fax to: Phyllis Brown 918-699-3225		



**Fee Proposal Form**

**Name of proposing firm:**

**Proposed fee for professional consultant services in accordance with all specifications and terms and conditions herein: (maximum amount \$25,000)**

\$
----

**Hourly rate for expansion of initial agreement. Use this place to also indicate the hourly rate bid to accomplish additional work, identified by vendor, beyond the services proposed to be compensated by the amount bid in the above box:**

\$ \_\_\_\_\_ per Hour

**No extra charges will be permitted unless the City issues an amendment to the contract and it is agreed to by the contracted firm.**

**Publication of results:**

The results of the selection committee will be published on the website and fax-on-demand as soon as the results are available. The award will be published after Mayoral approval.



**CITY OF TULSA**  
**OFFICE OF THE CITY AUDITOR**

**REQUEST FOR PROPOSALS FOR PROFESSIONAL CONSULTANT SERVICES**

**I. Introduction**

This RFP is requesting audit/consulting services to conduct a SECURITY survey and limited penetration testing of the main frame environment.

We seek a consultant qualified, willing and able to render a defensible opinion on the scoped security environment which provides:

1. assurance or assessment of the adequacy of existing security provisions and
2. recommendations to improve our security.

Content requirements for the respondent's proposal are set forth below in sections IV, V, VI, VII (sections four through seven.)

**Organization Background Information**

The City of Tulsa operates under the Mayor - Council form of government and provides the normal services of most large cities including police protection, fire protection, golf courses, parks, zoo, public facilities, traffic control, street construction, and street maintenance. Services which the City provides in cooperation with various Public Trusts, for which a fee from the user is collected, are water, wastewater, solid waste management, airports, transportation, parking, public events and recreation.

The City of Tulsa is governed pursuant to the City Charter. The Mayor is the chief executive officer of the City and is responsible for the administration of City services through the various city departments, trusts and authorities. The position of City Auditor is established by the City Charter and is an at-large elected position independent of the mayor and city council.

The information systems environment of the City consists of several departmental areas that decentralized in 1994. The City Auditor's Office has requested funds to be budgeted each year for security and technical consulting. Previously a UNIX audit was conducted. \$25,000 was spent in the 1999-2000 fiscal year for a network penetration audit and detection software to be used to improve security. Twenty-five thousand dollars is earmarked for this main frame security audit anticipating that some of the funds will be allocated to fixing weakness discovered. A similar amount has been requested for FY2001-2002 consulting.

**II. System to be Evaluated**

There is only one main frame to be evaluated: an IBM 9672-RB5 Plug Compatible System.

Greater detail on the nature of the system will be provided to those firms who acknowledge an intent to bid in accordance with the instructions on page 1, i.e. Contacting the Project Buyer.

**III. Audit Staff Assistance to the Consultant**



**Invitation for Sealed Proposal 00-413**  
**Description: Mainframe Security Review**  
**Department: Internal Auditing**

City of Tulsa

Page 7 of 18

We expect the consultant to be experienced and very technically oriented. For us to take full advantage of the technical expertise of the successful candidate and allow most of the consultant's time to be focused on technical activities, as defined in section III, we will provide assistance to the consultant in a variety of ways. We are prepared to assist the consultant with:

**A. Administrative support:**

1. Dictation, typing, data entry and distribution.
2. Scheduling.
3. Collection of data requested by the consultant prior to arrival and while on site.
4. Pre Audit Activities including distribution and collection of questionnaires; running utilities, scripts and other data collection software; performing checklists and audit interviews.

**B. The City of Tulsa's EDP Auditor is able to coordinate the following:**

1. Completion of consultant supplied questionnaires and checklists. Only one hard copy or electronic copy need be supplied. The appropriate personnel will complete the information gathering documents. If helpful, the data will be consolidated in spreadsheet form. The information gathered will be provided to the consultant so as to allow adequate study time prior to the consultant's on site activity.
2. Implementation of changes and improvements, indicated by the information gathered, prior to the consultants on-site activity.
3. Installation of monitoring devices and/or software; corresponding report generation.
4. Obtaining approval of scripts, programs and processes proposed to be run on the systems during the on-site phase of the consultant's engagement.

**IV. Scope of Consultant Services**

**A. We expect the successful candidate to employ as many of the following methodologies as possible for the fee offered:**

1. Conduct a critical review of the main frame operating system and the main frame telecommunication system as installed and configured to determine security strengths and weakness. A monitored hands-on environment will be arranged for the consultant to use in investigation.
2. Conduct interactive penetration attempt sessions at various entry points possibly including: the console, data center operator consoles, 3270 emulation PCs, and via any PC connected to the network.
3. Provide and execute audit software, scripts, etc. to analyze the security provisions of designated systems.
4. Survey security practices using questionnaires and check lists provided by the consultant and processed prior to the on-site engagement, augmented with on-site interviews where indicated.
5. Perform other tests recommended by the consultant to improve the confidence level in the consultant's evaluation of existing security provisions and the consultant's recommendations for improvement.



**Invitation for Sealed Proposal 00-413**  
**Description: Mainframe Security Review**  
**Department: Internal Auditing**

City of Tulsa

Page 8 of 18

6. Provide information demonstrating your qualifications to execute the solutions you recommend, if asked to do so.
7. Also, indicate that you are ready, willing and able to do the above or a subset of the above which you define.

B. To further define the methodologies you propose to employ, RFP respondents may submit detail lists of any or all the following:

1. List the tests to be performed. Examples:

... we will test whether passwords were changed from the ones shipped initially with the product

... other tests (sophisticated enough to differentiate your RFP proposal from the other candidates.)

2. Test Objectives. State the objectives of the tests. i.e.:

Identify the security measure(s) each test will help identify as being present - or not present, if not obvious from the description of the test listed. For example, "The objective of test #0001 is to determine that passwords were changed from the ones shipped initially with the product."

If the test is simply exploratory and dependent upon the experience and expertise of the assigned consultant to interpret, then so state as "exploratory."

3. Good Security Procedures Assessment

Provide a sample list of security processes and procedures that the consultant will seek to determine exist, or do not exist, in our operating practices. We realize that such a list may not include all the processes a candidate may be qualified to comment on based on on-site observations, nor should the selected candidate limit report comments to this list.

The number of tests proposed, the range of security measures defined and the thoroughness each potential security short coming will be investigated, as indicated in the candidate's proposal, will be considered in the consultant selection process.

- C. We are open to evaluating proposals that differ from the scope and format suggested by paragraphs A and B above. **Candidate's RFPs may either conform to the above methodologies or indicate intent to use a different format to define a scope of service they will offer.** We understand that everything a candidate does in preparing a



**Invitation for Sealed Proposal 00-413**  
**Description: Mainframe Security Review**  
**Department: Internal Auditing**

City of Tulsa

Page 9 of 18

response to an RFP has a corresponding cost that must be recovered. **We would rather more of your effort go into conducting the audit than into customizing an RFP response for us.**

If you have a standard proposal that adequately describes your ability to provide the following, you are welcome to use it.:

1. Provide information demonstrating you are qualified to assure us of the adequacy of our existing security provisions and that you are qualified to recognize weaknesses and communicate that to us.
2. Provide information demonstrating your qualifications to recommend improvements to our security.
3. Provide evidence of your ability to execute the solutions you recommend, if asked to do so,
4. Also indicate that you are ready, willing and able to do the above.

## **V. Scope of Educational Services**

- A. We desire an "over-the-shoulder" view of the consultant's activities to be afforded to those of our staff responsible for security. We would like an arrangement that facilitates knowledge and skill transfer to our employees during the conduct of the audit.
- B. We would like to have an oral presentation to the data center administrators in a debriefing format at the conclusion of the on-site activities. This is the opportunity for the consultant to provide a summary of overall findings, highlight specific high-risk situations discovered and specify activities we should engage in to improve our security posture.

## **VI. Deliverables**

A WRITTEN REPORT ...

- 1) stating an evaluation of existing security provisions,
- 2) an enumeration of security exposures discovered and
- 3) the consultant's recommendations to improve security and operations.



**Invitation for Sealed Proposal 00-413**  
**Description: Mainframe Security Review**  
**Department: Internal Auditing**

City of Tulsa

Page 10 of 18

Note: The security exposures listed and the recommendations made should be correlated/mapped to the specific system(s) or other identification to which they refer. General recommendations must be accompanied by specifics either in the body of the report or appendices.

(4) appendices presenting the reports of tests executed and details of discovery conducted and highlighting/identifying the detail upon which opinions and recommendations are based.

(5) One original signed copy of the final report is required plus one copy in electronic form.

The contents of the written report should correspond to requirements set forth in this RFP and the proposals constituting the bid response to this RFP and negotiated, amending agreements.

- B. EDUCATION. Education as described in section V is a deliverable. A transfer of as much expertise as possible from the consultant to our staff during the conduct of the audit and during a summary oral presentation is considered to be a primary motivation for engaging the consultant.
- D. DELIVERY DATE. The dates deliverables are to be provided are negotiable, however, the initial desired date for completion is June 30, 2001.

## **VII. Other Information**

- A. PRE ON-SITE PREPARATIONS BY THE CLIENT FOR THE CONSULTANT. City staff members may be able to respond to preparatory suggestions and advice of the consultants prior to their arrival, including suggested corrective actions based on early delivery and subsequent analysis of questionnaires and other data requested by the consultant. We will attempt to implement consultant suggested controls, installation of monitoring software and devices, and generate system listings and audit reports as requested by the consultant.
- B. WEEKEND WORK. The on-site portion of the audit may be conducted on a weekend if desired by the consultant.
- C. REVIEW OF CONSULTANT PROCEDURES. During the on-site portion of the audit, all running of scripts, routines, programs and keyboard launched operations required by the consultant will be jointly executed and monitored by the consultant and data center personnel. MOST, IF NOT ALL, OF THESE TOOLS SHOULD HAVE BEEN PROVIDED TO US PRIOR TO THE CONSULTANTS ARRIVAL for review by City personnel for the safety and security of our system. We will discuss questionable routines with the consultants prior to execution. We reserve the right to eliminate any of the procedures.



**Invitation for Sealed Proposal 00-413**  
**Description: Mainframe Security Review**  
**Department: Internal Auditing**

City of Tulsa

Page 11 of 18

- D. TIMING TO START and COMPLETE WORK. Review work and scheduling may begin immediately upon contract approval with completion initially anticipated within eight (8) weeks. The final report should be delivered two weeks later.
- E. CLOSING CONFERENCE. Prior to issuance of the final report, a closing conference will be held between the consultant, City Auditor, Chief Internal Auditor, and EDP Auditor. The closing conference may be conducted as a telephone conference call.
- F. FINAL REPORT COPIES. The consultant will supply one signed original of the final report and an electronic copy.
- G. PRE-BID MEETING. A pre-bid meeting is not considered necessary, however, if one is scheduled, attendance will not be mandatory.
- H. ADDITIONAL TECHNICAL INFORMATION ABOUT ENVIRONMENT AND SCOPE. Additional information requested by one potential bidder will be provided to all potential bidders who have indicated an intent to bid in conformance with paragraph I, immediately below.
- I. ACKNOWLEDGEMENT OF INTENT. You are required to contact the Project Buyer as instructed on the first page of this RFP as set forth under the heading, "Acknowledgement of Intent" in order to receive the additional technical information related to this RFP.

**VIII. The Selection Process:**

- A. The City of Tulsa has administrative guidelines and procedures for the selection of professional consulting services, which will be followed as applicable.
- B. Each proposal will be scored using the Proposed Evaluation Checklist (Exhibit 1). The scoring will be completed by the Consultant Selection Committee composed of the City Purchasing Agent, designated data center or Systems Support personnel, the EDP Auditor and, possibly, a representative from the City's legal department or other persons deemed to be an aid in the selection process. A recommendation of the selected respondent will be submitted to the Mayor for review and approval. Scoring is meant to be an aid to the selection committee, but not binding on them, to allow for fair evaluation of proposals which exceed our expectations in either quality or innovation.
- C. The Mayor will award the contract.
- D. For this engagement, the qualifications of the respondent will be regarded more highly when the proposal includes a statement indicating the respondent is ready, willing and able to respond to a separate but related offer to engage with the City to execute solutions and coding fixes recommended in the written report.. Documentation should be included in the proposal responding to this RFP supporting the respondent's claim to being able to execute said recommendations.



**Invitation for Sealed Proposal 00-413**  
**Description: Mainframe Security Review**  
**Department: Internal Auditing**

City of Tulsa

Page 12 of 18

**IX. Structure of Proposal:**

Proposals should be structured in substantially the same format and order listed "C." below to communicate respondent's understanding of the services required and their capability to provide the required services. The formal bid response should be packaged together as follows:

A. A copy, in its entirety, of this Request for Proposal (RFP), signed and notarized on page one, all blanks filled in with the appropriate information on the various pages.

B. BID AMOUNT is to be entered on PAGE 5 of the signed and notarized RFP.

C. Proposal

>Cover letter. (optional)

>Table of Contents (desirable)

**1. Scope of Consultant Services; Methodology**

Present the detailed approach you would use to conduct an audit of the security of our main frame systems as defined in this RFP, paragraph IV.

**You may submit a proposal with a differing methodology than prescribed here if you wish us to evaluate it upon the condition and acknowledgement that our predefined approach for evaluating proposals may not be able to recognize, appreciate or credit all the features of your methodology. However, we make this statement to encourage bidding by vendors who may have "pre package" methodologies and cannot cost justify tailoring them to respond to the format outlined by this RFP. We encourage all to respond to this RFP in the best way possible and we will do our best to recognize the advantages and credit unique proposals.**

**2. Scope of Systems Evaluated**

Considering the statements in this RFP and augmenting information provided, if any, state the range of systems, subsystems and attached systems you will audit in response to this RFP for the amount bid. Also indicate the amount you would charge for additional evaluations, during the same engagement, if additional funding became available and the nature of those evaluations you are ready, willing and able to perform.

**3. Scope of Educational Services**



**Invitation for Sealed Proposal 00-413**  
**Description: Mainframe Security Review**  
**Department: Internal Auditing**

City of Tulsa

Page 13 of 18

Considering the statements in this RFP, paragraph V., describe the educational activities you propose to provide.

**4. Deliverables**

Considering the statements in this RFP, paragraph VI., describe the deliverables you propose to provide.

**5. Pre-Audit Activities**

Considering the statements in this RFP, paragraph III., use this section to comment on pre-audit activities, if any, you plan to perform or have our assistance in conducting.

**D. Personnel**

Complete a Qualifications and Independence Statement (Exhibit 2) for each individual who will work on the audit. Specific technical, teaching, operations and auditing experience supplied for each individual that will play a major role in the engagement- either on-site or in a reviewer capacity, will aid us in the consultant selection process.

**E. Firm Profile**

Describe activities and audits you have performed similar to the audit being requested by this RFP.

**F. Other Documents**

Provide, at your option, reports, studies, other documents or descriptions of other services that you have provided to clients in previous engagements. Indicate which may be considered samples of deliverables you propose to offer to us. Include in this section statements which document your qualifications to implement the recommendation you make, if you were asked to. Also indicate whether you are ready, willing and able to do so.

**G. Previous Interactions with the City of Tulsa**

Identify instances where your firm has provided or formally proposed to provide professional services to the City within the past five years and the nature of those services.

**H. References**

Provide a list of your previous clients and contact information for those we may contact to discuss their experience and satisfaction with your engagements.

**X. Non-discrimination Required**

In connection with the performance of work under this request for proposals and the resulting Contract, the Respondent agrees as follows:

A. The Respondent agrees not to discriminate against any employee or applicant for



**Invitation for Sealed Proposal 00-413**  
**Description: Mainframe Security Review**  
**Department: Internal Auditing**

**City of Tulsa**

Page 14 of 18

employment because of age, race, color, creed, sex, national origin, ancestry, or physical handicap. The Respondent shall take affirmative action to insure that employees are treated without regard to their age, race, creed, color, national origin, sex, ancestry, or physical handicap. Such actions shall include, but not be limited to, the following: employment, upgrading, demotion, transfer, pay or other forms of compensation, and selection for training, including apprenticeship. The Respondent and Subcontractors shall agree to post in a conspicuous place, available to employees and applicants for employment, notices to be provided by the City Clerk of the City of Tulsa setting forth the provisions of this Section.

- B. In the event of the Respondent's noncompliance with this Nondiscrimination Clause, the Contract may be canceled or terminated by the City of Tulsa. The Respondent may be declared by the City of Tulsa ineligible for further contracts until satisfactory proof of intent to comply shall be made by the Respondent and/or Subcontractors.
- C. The Respondent agrees to include the requirements of this Nondiscrimination Certificate in any subcontracts connected with the performance of this Contract.

**I, the authorized agent shown on the front of this packet, have read**  
**the above clause ( section X ) and agree to abide by its requirements,**  
**as evidenced by my signature on page one of this RFP.**



**Invitation for Sealed Proposal 00-413**  
**Description: Mainframe Security Review**  
**Department: Internal Auditing**

City of Tulsa

Page 15 of 18

**Exhibit 1**

**Scoring Sheet to be completed by the City**

Name of Proposing Firm \_\_\_\_\_

Points: 3=Superior 2=Acceptable/Comparable 1=Present 0=cannot determine.

Item #	CRITERIA	POINTS 0-3	WEIGHT	SCORE
1.	Does the proposal exhibit a clear understanding of the services required?		2	
2.	Do the candidate team members have experience conducting technical evaluations?		2	
3.	Do the candidate team members have experience conducting mainframe evaluations?		2	
4.	Do the candidate team members have experience conducting audits?		2	
5.	Is the candidate team supervision experienced?		2	
6.	Did each review team member submit an executed Independence Statement?		1	
7.	Is the independence of the firm not impaired from previous service or proposals to the City of Tulsa?		1	
8.	Is the proposal neat and well organized, in the format and order specified in the RFP, and did the firm follow all instructions in submitting the proposal?		1	
9.	Fee		3	
10.	Do the proposed methodologies match or exceed the specifications of the RFP?		3	
11.	Quantity of the proposed tests as specified in the RFP.		3	
	Quality of the proposed test, objectives and			



**Invitation for Sealed Proposal 00-413**  
**Description: Mainframe Security Review**  
**Department: Internal Auditing**

City of Tulsa

Page 16 of 18

Item #	CRITERIA	POINTS 0-3	WEIGHT	SCORE
12.	security procedures as referred to in the RFP.		4	
13.	Number of systems the candidate indicates a willingness to review.		3	
14.	Scope of Educational Services proposed IAW the RFP.		2	
15.	Deliverables IAW the RFP.		3	
16.	Pre audit activities proposed by the candidate.		2	
17.	Firm Profile.		1	
18.	Documentation presented in the candidate's proposal, including documentation demonstrating vendors ability to implement their recommendations, if asked to do so.		5	
19.	Overall impression of the candidates likelihood to perform.		4	
20.	Ability to complete audit by June 30, or latest acceptable revised date.		5	



**Invitation for Sealed Proposal 00-413**  
**Description: Mainframe Security Review**  
**Department: Internal Auditing**

City of Tulsa

Page 17 of 18

**EXHIBIT 2**

**QUALIFICATIONS AND INDEPENDENCE STATEMENT**

This form is to be completed and signed by each review team member. It is intended to document the professional qualifications of each reviewer and ensure that he/she would have no personal impairments in conducting the review of the Organization(s) Under Review.

Disclosure of Organizations Under Review: Telecommunications/Information Services  
Department

**TEAM MEMBER QUALIFICATIONS**

Name: \_\_\_\_\_ Title: \_\_\_\_\_

Employer: \_\_\_\_\_ Phone: \_\_\_\_\_

Address: \_\_\_\_\_ Years of Experience: \_\_\_\_\_

Auditing Degrees: \_\_\_\_\_

Mainframe Specific : \_\_\_\_\_

Technical General Certifications; Other significant:

*Types of Audits Conducted:*

Types of Entities Audited:

Brief description of audit experience, training skills and technical expertise:



**Invitation for Sealed Proposal 00-413**  
**Description: Mainframe Security Review**  
**Department: Internal Auditing**

City of Tulsa

Page 18 of 18

**INDEPENDENCE STATEMENT**

I \_\_\_\_\_ hereby certify that I hold no personal impairments that would restrict my independence in performing a review of the UNIX systems of the City of Tulsa. I hold no personal relationships with any of the organization's officials or employees. I hold no preconceived ideas toward the organization or any of its employees. I have had no previous involvement in decision-making or management in the organization that could affect current operations nor am I aware of any other possible impairments.

Signed: \_\_\_\_\_ Date: