

Request for Quote – Security Auditor and Related Services Q&A

1. Who is the executive sponsor(s) of this project at the Lottery?
 - a. Mike Suggs, Director of Internal Audit
2. Will the Lottery provide the selected consultant with a project liaison or coordinator to assist with the coordination, scheduling, and communications of this project?
 - a. Yes, all audit request, evidence list, scheduling and communications will go through the Director of Internal Audit.
3. Will the Lottery be willing to provide advance materials, transmitted securely, to allow the successful consultant to review documentation and make preparations prior to conducting on-site work?
 - a. Yes, this is the normal protocol. Once Internal Audit receives the evidence list they will gathering the information and transmitting it to the contracted vendor.
4. Do you desire the selected consultant to give and/or facilitate any presentations to NCEL project leadership and/or stakeholders during the course of the project? If yes, at what milestones and to what audiences?
 - a. Yes, at the end of on-site field work and at completion of audit.
5. What is NCEL's desired timeframe for this project? When are final reports due? Are there any other project milestones that need to be considered to best meet NCEL's needs?
 - a. Scope of audit period will be 1/1/2016-12/31/2017. We would like for field work to begin before the end of 2017 and the final report to completed so Internal Audit can present to the Audit Committee by the March 6 2018 Commission meeting.
6. On the NCEL Business Opportunities webpage, the "Current NCEL Needs" document indicates that a firm is currently providing Security Auditing Services to NCEL. To confirm, is a firm providing the proposed services to NCEL, either currently or recently? If yes:
 - a. Who is the vendor?
 - i. Delehanty Consulting LLC
 - ii. SeNet International Cooperation

- b. For how many years has NCEL worked with this vendor?
 - i. Delehanty Consulting LLC – 2007, 2009, 2011, 2013
 - ii. SeNet International Cooperation – 2015
- c. When is/was the work conducted and how similar was it to the services requested in the current RFQ?
 - i. Bi-Annual. Similar scope
- d. What was the dollar value of the most recent contract?
 - i. \$129,000. Please note there are scope differences
- e. Will the results of the previous work be shared with the successful consultant?
 - i. Yes, findings and recommendations
- 7. How many locations will the selected consultant be expected to visit as part of this project and in what cities are they located?
 - a. Raleigh, NC – Headquarters, Gaming Vendors facility, and instant ticket facility
 - b. Greensboro and Greenville field offices
- 8. What is the length of the contract for this project?
 - a. Field work and report. This is just an external security audit for 2016-2017
- 9. What is the time period of IGT's contract with NCEL?
 - a. The contract extends to June 30, 2027 (NCEL reserves the right to renew the agreement to another term of five (5) additional years
- 10. When was the current gaming system implemented?
 - a. March of 2017
- 11. Is the focus of the audits on NCEL? How involved will NCEL vendors be (IGT, SGI)?
 - a. The Main focus is on the Physical and Logical Security of NCEL but the vendors IT vulnerabilities needs to be reviewed as well.

12. Does NCEL prefer the different audit areas be conducted as separate audits? Or is NCEL seeking one report that addresses all audit areas requested?

a. One Report

13. Is there a requirement for a public version of the report, in addition to the detailed report solely for NCEL's use?

a. Yes, a public report that can be submitted to Governor and Legislature

14. Does IGT currently have a SOC 1 and/or SOC 2 exam? If yes, will these reports be made available to the successful consultant?

a. Yes

15. Does the NCEL request that penetration test and vulnerability scan be completed as part of the procedures? If yes, please address the following:

a. General Questions:

i. How many locations (offices/data centers) are in scope? Raleigh HQ and data center.

ii. Will scanning include IGT/SGI system(s), or focus solely on NCEL systems? NCEL only

iii. Are there any services in the cloud? ADP, Applicant Tracker, SmartSheet

b. For External Vulnerability Scanning:

i. How many active external IP addresses are in scope? Approximately 20

ii. How many external web applications are in scope? 0

iii. What virtual architecture is in use? Decline to answer at this time.

iv. General architecture orientation: What versions of Unix/Linux are in use? Decline to answer at this time.

v. General architecture orientation: What versions of Windows server are in use? Decline to answer at this time.

- vi. What web programming languages are in use with the web applications?
Decline to answer at this time.
- vii. Are web applications custom off the shelf (COTS) or developed internally? There is a mix of COTS and internally developed applications.

c. For Internal Vulnerability Scanning:

- i. How many internal IP addresses/subnets are in scope? 0
- ii. Are internal workstations included? No
- iii. How many internal web applications are in scope? 0
- iv. How many of each: servers/databases/firewalls/routers/switches? The NCEL cannot provide answers to many of the questions (e.g. OS/DB versions, virtualization and Wi-Fi configs, etc.) regarding the NCEL's technical infrastructure at this time due to the sensitivity of such information being made public pursuant to the NCEL's procurement process. However, this information may be disclosed to the Successful Contractor to assist with the project.
- v. General architecture orientation: What versions of Linux are in use? The NCEL cannot provide answers to many of the questions (e.g. OS/DB versions, virtualization and Wi-Fi configs, etc.) regarding the NCEL's technical infrastructure at this time due to the sensitivity of such information being made public pursuant to the NCEL's procurement process. However, this information may be disclosed to the Successful Contractor to assist with the project.
- vi. General architecture orientation: What versions of Windows server are in use? The NCEL cannot provide answers to many of the questions (e.g. OS/DB versions, virtualization and Wi-Fi configs, etc.) regarding the NCEL's technical infrastructure at this time due to the sensitivity of such information being made public pursuant to the NCEL's procurement process. However, this information may be disclosed to the Successful Contractor to assist with the project.
- vii. Is virtual architecture in use? What version, i.e., VMWare, Hypervisor, Zen, etc.? The NCEL cannot provide answers to many of the questions (e.g. OS/DB versions, virtualization and Wi-Fi configs, etc.) regarding the NCEL's technical infrastructure at this time due to the sensitivity of such information being made public pursuant to the NCEL's procurement process. However, this information may be disclosed to the Successful Contractor to assist with the project.

- viii. Are there any mainframes in scope? The NCEL cannot provide answers to many of the questions (e.g. OS/DB versions, virtualization and Wi-Fi configs, etc.) regarding the NCEL's technical infrastructure at this time due to the sensitivity of such information being made public pursuant to the NCEL's procurement process. However, this information may be disclosed to the Successful Contractor to assist with the project.
- ix. How many databases are in scope and what type, i.e., MS SQL, DB2, Oracle, MySQL, etc.? The NCEL cannot provide answers to many of the questions (e.g. OS/DB versions, virtualization and Wi-Fi configs, etc.) regarding the NCEL's technical infrastructure at this time due to the sensitivity of such information being made public pursuant to the NCEL's procurement process. However, this information may be disclosed to the Successful Contractor to assist with the project.

d. If Wireless Vulnerability Scanning is requested:

- i. How many Access Points in how many locations? The NCEL cannot provide answers to many of the questions (e.g. OS/DB versions, virtualization and Wi-Fi configs, etc.) regarding the NCEL's technical infrastructure at this time due to the sensitivity of such information being made public pursuant to the NCEL's procurement process. However, this information may be disclosed to the Successful Contractor to assist with the project.
- ii. How many authorization servers? The NCEL cannot provide answers to many of the questions (e.g. OS/DB versions, virtualization and Wi-Fi configs, etc.) regarding the NCEL's technical infrastructure at this time due to the sensitivity of such information being made public pursuant to the NCEL's procurement process. However, this information may be disclosed to the Successful Contractor to assist with the project.

16. RFQ Form on page 1 of the RFP includes pricing information. Is this form supposed to be returned with the Cost Proposal only? Yes
17. On page 8 of the RFQ, under "Lucke-Rewards" there is a reference to "MDI." Should this be SGI? Please confirm or clarify. MDI is a wholly-owned subsidiary of SGI.
18. Regarding Contractor's Responsibilities, Item i (on page 10 of the RFQ): In terms of the "IT audit training" - Please provide more information regarding what type(s) of training you seek. Will this include working side by side with our team for on-the-job training?
- a. Looking more for some IT training that can help improve our IT internal audit skills for normal internal audit duties. For example we currently perform continuous monitoring

audits that include reviews of active network user ids, SDLC, change management, Data and System file backups, anti-virus scan reviews, etc. Just looking for training that can help improve our audits.

19. Regarding Attachment A (pages 15 - 17 of the RFQ): Will NCEL consider eliminating this as a requirement of all bidders, and instead require that only the firm selected for this project provide this form after contract award? **No. However, the potential Contractor has the option to send the document via a secured method directly to the NCEL's Director of Security.**
20. Regarding Attachment A, item # 12 (page 17 of the RFQ): To confirm, should this say Attachment C instead? **The reference to Attachment C is correct. Attachment C is the Authorization for Individual Investigation form.**
21. Regarding Attachment B (page 18 of the RFQ): Will NCEL consider eliminating this as a requirement of all bidders, and instead require that only the firm selected for this project provide this form after contract award? **No. However, the potential Contractor has the option to send the document via a secured method directly to the NCEL's Director of Security.**
22. Questions regarding Attachment C – Authorization for Individual Investigation (page 19 of the RFQ):
 - a. For the address, are you seeking the individual's work address or home address? **Home address.**
 - b. Given the sensitive nature of the personal information requested in this form, will NCEL consider eliminating this as a requirement of all bidders, and instead require that only the firm selected for this project provide these forms after contract award? If no:
 - i. Can we include these forms only in the one signed, original copy and exclude them from the three additional hard copies? **Yes. However, the potential Contractor has the option to send the document via a secured method directly to the NCEL's Director of Security.**
 - ii. We assume that we can exclude these forms from the required redacted copy of our proposal. Please confirm or clarify. **Confirm.**
23. Affidavit C includes the following sentence: "I hereby certify that it is our intent to perform 100% of the work required for the NCEL contract for Fully Integrated Financial Accounting System and Related Services." Should this say "...contract for Security Auditor and Related Services"? **Yes, an amended Affidavit C will be issued.**

24. Regarding Attachment F (Cost Submission): Please provide more guidance on what information you are seeking for our pricing. Would a fixed fee inclusive of expenses be sufficient? **If cost for audit services includes expenses that must be stated, if it does not include expenses please itemized those expenses and estimated length of field work that would include those expenses.**
25. Does NCEL have a budget estimate or range for this project that you can share? If yes, please provide detail. **Unable to provide**
26. On page 10 of the RFQ it states:

Ensure the security and integrity of all NCEL operations with regard to: adequate security administrations, investigative support and game security, as well as, daily/weekly drawings”

I want to confirm that when it states “all NCEL operations” that it includes all systems and functions mentioned under “Current Gaming System Configuration, Vendor Function and Services:” on page 3?

Correct, security and integrity of NCEL including gaming vendors that contribute to our business functions.

Thanks,

Best Regards,

Anthony Downey
Purchasing Administrator

Affidavit C-- Intent to Perform Contract with Own Workforce

State of _____

County of _____

Affidavit of _____ (Name of Contractor)

I hereby certify that it is our intent to perform 100% of the work required for the NCEL contract for Security Auditor and Related Services.

In making this certification, the Contractor states that the Contractor does not customarily subcontract elements of this type project, and normally performs and has the capability to perform and will perform all elements of the work on this project with his/her own current work forces; and

The Contractor agrees to provide any additional information or documentation requested by the NCEL in support of the above statement.

The undersigned hereby certifies that he or she has read this certification and is authorized to bind the Contractor to the commitments herein contained.

(Signature of Authorized Representative)

(Print Name)

(Title)

(Date)

NOTARY:

State of _____, County of _____

Subscribed and sworn to before me this _____ day of _____ 2017.

Notary Public _____

My commission expires _____

[SEAL]

