

Ronak Patel - Request for Proposal: Internal Auditor

From: Ronak Patel
To: monday@mondayrufus.com
Date: 12/1/2015 10:24 AM
Subject: Request for Proposal: Internal Auditor
Attachments: AFR 2015 Final (minus letter)_1.pdf

To whom it may concern:

The Texas State Securities Board (TSSB) is seeking proposals from firms to conduct an internal audit in accordance with the requirements of Chapter 2102 of the Government Code for fiscal year 2016. According to the State Auditor's Office, your firm has recently served as the internal auditor for a state agency. If your firm is interested in serving as the TSSB's internal auditor for the FY 2016 internal audit, please submit a proposal to the TSSB as described below. To support your efforts in crafting a proposal, attached to this email is the TSSB's most recent Annual Financial Report.

Project Description

In general, the internal audit will include examination and evaluation of the adequacy and effectiveness of the TSSB's systems and controls as well as the quality of its performance in carrying out assigned responsibilities. Generally, the internal auditor conducts an audit of 1-2 functions annually.

The internal auditor will be expected to first develop an audit plan using risk assessment techniques to identify the individual audits to be conducted for fiscal year 2016. After being reviewed by the TSSB's Board Audit Committee, the audit plan must be approved by the Board of the TSSB.

After the audit plan is approved, the internal auditor will be expected to:

- Conduct audits as specified in the audit plan and document deviations from the plan, if any;
- Prepare audit reports;
- Attend TSSB Board Meetings in Austin during which internal audit matters are on the Board's agenda; and
- File the final Audit Report on or before November 1, 2016 with the necessary offices as required by the Government Code.

The internal auditor will report directly to the TSSB's Board through the Board's Audit Committee.

Proposal Submission and Review Process

The deadline to submit proposals is **5:00 PM (central) on December 18, 2015.**

Proposals may be submitted by email or mail to:

Email: rpatel@ssb.texas.gov

Mail: Ronak V. Patel, Deputy Securities Commissioner
Texas State Securities Board
208 E. 10th Street, Suite 610
Austin, Texas 78701

Proposals submitted by the deadline will be reviewed by TSSB Board Members on the Audit Committee, who will then present a recommendation to the entire Board at a public Board Meeting at the end of January.

Thank you and have a great day.

Ronak

Ronak V. Patel
Deputy Securities Commissioner
Texas State Securities Board
208 E. 10th Street, 5th Floor
Austin, TX 78701

(512) 305-8341 (direct)

(512) 305-8340 (fax)

Ronak Patel - Request for Proposal: Internal Auditor

From: Ronak Patel
To: Kim Lopez- Gonzales <klgonzales@gga-cpa.biz>; regonzalez@gga-cpa.biz
Date: 12/1/2015 10:25 AM
Subject: Request for Proposal: Internal Auditor
Attachments: AFR 2015 Final (minus letter)_2.pdf

Hi, Rene and Kim -

The Texas State Securities Board (TSSB) is seeking proposals from firms to conduct an internal audit in accordance with the requirements of Chapter 2102 of the Government Code for fiscal year 2016. According to the State Auditor's Office, your firm has recently served as the internal auditor for a state agency. If your firm is interested in serving as the TSSB's internal auditor for the FY 2016 internal audit, please submit a proposal to the TSSB as described below. To support your efforts in crafting a proposal, attached to this email is the TSSB's most recent Annual Financial Report.

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Ronak Patel - Request for Proposal: Internal Auditor

From: Ronak Patel
To: rgreg5@aol.com
Date: 12/1/2015 10:27 AM
Subject: Request for Proposal: Internal Auditor
Attachments: AFR 2015 Final (minus letter)_3.pdf

Mr. Gregorczyk:

The Texas State Securities Board (TSSB) is seeking proposals from firms to conduct an internal audit in accordance with the requirements of Chapter 2102 of the Government Code for fiscal year 2016. According to the State Auditor's Office, your firm has recently served as the internal auditor for a state agency. If your firm is interested in serving as the TSSB's internal auditor for the FY 2016 internal audit, please submit a proposal to the TSSB as described below. To support your efforts in crafting a proposal, attached to this email is the TSSB's most recent Annual Financial Report.

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Ronak Patel - Request for Proposal: Internal Auditor

From: Ronak Patel
To: olanier@mjlm.com
Date: 12/1/2015 10:28 AM
Subject: Request for Proposal: Internal Auditor
Attachments: AFR 2015 Final (minus letter)_4.pdf

Mr. Lanier:

The Texas State Securities Board (TSSB) is seeking proposals from firms to conduct an internal audit in accordance with the requirements of Chapter 2102 of the Government Code for fiscal year 2016. According to the State Auditor's Office, your firm has recently served as the internal auditor for a state agency. If your firm is interested in serving as the TSSB's internal auditor for the FY 2016 internal audit, please submit a proposal to the TSSB as described below. To support your efforts in crafting a proposal, attached to this email is the TSSB's most recent Annual Financial Report.

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Ronak Patel - Request for Proposal: Internal Auditor

From: Ronak Patel
To: diane@dianefulmercpa.com
Date: 12/1/2015 10:29 AM
Subject: Request for Proposal: Internal Auditor
Attachments: AFR 2015 Final (minus letter)_5.pdf

Ms. Fulmer:

The Texas State Securities Board (TSSB) is seeking proposals from firms to conduct an internal audit in accordance with the requirements of Chapter 2102 of the Government Code for fiscal year 2016. According to the State Auditor's Office, your firm has recently served as the internal auditor for a state agency. If your firm is interested in serving as the TSSB's internal auditor for the FY 2016 internal audit, please submit a proposal to the TSSB as described below. To support your efforts in crafting a proposal, attached to this email is the TSSB's most recent Annual Financial Report.

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