
Project Overview for the Internal Audit Services RFI

Request for Information

13 November 2023



1 Introduction

1.1 About this Document

The Internet Corporation for Assigned Names and Numbers (ICANN) is conducting a Request for Information (RFI) for an independent internal audit firm. This sourcing event (RFI) is the first part of a two-stage sourcing process used to fully evaluate proposals for this initiative. This RFI will be followed by a separate Request for Proposal (RFP). The goal of the RFI is to identify the prospective candidates' level of expertise across various functional areas of the business for use in finalizing the RFP. Indications of interest are to be received by emailing Internal-Audit-Services-RFI@icann.org. Information should be electronically submitted by 23:59 UTC on 6 December 2023 using ICANN's sourcing tool, access to which may be requested via the same email address as above.

1.2 About the Internet Corporation for Assigned Names and Numbers (ICANN)

ICANN's mission is to ensure the stable and secure operation of the internet's unique identifier systems. To reach another person on the Internet, you have to type an address into your computer - a name or a number. That address has to be unique so computers know where to find each other. ICANN helps coordinate and support these unique identifiers across the world.

See www.icann.org and the below publications for more information:

ICANN Annual report: <https://www.icann.org/en/system/files/files/annual-report-2023-en.pdf>

ICANN Audited Financial Statements: <https://www.icann.org/en/system/files/files/icann-financial-report-fye-30jun23-en.pdf>

PTI Audited Financial Statements: <https://www.icann.org/en/system/files/files/pti-financial-report-fy23-30jun23-en.pdf>

2 Scope

2.1 Project Objective

ICANN is soliciting proposals to identify an independent internal audit firm that has extensive experience in performing internal audits for a broad range of operations.

The objective of this project is for ICANN to connect with potential bidders that can help assure that the controls in place are adequate to mitigate risks, but also go beyond risk mitigation and compliance by adding process improvement value to the operations examined. The firm should bring a systematic, disciplined approach to internal audit assignments to help with clarity and efficiency to ICANN's operations.

ICANN is looking for the potential firms to describe their approach for the internal audit including frequency, timing, and scope of services.

ICANN requires a firm that can provide not only internal audit services within financial risk and IT risk, but also has experiences auditing other functional areas of the organization. Any firm that only has expertise in financial and IT risk will not be considered. ICANN requires an audit firm which can review a broad range of functions and can provide a comprehensive approach to encompass the entire organization.

2.2 Background

ICANN's mission is to help ensure a stable, secure, and unified global Internet. To reach another person on the Internet, you need to type an address – a name or a number – into your computer or other device. That address must be unique so computers know where to find each other. ICANN helps coordinate and support these unique identifiers across the world. ICANN was formed in 1998 as a nonprofit public benefit corporation with a community of participants from all over the world.

ICANN is dedicated to keeping the Internet secure, stable and interoperable. It promotes competition and develops policy on the Internet's unique identifiers. Its achievements stem from collaborative efforts that brought together technical experts, governments, civil society, businesses, and end users. Throughout the past two and a half decades, ICANN has been at the forefront of technical Internet governance and policy development, ensuring the stable and reliable technical operation of the Internet.

ICANN is a California-based non-profit public benefit corporation with a tax-exempt status under section 501 (c)(3) of the Internal Revenue Code, with annual revenues between \$140 million to \$150 million per year. The organization employs close to 400 staff members across multiple locations, worldwide. Although ICANN is technically in the non-profit industry, ICANN's role in the technical maintenance of Internet-related operations puts it in the technology sector as well.

ICANN has never housed an internal audit function, and is constantly looking to improve processes. We are releasing an RFI to learn about your recommendations on the scope, timing, and approach of the Internal Audit work for us. The scope of internal audit can be broad, so we are looking for your expertise in guiding us on the approach of the services.

2.3 Scope of Work

Your proposal is expected to cover the following services:

1. The potential focus areas for internal audit (Financial, Security, HR/Personnel, Procurement, etc)
2. The recommended timeline of the services

3 High Level Selection Criteria

The decision to select a provider as an outcome of the RFP to follow this RFI will be based on, but not limited to, the following selection criteria:

1. Overall capabilities of the firm
2. The firm's expertise in Internal Audit outside of Financial risks
3. The firm's expertise in Internal Audit within Financial risks
4. Professional team assigned
5. Proposed examination and review to satisfy internal audit needs
6. Value added services/Continued Support
7. Understanding of the assignment
8. Financial value / pricing
9. Reference checks
10. Mitigation of any conflicts of interest

4 High Level Business Requirements

The provider must be able to adhere to the complete list of business requirements as listed in the RFI portal. A summary of the key business requirements is listed below:

1. Provide a complete response based on ICANN specifications by the designated due date.
2. Participate in the RFP process subsequently.

5 Project Timeline

The following dates have been established as milestones for this RFI. ICANN reserves the right to modify or change this timeline at any time as necessary.

Activity	Estimated Dates
RFI published with announcement	13 November 2023
Participants to indicate interest in submitting RFI response	21 November 2023 by 23:59 UTC
Participants submit any questions to ICANN	27 November 2023 by 23:59 UTC
ICANN responds to participant questions	29 November 2023
Participant responses due by	6 December 2023 by 23:59 UTC
Evaluation of responses & RFP preparation	December 2023 and January 2024
Launch of subsequent RFP	January 2024

6 Terms and Conditions

General Terms and Conditions

1. Submission of a proposal shall constitute each respondent's acknowledgment and acceptance of all the specifications, requirements and terms and conditions in this RFI.
2. All costs of preparing and submitting its proposal, responding to or providing any other assistance to ICANN in connection with this RFI will be borne by the respondent.
3. All submitted proposals including any supporting materials or documentation will become the property of ICANN. If respondent's proposal contains any proprietary information that should not be disclosed or used by ICANN other than for the purposes of evaluating the proposal, that information should be marked with appropriate confidentiality markings.

Discrepancies, Omissions and Additional Information

1. Respondent is responsible for examining this RFI and all addenda. Failure to do so will be at the sole risk of respondent. Should respondent find discrepancies, omissions, unclear or ambiguous intent or meaning, or should any question arise concerning this RFI, respondent must notify ICANN of such findings immediately in writing via e-mail no later than ten (10) days prior to the deadline for bid submissions. Should such matters remain unresolved by ICANN, in writing, prior to respondent's preparation of its proposal, such matters must be addressed in respondent's proposal.
2. ICANN is not responsible for oral statements made by its employees, agents, or representatives concerning this RFI. If respondent requires additional information, respondent must request that the issuer of this RFI furnish such information in writing.

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3. A respondent's proposal is presumed to represent its best efforts to respond to the RFI. Any significant inconsistency, if unexplained, raises a fundamental issue of the respondent's understanding of the nature and scope of the work required and of its ability to perform the contract as proposed and may be cause for rejection of the proposal. The burden of proof as to cost credibility rests with the respondent.
 4. If necessary, supplemental information to this RFI will be provided to all prospective respondents receiving this RFI. All supplemental information issued by ICANN will form part of this RFI. ICANN is not responsible for any failure by prospective respondents to receive supplemental information.

Assessment and Award

1. ICANN reserves the right, without penalty and at its discretion, to accept or reject any proposal, withdraw this RFI, make no award, to waive or permit the correction of any informality or irregularity and to disregard any non-conforming or conditional proposal.
2. ICANN may request a respondent to provide further information or documentation to support respondent's proposal and its ability to provide the products and/or services contemplated by this RFI.
3. ICANN is not obliged to accept the lowest priced proposal. Price is only one of the determining factors for the successful award.
4. ICANN will assess proposals based on compliant responses to the requirements set out in this RFI, responses to questions related to those requirements, any further issued clarifications (if any) and consideration of any other issues or evidence relevant to the respondent's ability to successfully provide and implement the products and/or services contemplated by this RFI and in the best interests of ICANN.
5. ICANN reserves the right to enter into contractual negotiations and if necessary, modify any terms and conditions of a final contract with the respondent whose proposal offers the best value to ICANN.

