

**REQUEST FOR QUALIFICATIONS FOR  
INVESTIGATIVE AND SURVEILLANCE SERVICES**

**ISSUING OFFICE**

**Pennsylvania Turnpike Commission**

**Compliance Department**

**RFQ NUMBER 15-10210-7032**

**DATE OF ISSUANCE**

**July 27, 2015**

**REQUEST FOR QUALIFICATIONS FOR  
INVESTIGATIVE AND SURVEILLANCE SERVICES**

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## PART I

### GENERAL INFORMATION

**I-1. Purpose.** The Pennsylvania Turnpike Commission (Commission) seeks to retain the services of one or more firms experienced in performing investigative and surveillance services to supplement the Commission's existing pool of firms for audit and advisory services. Through this Request for Qualifications (RFQ) process, the Commission seeks to add firms who are able to conduct investigative and surveillance services to the existing audit and advisory services pool. These firms will need to be available to provide such investigative and surveillance services as needed from time to time. Please note that inclusion in the pool does not guarantee or provide assurances that a specific firm will be selected to provide investigative and surveillance services to the Commission.

This RFQ provides interested investigative and surveillance firms, Brokers and Agents with sufficient information to enable them to prepare and submit statements of qualifications for consideration by the Commission to satisfy a need for investigative and surveillance services. Firms, who previously responded to RFQ 12-10210-3837 who wish to be considered for investigative and surveillance services, and other firms wishing to be considered for inclusion in the pool for investigative and surveillance services, should respond to this RFQ in all respects. The terms will run concurrent with the current term of the existing audit and advisory services pool which runs through January 7, 2016 with two (2) one year renewal options.

The Commission reserves the right to retain firms who are not included in the pool(s) to provide services specified in this RFQ. Such selection may be based on complexity and such other factors as the Commission deems, in its sole discretion, relevant.

Following the creation of the pool(s), the Commission reserves the right, in its sole and absolute discretion, to add or remove firms from the pool(s) at any time.

### **I-2. Background.**

#### **The Turnpike System**

The present system is composed of the following: a 359 mile Turnpike Mainline traversing the southern portion of Pennsylvania from east to west, a 110 mile north-south section identified as the Northeast Extension, a 16 mile north-south connection, known as the Beaver Valley Expressway which intersects the Turnpike Mainline in the southwestern portion of the Commonwealth, the 13 mile Amos K. Hutchinson Bypass, which adjoins the Turnpike Mainline near the New Stanton Interchange, a 23-mile section of the Mon/Fayette Project, an eight mile section from the Pennsylvania/West Virginia border to Fairchance, which is located just south of Uniontown, and the first part of the Southern Beltway, the Findlay Connector near Greater Pittsburgh International Airport. When completed, the Mon/Fayette Expressway will extend 65 miles from Interstate Route 68 in West Virginia to Interstate Route 376 near Pittsburgh.

The Pennsylvania Turnpike System has a total of 57 interchanges which connect it with major arteries and population centers in its 531 mile traffic corridor. Thirty of the interchanges are located on the Turnpike Mainline, including Turnpike Mainline barriers at the New Jersey and Ohio state lines, and 10 interchanges are situated on the Northeast Extension. The additional 17 interchanges are located on the three extensions previously noted. There are 17 service plazas

along the Pennsylvania Turnpike System providing gasoline and diesel fuel, other automotive supplies and services, and restaurant services.

**I-3. Issuing Office.** This RFQ is issued for the Commission by the Compliance Department. All questions regarding this RFQ must be directed to the Commission pursuant to the process identified in Section I-10 below. No questions will be addressed except through such process.

**I-4. Scope.** This RFQ contains instructions governing the statements of qualifications to be submitted and the material to be included therein; a description of the service to be provided; requirements which must be met to be eligible for consideration; general evaluation criteria; and other requirements to be met by each statement of qualifications.

**I-5. Problem Statement.**

**A. General Description**

The Commission is soliciting statements of qualifications from firms for the purpose of amending the scope of services performed by the Supplemental Auditing Services Pool to include investigative and surveillance services.

**B. Requested Services**

Firms selected through this RFQ will perform investigative and surveillance services as specified in the work orders issued by the Compliance Department. The services would include both static and mobile surveillance, as well as any needed camera installations in Commission buildings and job sites. The video data would be made available to the Compliance Department for analysis. The requested services could be required for any building or job site; system wide. For a detailed description of the Turnpike system see the background information in I-2.

Each formal work order issued under this contract will specify the objectives, scope and deliverables for the requested investigative and surveillance service. Upon receipt of the work order, firms will submit a proposed cost estimate and project plan which will include anticipated individual and total resource hours and costs, other direct costs, timeline, and schedule of milestones and deliverables for review and approval by the Compliance Department. See Procedures for Issuing Work Orders - Appendix C.

**I-6 Type of Contract.** It is proposed that if a contract is entered into as a result of this RFQ, work will be assigned on an open-end contract basis.

**I-7. Rejection of Statements of Qualifications.** The Commission reserves the right to reject any and all Statements of Qualifications received as a result of this request.

**I-8. Subcontracting.** Any use of subcontractors by a Respondent must be identified in the Statement of Qualifications. During the contract period use of any subcontractors by the selected Respondent, which were not previously identified in the Statement of Qualifications, must be approved in advance in writing by the Commission.

A firm that responds to this solicitation as a prime may not be included as a designated subcontractor to another firm that responds to the same solicitation. **Multiple responses under any of the foregoing**

**situations may cause the rejection of all responses of the firm or firms involved.** This does not preclude a firm from being set forth as a designated subcontractor to more than one prime contractor responding to the project advertisement.

**I-9. Incurring Costs.** The Commission is not liable for any costs incurred by Respondents in their preparation and submission of Statements of Qualifications, in participating in the RFQ process or in anticipation of award of investigative and surveillance service opportunities.

**I-10. Questions and Answers.** Written questions may be submitted to clarify any points in the RFQ which may not have been clearly understood. Written questions should be submitted via email to [RFP-Q@paturndpike.com](mailto:RFP-Q@paturndpike.com) with **RFQ 15-10210-7032 Investigative and Surveillance Services** in the subject line to be received no later than **2:00 p.m., local time, Monday, August 10, 2015.** All questions and written answers will be posted to the website as an addendum to and become part of this RFQ. No questions regarding the RFQ will be addressed except through this process.

**I-11. Addenda to the RFQ.** If it becomes necessary to revise any part of this RFQ before the response date, addenda will be posted to the Commission's website under the original RFQ document. It is the responsibility of all Respondents to periodically check the website for any new information or addenda to the RFQ.

The Commission may revise a published advertisement. If the Commission revises a published advertisement less than ten days before the RFQ due date, the due date will be extended to maintain the minimum ten-day advertisement duration if the revision alters the project scope or selection criteria. Respondents are responsible to monitor advertisements/addenda to ensure the submitted Statement of Qualifications complies with any changes in the published advertisement.

**I-12. Response.** To be considered, Statement of Qualifications must be delivered to the Pennsylvania Turnpike Commission's Contracts Administration Department, Attention: Wanda Metzger, on or before **2:00 PM** local time on **Thursday, September 3, 2015.** The Pennsylvania Turnpike Commission is located at 700 South Eisenhower Boulevard, Middletown, PA 17057 (Street address). Our mailing Address is P. O. Box 67676, Harrisburg, PA 17106.

**Please note that use of U.S. Mail, FedEx, UPS, or other delivery method, does not guarantee delivery to the Contracts Administration Department by the above listed time for submission.** Respondents mailing submissions should allow sufficient delivery time to ensure timely receipt of their Statements of Qualifications. If the Commission office location to which submissions are to be delivered is closed on the Statement of Qualifications response date, due to inclement weather, natural disaster, or any other cause, the deadline for submission shall be automatically extended until the next Commission business day on which the office is open. Unless the Respondents are otherwise notified by the Commission, the time for submission of Statements of Qualifications shall remain the same.

**I-13. Statements of Qualifications.** To be considered, Respondents should submit a complete response to this RFQ, using the format provided in PART II. Each Statement of Qualifications should be submitted in **six (6)** hard copies. In addition to the hard copies of the Statements of Qualifications, **one complete and exact copy of the Statement of Qualifications (along with all requested documents) on CD-ROM or Flash Drive in Microsoft Office or Microsoft Office-compatible format.** The electronic copy must be a mirror image of the hard copy. The CD or Flash drive should clearly identify the Respondents and include the name and version number of the virus scanning software that was used to scan the CD or Flash drive before it was submitted. The Respondent shall

present the Statements of Qualifications to the Contracts Administration Department only. No other distribution of Statements of Qualifications will be made by the Respondent. Each Statement of Qualifications page should be numbered for ease of reference.

An official authorized to bind the Respondent to its provisions must sign the Statement of Qualifications. If the official signs the Statement of Qualifications Cover Sheet (Appendix A to this RFQ) and the Statement of Qualifications Cover Sheet is attached to the Statements of Qualifications, the requirement will be met. For this RFQ, the Statements of Qualifications must remain valid for at least **120** days. Moreover, the contents of the Statement of Qualifications of the selected Respondent will become contractual obligations if a contract is entered into.

Each and every Respondent submitting Statements of Qualifications specifically waives any right to withdraw or modify it, except as hereinafter provided. Statements of Qualifications may be withdrawn by written or fax notice (fax number (717) 986-8714) received at the Commission's address for Statements of Qualifications delivery prior to the exact hour and date specified for Statements of Qualifications receipt.

Overnight Delivery Address:  
Contracts Administration Department  
Attn: Wanda Metzger  
PA Turnpike Commission  
700 South Eisenhower Blvd.  
Middletown, PA 17057

US Mail Delivery Address:  
Contracts Administration Department  
Attn: Wanda Metzger  
PA Turnpike Commission  
P.O. Box 67676  
Harrisburg, PA 17106

However, if the Respondent chooses to attempt to provide such written notice by fax transmission, the Commission shall not be responsible or liable for errors in fax transmission. Statements of Qualifications may also be withdrawn in person by a Respondent or its authorized representative, provided his/her identity is made known and he/she signs a receipt for the Statements of Qualifications, but only if the withdrawal is made prior to the exact hour and date set for Statements of Qualifications receipt. Statements of Qualifications may only be modified by the submission of a newly sealed Statements of Qualifications or submission of a sealed modification which complies with the requirements of this solicitation.

**I-14. Economy of Preparation.** Statements of Qualifications should be prepared simply and economically, providing a straightforward, concise description of the Respondent's ability to meet the requirements of the RFQ.

**I-15. Discussions for Clarification.** Proposers who submit Statements of Qualifications may be required to make an oral or written clarification of their Statements of Qualifications to the Issuing Office to ensure thorough mutual understanding and Proposer responsiveness to the solicitation requirements. The Issuing Office will initiate requests for clarification.

**I-16. Statements of Qualifications Contents.** Statements of Qualifications will be held in confidence and will not be revealed or discussed with competitors, unless disclosure is required to be made (i) under the provisions of any Commonwealth or United States statute or regulation; or (ii) by rule or order of any court of competent jurisdiction. All material submitted with the statement becomes the property of the Commission and may be returned only at the Commission's option. Statements of Qualifications submitted to the Commission may be reviewed and evaluated by any person other than competing Respondents at the discretion of the Commission. The Commission has the right to use any

or all ideas presented in any response. Selection or rejection of the responding firm does not affect this right.

In accordance with the Pennsylvania Right-to-Know Law (RTKL), 65 P.S. § 67.707 (Production of Certain Records), Respondents shall identify any and all portions of their Statement of Qualifications that contains confidential proprietary information or is protected by a trade secret. Statements of Qualifications shall include a written statement signed by a representative of the company/firm identifying the specific portion(s) of the response that contains the trade secret or confidential proprietary information.

Respondents should note that “trade secrets” and “confidential proprietary information” are exempt from access under Section 708(b)(11) of the RTKL. Section 102 defines both “trade secrets” and “confidential proprietary information” as follows:

Confidential proprietary information: Commercial or financial information received by an agency: (1) which is privileged or confidential; **and** (2) the disclosure of which would cause substantial harm to the competitive position of the person that submitted the information.

Trade secret: Information, including a formula, drawing, pattern, compilation, including a customer list, program, device, method, technique or process that: (1) derives independent economic value, actual or potential, from not being generally known to and not being readily ascertainable by proper means by other persons who can obtain economic value from its disclosure or use; **and** (2) is the subject of efforts that are reasonable under the circumstances to maintain its secrecy. The term includes data processing software by an agency under a licensing agreement prohibiting disclosure.

65 P.S. §67.102 (emphasis added).

The Office of Open Records has determined that a third party must establish a trade secret based upon factors established by the appellate courts, which include the following:

- the extent to which the information is known outside of his business;
- the extent to which the information is known by employees and others in the business;
- the extent of measures taken to guard the secrecy of the information;
- the value of the information to his business and to competitors;
- the amount of effort or money expended in developing the information; and
- the ease of difficulty with which the information could be properly acquired or duplicated by others.

*See Crum v. Bridgestone/Firestone North Amer. Tire.*, 907 A.2d 578, 585 (Pa. Super. 2006).

The Office of Open Records also notes that with regard to “confidential proprietary information the standard is equally high and may only be established when the party asserting protection shows that the information at issue is either ‘commercial’ or ‘financial’ and is privileged or confidential, and the disclosure **would** cause substantial competitive harm.” (emphasis in original).

For more information regarding the RTKL, visit the Office of Open Records’ website at [www.openrecords.state.pa.us](http://www.openrecords.state.pa.us).

**I-17. Debriefing Conferences.** Respondents whose firms are not selected to be included in the pool or pools will be notified of the name of the selected respondents and given the opportunity to be

debriefed, at their request. The Issuing Office will schedule the time and location of the debriefing. The Respondent will not be compared with other respondents.

**I-18. News Releases.** News releases pertaining to this project will not be made without prior Commission approval, and then only in coordination with the Issuing Office.

**I-19. Term of Appointment.** The Commission intends that the pool or pools established pursuant to this request will run concurrent with the current term of the pool for Audit and Advisory Services, which runs through January 7, 2016, but reserves the right to extend the term of the pool or pools for up to two (2) one year renewal options.

**I-20. Respondent's Representations and Authorizations.** Each Respondent by submitting its Statement of Qualifications understands, represents, and acknowledges that:

- a. All information provided by, and representations made by, the Respondent are material and important and will be relied upon by the Issuing Office in establishing pools. Any misstatement, omission or misrepresentation shall be treated as fraudulent concealment from the Issuing Office of the true facts relating to the submission of this Statement of Qualifications. A misrepresentation shall be punishable under 18 Pa. C.S. § 4904.
- b. To the best knowledge of the person signing the proposal for the Respondent, the Respondent, its affiliates, subsidiaries, officers, directors, and employees are not currently under investigation by any governmental agency and have not in the last four (4) years been convicted or found liable for any act prohibited by State or Federal law in any jurisdiction, involving conspiracy or collusion with respect to bidding or proposing on any public contract, except as disclosed by the Respondent in its Statement of Qualifications.
- c. To the best of the knowledge of the person signing the Statement of Qualifications for the Respondent and except as otherwise disclosed by the Respondent, the Respondent has no outstanding, delinquent obligations to the Commonwealth including, but not limited to, any state tax liability not being contested on appeal or other obligation of the Respondent that is owed to the Commonwealth.
- d. The Respondent is not currently under suspension or debarment by the Commonwealth, or any other state, or the federal government, and if the Respondent cannot certify, then it shall submit along with the Statement of Qualifications a written explanation of why such certification cannot be made.
- e. Each Respondent, by submitting its Statement of Qualifications, authorizes all Commonwealth agencies to release to the Commission information related to liabilities to the Commonwealth including, but not limited to, taxes, unemployment compensation, and workers' compensation liabilities.
- f. The Respondent has not, under separate contract with the Commission, made any recommendations to the Commission concerning the need for the services described in the RFQ.



**I-21. Indemnification.** The Proposer shall be responsible for, and shall indemnify, defend, and hold harmless the Commission and its Commissioners, officers, employees, and agents from any claim, liability, damages, losses, causes of action, and expenses, including reasonable attorneys' fees, arising from damage to life or bodily injury or real or tangible personal property caused by the negligence or other tortious acts, errors, and omissions of Proposer, its employees, or its subcontractors while engaged in performing the work of this Agreement or while present on the Commission's premises, and for breach of this Agreement regarding the use or nondisclosure of proprietary and confidential information where it is determined that Proposer is responsible for any use of such information not permitted by this Agreement. The indemnification obligation shall not be limited in any way by any limitation on the amount or type of damages, compensation or benefits payable by or for Contractor or its subcontractors under Workmen's Compensation Acts, Disability Benefits Acts, or other Employee Benefit Act.

**I-22. Insurance.** Proposer will comply with the Insurance requirements as described in **Appendix B - Insurance Specification**.

## PART II

### INFORMATION REQUIRED FROM RESPONDENTS

Statements of Qualifications must be submitted in the format, including heading descriptions, outlined below. To be considered, the response must respond to all requirements in this part of the RFQ. Any other information thought to be relevant, but not applicable to the enumerated categories, should be provided as an appendix to the Statement of Qualifications.

The Commission reserves the right to request additional information which, in the Commission's opinion, is necessary to assure that the Respondent's competence, number of qualified employees, business organization, and financial resources are adequate to perform according to the RFQ.

#### II-1. Required Information

- A. **Statement of Qualifications Cover Sheet (See Appendix A)**  
Show the name of your firm, Federal I.D. number, address, name of contact person, contact person's email and telephone number date and the subject: **RFQ 15-10210-7032 Investigative and Surveillance Services**. Appendix A must be signed by an individual who is authorized to negotiate terms, render binding decisions and commit your firm's resources. In addition it is required that all information requested in Appendix A be provided including information pertaining to location of office performing the work, contact information, listing of all Pennsylvania offices and total number of Pennsylvania employees, and location of company headquarters.
- B. **Table of Contents**  
Include a clear identification of the material by section and by page number.
- C. **Executive Summary**  
Summarize your understanding of the work to be done and make a positive commitment to perform the work necessary. This section should summarize the key points of your submittal. (Limit to two pages.)
- D. **Firm Overview**  
Provide a brief history and description of your firm's business organization and its Investigative and Surveillance practice and experience as it relates to the requirements discussed previously. Include the location of offices and the number of Private Investigators available for project work in each office. Discuss your firm's presence in and commitment to the Commonwealth of Pennsylvania. Include a discussion of the specific expertise and services that distinguish your firm.
- E. **Personnel and References**  
Provide the names, proposed roles, background and experience, office location and availability of the personnel that would work on the Commission's account, and specifically identify the primary person(s) who will be responsible for managing the relationship with the Commission. Respondent must submit a current resume for all proposed investigative and surveillance staff listing relevant experience and applicable professional affiliations.

F. **Relevant Experience**

Provide a narrative statement regarding your investigative and surveillance services. Additionally include a statement regarding your understanding of the requirements as outlined in this RFP and your ability to provide investigative and surveillance services in accordance with the same.

Describe your firm's experience in providing investigative and surveillance services to other clients, especially other governmental entities and/or similar public/private sector transportation organizations. Describe the business practices that enable you to complete these tasks in an efficient, timely and, at times, expeditious manner.

Provide a list of three references of clients for which your firm has performed similar work, as described in this RFQ, within the past three years.

Include a statement regarding any other specialized investigative and surveillance type of services your firm may offer.

G. **Potential Conflict of Interest**

Identify any relationships or activities that might present a conflict of interest if your firm is selected to provide investigative and surveillance services as described in this RFQ.

## **PART III**

### **CRITERIA FOR SELECTION**

**III-1. Mandatory Responsiveness Requirements.** To be eligible for selection, the Statement of Qualifications should be (a) timely received from a Respondent; and (b) properly signed by the Respondent.

**III-2.** Statements of Qualification will be reviewed and evaluated by a Technical Evaluation Team (TET) of qualified personnel selected by the Commission. The TET will recommend for selection those firms that most closely meet the requirements of the RFQ and satisfy Commission needs. Consideration for inclusion in the pool(s) will only be made to Respondents determined to be responsive and responsible in accordance with Commonwealth of Management Directive 215.9, Contractor Responsibility Program.

**III-3.** The following criteria will be used, in order of relative importance from the highest to the lowest, in evaluating each statement of qualifications.

1. Overall
  - a. Responsiveness, organization, and clarity of Statement of Qualifications.
  - b. Presence in and commitment to the Commonwealth of Pennsylvania.
  - c. Organization, size and structure of firm.
  - d. Ability to perform tasks in an efficient, timely and, at times, expeditious manner.
2. Assigned Personnel
  - a. Qualifications and experience providing Investigative and Surveillance Services.
  - b. Responses of references.
  - c. Location and availability to Commission staff.
3. Firm Experience
  - a. Length of time in the industry.
  - b. Relevant experience.
  - c. Responses of references.

**APPENDIX A – STATEMENT OF QUALIFICATIONS COVER SHEET  
 Pennsylvania Turnpike Commission  
 Investigative and Surveillance Services**

**RFQ# 15-10210-7032**

**Enclosed is the statement of qualifications submission for the Respondent identified below for the above referenced RFQ:**

<b>Proposer Information:</b>	
Respondent Name	
Respondent Mailing Address	
Respondent Website	
Respondent Contact Person/Title	
Contact Person's Phone Number	
Contact Person's Fax Number	
Contact Person's Email Address	
Respondent Federal ID Number	
Location of Headquarters	
Location of Office(s) Performing the Work	
Listing of all Pennsylvania Offices and Total Number of Pennsylvania Employees	

<b>Submittals Enclosed:</b>
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<input type="checkbox"/> Statement of Qualifications Submittal
<b>Signature</b>
Signature of an official authorized to bind the Respondent to the provisions contained in the Respondent's submission: _____
Print Name
Title

**FAILURE TO COMPLETE, SIGN AND RETURN THIS FORM WITH THE STATEMENT OF QUALIFICATIONS SUBMITTAL MAY RESULT IN THE REJECTION OF THE SUBMISSION.**

**A. General.** Before the execution of a Contract, Provider must provide the Commission with certificates of insurance evidencing the coverage required acceptable to the Commission, as described below. Have all policies endorsed to contain the following clause: "Thirty (30) days written notice of any cancellation, non-renewal, limit or coverage reduction is to be sent to the Commission by Certified Mail." The preceding is subject to existing Commonwealth of Pennsylvania statutory cancellation provisions relating to non-payment of premium and misrepresentation by the insured. Maintain the insurance described herein for the entire duration of the Contract. All insurance policies must be written by an Insurance Company licensed and/or authorized to do business in Pennsylvania and acceptable to the Commission having an A.M. Best's rating of no less than A-, with a financial size category of IX, or better. Have all insurance policies and certificates signed by a resident Pennsylvania Agent of the issuing Company. However, in the case of an eligible surplus lines insurer, have all policies and certificates also signed by a party duly authorized to bind, on behalf of the eligible surplus lines insurer, the certified coverage's.

**B. Commercial General Liability Insurance.** Commercial general liability insurance (CGL) with limits not less than \$1,000,000 each occurrence with a \$2,000,000 aggregate. If the CGL contains a general aggregate limit, it shall apply separately each site or location. CGL insurance shall be written on the Insurance Services Office Inc. (ISO) occurrence form CG 00 01 12 07 (or substitute form providing equivalent coverage) and shall cover liability arising from premises, operations, independent contractors, products completed operations, personal injury and advertising injury, and liability assumed under contract (including the tort liability of another assumed in a business contract but not including breach of contract damages).

**C. Business Auto Liability Insurance.** Business auto liability insurance with a limit of not less than \$1,000,000 each accident. Such insurance shall cover liability, including bodily injury or death and property damage, arising out of any auto (including owned, hired, and non-owned autos). Business auto coverage shall be written on the current ISO form or a substitute form providing equivalent liability coverage.

**D. Worker's Compensation and Employer's Liability Insurance.** Take out, pay for and maintain during the life of the contract, Worker's Compensation Insurance in statutory required limits for the protection of all employees. Provide, pay for and maintain during the life of the contract, Employer's Liability Insurance in limits of not less than \$100,000 bodily injury each accident, \$500,000 bodily injury by disease- Policy Limit, and \$100,000 bodily injury by disease each employee

**E. Professional Liability Insurance.** Insurance coverage for Errors and Omissions (Professional Liability Insurance) in an amount not less than \$1,000,000. Insurance shall be provided on a form acceptable to the Pennsylvania Turnpike Commission.

**Pennsylvania Turnpike Commission**

**Office of Audit and Advisory Services**

**Procedure for Issuing Investigative and Surveillance Services Work Orders**

**I. Requests for Investigative and Surveillance Services**

- A. At the direction of the Chief Compliance Officer, the Advisory Services Project Manager will prepare a formal *Request for Investigative and Surveillance Services* form for each proposed Work Order.
- B. The completed *Request for Investigative and Surveillance Services* form is then forwarded to the Advisory Services Project Manager for review and approval and then the Chief Compliance Officer for review and concurrence.
- C. Once approved, the Advisory Services Project Manager will solicit proposals and cost quotations from qualified auditing firms included in the Supplemental Auditing Services Professional Services Pool (SASPSP) in accordance with the following guidelines:
  - 1. Work Orders estimated to cost \$50,000 or less

The Advisory Services Project Manager, with the approval of the Chief Compliance Officer, may select any qualified auditing firm from the SASPSP and request a proposal and cost quotation. The proposal will be evaluated by Advisory Services Project Manager and the Chief Compliance Officer to determine if it satisfies the Best Value Selection (BVS) criteria discussed later in this procedure.

If the proposal satisfies the BVS criteria, the Advisory Services Project Manager, with the approval of the Chief Compliance Officer, will award the Work Order in accordance with **Section II- Award of Investigative and Surveillance Services Work Orders** guidelines.

If the proposal does not satisfy the BVS criteria, the Advisory Services Project Manager, with the approval of the Chief Compliance Officer may select another qualified firm from which to solicit a proposal and cost quotation. The following limitations will apply:

## Appendix C

- a. No renewals, extensions, or change orders which result in the Work Order exceeding \$50,000 are allowed without written approval of the PTC Audit Committee Chairman.
- b. No more than two (2) Work Orders in this cost range may be issued to the same auditing firm, per each area of expertise, in the same fiscal year without written approval of the PTC Audit Committee Chairman.

### 2. Work Orders estimated to cost \$50,001 to \$250,000

Completed and approved *Requests for Investigative and Surveillance Services* estimated to fall into the above cost range shall be sent to all qualified auditing firms in the SASPSP.

All proposals received will be evaluated by the Advisory Services Project Manager and the Chief Compliance Officer to determine the Best Value Selection (BVS). Best Value Selection is defined as the proposal that contains the highest quality of work product as outlined in the BVS criteria listed below at the most reasonable cost. The criteria for determining the BVS may include but are not limited to:

- Understanding the Problem
- Audit Firm Prior Experience
- Audit Firm Personnel and Qualifications
- Project Work Plan
- Cost (both hourly rates, amount of hours proposed/fixed deliverable amounts and overall proposed project cost).
- Other factors not included in the above criteria but determined to be relevant to the specific Work Order

No renewals, extensions, or change orders which result in the Work Order exceeding \$250,000 are allowed without written approval of the PTC Audit Committee Chairman.

### 3. Work Orders estimated to cost over \$250,000

The process for requesting audit services for Work Orders estimated to cost over \$250,000 will be the same as those estimated to fall into the \$50,001-\$250,000 range except that the *Request for Investigative and Surveillance Services* must be approved by both the Chief Compliance Officer and the PTC Audit Committee Chairman prior to solicitation of proposals.



**II. Award of Investigative and Surveillance Services Work Orders**

Upon completion of the appropriate evaluation process discussed above, Advisory Services Project Manager, with the approval of the Chief Compliance Officer, will award the Work Order to the firm whose proposal is determined to provide the best value for the particular project. The Advisory Services Project Manager will prepare a brief narrative explaining why the successful firm was selected. This narrative will be retained in the individual Work Order file.

Successful firms will be notified in writing by the Advisory Services Project Manager. The Advisory Services Project Manager will also notify in writing all unsuccessful firms submitting proposals.

The Advisory Services Project Manager, with the approval of the Chief Compliance Officer is responsible for the project management as well as the review and acceptance of all deliverables associated with the project. Quarterly status reports that will include project status, actual vs. budgeted costs analyses and a discussion of outstanding issues will be prepared by the Advisory Services Project Manager and submitted to the Chief Compliance Officer, Chief Executive Officer and PTC Audit Committee.

## **Addendum No. 1**

RFP # 15-10210-7032

### Investigative and Surveillance Services

**Prospective Respondents: You are hereby notified of the following information in regard to the referenced RFP:**

Following are the answers to questions submitted in response to the above referenced RFP as of August 10, 2015. All of the questions have been listed, as received by the Pennsylvania Turnpike Commission.

1. Is there any more information that you would be able to give about the types of investigations that will be performed?

**A: Internal Investigations pertaining to waste, fraud, and abuse.**

2. Page 2, Item I-5 Requested Services. The RFQ requests both static and mobile surveillance. Would the Commission consider an RFQ for a company capable of solely providing mobile surveillance services?

**A: The Commission requires both static and mobile surveillance capabilities from firms submitting a proposal.**

All other terms, conditions and requirements of the original RFP dated July 27, 2015 remain unchanged unless modified by this Addendum.