Amendment 80 Economic Data Reports (EDR) RFP
Q&A
8/28/17

1. **How many firms have been invited to respond to the RFP?**
   a. Two firms have been invited, though the RFP was posted on PSMFC's procurement web page at http://www.psmfc.org/procurements/blog so other firms may provide a proposal.

2. **Which firms have been invited to RFP?**
   a. RSM US LLP (RSM) and Aldrich CPAs + Advisors LLP

3. **What has been the biggest challenge in the past related to the auditor validation process?**
   a. Having those selected for audit get their EDR support documents to the auditor on time. Sometimes we need to get NOAA Fisheries Office of Law Enforcement (NOAA OLE) involved, as submissions to audits are part of the federal regulations.

4. **If there are delays in the responses and inefficiencies due to follow-ups needed, etc., what is the process for billing out of scope fees?**
   a. In the past, we have decided upon a cut-off date and have gotten NOAA OLE involved before that cut-off date so very few times have we not had what was needed to validate EDR submissions from the submitters. If responses from one or more entities are not delivered before cut-off date, the audit project continues to completion without the requested information. All EDR records associated with entities that do not comply with audit requests are subject to selection for audits the following year as a for-cause audit.

5. **Please confirm the number of data entries to be validated per year will range from 750 - 950.**
   a. Table 2 indicates that the audit process for 2017 will include EDR submissions from the 2015 and 2016 EDRs; with entries selected for audit expected to be 750-950 per EDR year; the total entries expected to be audited in 2017 is 1500-1900. Future annual EDR audits are expected to be in the range of 750-950 entries selected for audit.

6. **Please confirm there will be three (3) separate deliverables for each EDR program vs. one combined.**
   a. Data tables must be maintained separately for each EDR program. In the final project report(s), audit results and findings must be reported separately for each EDR program and respective EDR form. As an alternative to three separate documents, the final report may be consolidated into a single document with separate sections for the respective EDR programs/forms if this would be more efficient and avoid duplication. The same applies to progress reports, which are not expected to be as formally structured as the final report, but

should provide information and details for the respective EDRs separately. For invoicing purposes, contract hours and expenses must be tracked and itemized separately for each EDR program.

7. **How many companies are involved (vs. vessels) in each EDR program (i.e., 6 companies within Crab EDR as there are 5 vessels per company) to provide insight into how many companies the auditor will be working with?**
   a. For Crab, there are 103 vessels/processors and 94 unique companies. For A80 there are 31 catcher processors and 24 companies (though 7 vessels run out of one office and 5 run out of another, each vessel is put under its own company name). GOA Trawl has 127 vessels and processors under 103 unique companies.

8. **How familiar are the vessels and processors with the audit? Are there significant numbers of vessels that have not experienced audits?**
   a. The Crab and A80 have been audited since the inception of the EDR program for each so are very familiar with the process. The GOA Trawl EDR audits will be new for that fishery - some may have experienced EDR audits under other programs but for many, it will be a new experience.

9. **How cooperative/responsive are submitters? Specifically Crab and GOA trawl submitters (vessels and processors).**
   a. Crab and A80 submitters are very cooperative with the audit process (not that they don't complain about it) and some have even provided supporting documentation along with their EDR submissions. Since GOA Trawl EDR audits are new, there will be more education and explanation to go along with the process.

10. **What type of database was utilized in previous auditor reports and what is preferred database?**
   a. Excel spreadsheets are acceptable and have been preferred by previous contractors for ease of use, but it is critical that data integrity is maintained in any tabular data structure. If using Excel or other spreadsheet software, it is critical that rows and columns for individual records be protected from corruption due to incorrect sorting or other unintentional table manipulation. We have previously tried web forms and MS Access to prevent this, with limited success. Alternatives can be considered if they are more efficient and maintain data integrity, but an Excel spreadsheet in the format outlined in the RFP will be preferred for passing the validation data back to PSMFC.

11. **Will we know which samples were selected randomly, for cause and as outliers?**
   a. Yes, the samples will indicate why they were selected.

12. **Is it expected for all information to be received from EDR respondents electronically or by mail? Will site visits be required? What is the preference?**
   a. In the past, audit support documents were allowed to be electronically submitted and by mail. For the A80 fleet in the past, site visits were preferred by the companies as the auditor was based in Seattle and could very easily set up those appointments. Site visits are not required.

13. **Was most A80 supporting documentation in data file format or PFD format?**
    a. A80 supporting documentation was printouts of Excel and other financial tracking software as well as copies of fish tickets and in some cases calendars to show fishing days.

14. **Please describe any differences between GOA, Crab and A80 which would affect the testing validation level of effort.**
    a. Other than Crab and A80 which most EDR submitters have gone through audits and the GOA fleet have not, I don't know of any differences that would affect the validation effort. Support documentation should be similar across all the fleets for things like expenses and fish sales.

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