



American Association of Motor Vehicle Administrators

OUR MISSION

*Serve North American
motor vehicle and law
enforcement agencies
to accomplish their
missions.*

OUR VISION

*Safe drivers
Safe vehicles
Secure identities
Saving lives!*

REQUEST FOR PROPOSAL

No. FY21-15960

SOC2 Audit

July 2021

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1. INTRODUCTION

1.1. PURPOSE AND BACKGROUND

The American Association of Motor Vehicle Administrators, hereafter "AAMVA," is initiating this Request for Proposal (RFP) to solicit Proposals from qualified CPA firms interested in participating in the bidding process for a Service Organizations Control (SOC) 2 Audit.

AAMVA is a tax-exempt, nonprofit organization developing model programs in motor vehicle administration, law enforcement and highway safety. The association also serves as an information clearinghouse in these areas, and acts as the international spokesman for these interests.

Founded in 1933, AAMVA represents the state and provincial and territorial officials in the United States and Canada who administer and enforce motor vehicle laws. AAMVA's programs encourage uniformity and reciprocity among the states and provinces. The association also serves as a liaison with other levels of government and the private sector. Its development and research activities provide guidelines for more effective public service. AAMVA's membership includes associations, organizations and businesses that share an interest in the association's goals.

1.2. OBJECTIVE

This RFP allows AAMVA to select the most qualified vendor at the most competitive price.

1.3. MINIMUM QUALIFICATIONS

The vendor must have a minimum of 3 to 5 years demonstrated experience in the commodities or services listed in the RFP.

1.4. PERIOD OF PERFORMANCE

Start	End
Contract Award	Delivery

2. GENERAL INFORMATION

2.1 RFP COORDINATOR

The RFP Coordinator is the sole point of contact in AAMVA for this procurement. All communication between the Offeror and AAMVA upon receipt of this RFP shall be with the RFP Coordinator, as follows:

Name / Title	Alaster Sampson, Sr. Manager Purchasing
Address	4401 Wilson Boulevard, Suite 700
City, State, Zip Code	Arlington, Virginia 22203
Phone Number	703-908-5877

E-Mail Address	procurement@aamva.org
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Any other communication will be considered unofficial and non-binding on AAMVA. Communication directed to parties other than the RFP Coordinator may result in disqualification of the Proposal.

2.2 ESTIMATED SCHEDULE OF PROCUREMENT ACTIVITIES

Issue RFP	July 15 th , 2021
Questions Due	July 21 st 2021
Bidders Conference	August 4 th , 2021
Proposal Due	August 9 th , 2021
Evaluate Proposal	August 13 th , 2021
Oral Presentation	August 18 th , 2021
Announce “Apparent Successful Contractor”	August 23 rd , 2021
Issue Purchase Order/Sign Contract	August 30 th , 2021

AAMVA reserves the right to revise the schedule above

Bidders conference Link:

Time: Wednesday, August 4, 2021, 12:00 PM-1:00 PM Eastern Standard Time

https://teams.microsoft.com/l/meetup-join/19%3ameeting_MjUxMjlyZWMTZjFmYS00YzY2LWI3YjMtZDc1OWQ5MzlhNzNI%40thread.v2/0?context=%7b%22id%22%3a%22c4a5ff7a-f87c-4d21-a0d9-08a2ff3dbdc7%22%2c%22Oid%22%3a%22bdca0016-c8f6-4110-a0dd-1535d26aea59%22%7d

2.3 SUBMISSION OF PROPOSAL

The Proposal must be submitted in a .PDF soft copy as set forth below. **AAMVA recommends limiting proposal submission to no more than 30 pages.** Any pages exceeding this limit will not be provided considered in the evaluation. Please note that the following items do not count towards the page limit:

- References
- Work Samples (if provided)
- Price proposal

The Proposal is to be emailed to procurement@aamva.org. The email should be clearly marked with the RFP Number to the attention of the RFP Coordinator: Alaster Sampson.

Example: Acme Proposal for RFP No. XYZ [date].pdf

Any modifications to a Proposal will be subject to these same conditions. The Proposal must respond to the RFP requirements. Do not respond by referring to material presented elsewhere. The Proposal must be complete and must stand on its own merits. Failure to respond to any portion of the RFP document may result in rejection of the Proposal as non-responsive. All Proposal and any accompanying documentation become the property of AAMVA and will not be returned.

2.4 SUBMISSION OF QUESTIONS

AAMVA will only accept written questions regarding the RFP. All questions must be emailed to procurement@aamva.org no later than the date provided in **Section 2.2**. AAMVA will conduct a **Bidders conference** based on the schedule above to provide additional clarity to questions and responses under this RFP to vendors.

2.5 ACCEPTANCE PERIOD

Proposal shall remain valid for 120 calendar days from the date specified for receipt of offers unless another time period is specified in an addendum to the RFP.

2.6 RESPONSIVENESS

The RFP Coordinator will review all proposals to determine compliance with administrative requirements and instructions specified in this RFP. The vendor is specifically notified that failure to comply with any part of the RFP may result in rejection of the Proposal as non-responsive. Procurement will notify the vendor if their proposal is determined to be non-responsive.

AAMVA also reserves the right, however, at its sole discretion to waive minor administrative irregularities.

2.7 MOST FAVORABLE TERMS

AAMVA reserves the right to make an award without further discussion of the Proposal submitted. Therefore, the Proposal should be submitted initially with the most favorable terms which the contractor can propose. AAMVA does reserve the right to contact a contractor for clarification of its Proposal and request a face-to-face meeting.

The contractor should be prepared to accept this RFP for incorporation into a contract resulting from this RFP. It is understood that the Proposal will become a part of the procurement file on this matter without obligation to AAMVA.

2.8 GENERAL TERMS AND CONDITIONS

The apparent successful contractor is expected to enter into a contract or purchase order with mutually acceptable terms and conditions. In no event can a contractor submit its own standard contract terms and conditions in response

to this solicitation. The contractor may submit exceptions as allowed in [Exhibit A - Certifications and Assurances](#). AAMVA will review requested exceptions and accept or reject the same at its sole discretion.

2.9 COSTS TO PROPOSE

AAMVA will not be liable for any costs incurred by the Offeror in preparing a Proposal submitted in response to this RFP, or in performing any other activities related to responding to this RFP.

2.10 NO OBLIGATION TO CONTRACT

This RFP does not obligate AAMVA to contract for the commodities specified herein. AAMVA reserves the right at its sole discretion, and without penalty, to reject any and all proposals received and not to issue a contract as a result of this RFP.

3. SCOPE OF SERVICES/STATEMENT OF WORK

3.1 Objectives

AAMVA is seeking a qualified independent audit firm to demonstrate the security posture of AAMVA by examining the effectiveness of the security, process integrity, and availability controls maintained as part of the Trust Services Criteria for the Service Organization Control (SOC)2 for the systems in scope supporting AAMVA's customers operations.

For the performance period, the firm will support AAMVA for 2 years with 3 option years. During the initial audit, AAMVA would like to start with a SOC2 **Type I report** to assess the design of controls as of September 30th, 2021, immediately followed by a SOC2 Type II annual report.

REQUIREMENTS

SECTION 1. COMPANY PROFILE

1. Please provide a description of your organization including:

- Year established.
- Years of experience performing SOC2 Audits.
- Suitability of key personnel, CVs or resumes, performing audit fieldwork; to include an estimate of the time allocation each person(s) will devote to this project, and any external projects each person is undertaking from September 2021 through the duration of services.

SECTION 2. REFERENCES

1. References are required at time of submission and will be contacted as part of the evaluation process.

- Provide three different references of clients you have worked within the past 3 years performing SOC2 Audits (applicable to SOC2 Type 1 and Type 2).
- Provide contact information for references including contact name, phone number, email address, and website address.

SECTION 3. RESPONSIBILITIES

The following items are contract deliverables that the vendor will provide:

1. Detailed project schedule and timeline of deliverables,
2. Itemized listing of costs and labor costs breakdown associated with:
 - a. Overall Completion of Project (based on each project phase (i.e., Type I and Type II))
 - b. Personnel levels (cost per hour and number of hours to complete each project phase)
 - c. Audit software or tools (if applicable)
 - d. Training for AAMVA staff
 - e. Additional functions or services offered not listed in AAMVA's requirements.

3.2 Audit Periods

This contract will include two SOC 2 audits – one Type I and one Type II.

The SOC2 Type I audit should be initiated no later than (NLT) September 15th, 2021. The final report for the SOC2 Type I audit should be delivered no later than December 15th, 2021.

The SOC2 Type II audit is an annual audit. The Audit period for the type II report should cover October 1st, 2021, through September 30th, 2022. The final report for the SOC2 Type II audit should be delivered no later than December 15th, 2022. Subsequent audits will cover the 12th month period from October 1st through September 30th, with a report delivery by December 15th.

Phase 1 Schedule: SOC2 Type I

SOC2 Type I Kick Off	September 15 th , 2021
Audit Period	April 2021-September 30 th , 2021
SOC2 Type I Report Deadline	December 10 th , 2021

Phase 2 Schedule: SOC2 Type 2

SOC2 Kick Off	January 3 rd , 2022
Audit Period	October 1 st , 2021 -September 30 th , 2022
SOC2 Type 2 Report Deadline	December 15 th , 2022

3.3 Overview of AAMVA systems and applications

AAMVA runs a large-scale IT infrastructure from 8 data centers/cloud regions, for exchanging information pertaining to driver licensing and vehicle registration among the motor vehicle agencies in all 51 U.S. jurisdictions, several federal agencies, private sector organizations, and the provinces of Canada.

The exchange of information occurs through a combination of real-time system-to-system messaging (e.g., web services), batch processing (e.g., files), or through web user interfaces. The systems supporting the exchange of information are critical to AAMVA and its customers, as they have a direct impact on the motor vehicle agencies' ability to conduct their business operations. Most AAMVA systems run with an availability greater than 99%.

On an average day, some systems process over 10 million transactions. Connectivity to AAMVA services is mostly accomplished through a private nationwide multiprotocol label switching (MPLS) network, as well as Internet access.

All of AAMVA's critical systems are developed and tested in house.

AAMVA prides itself in providing external and internal customers with outstanding services, which are made possible through devoted management of its infrastructure and service level objectives by dedicated staff.

3.4 Audit Process

The work methods are expected to include the following:

- One-on-one interviews with control owners and others relevant to the processes.
- Examination and evaluation of systems, policies, and processes.
- Observation of processes as needed.

AAMVA will supply the controls to be used in conducting the audits, which were developed in collaboration with the control owners and/or subject matter experts, as well as any requested evidence supporting the effectiveness of the control.

The auditors are not required to be onsite. All interviews can be conducted via video - conference. AAMVA will provide the auditors access to a SharePoint site to be used for the exchange of any relevant information.

4. EVALUATION AND CONTRACT AWARD

All Proposals will be reviewed by the RFP Coordinator to determine compliance with administrative requirements and instructions specified in this RFP. Only responsive proposals which meet the minimum requirements will be forwarded to the evaluation team for further review.

4.1. EVALUATION PROCEDURE

Response to proposals will be evaluated in accordance with the specifications stated in this solicitation and any addendum issued. Award will be made to the vendor that provides the best overall value to AAMVA.

Eval No.	Description	Possible Points	Score
Corporation Qualification Evaluation			
1.1	Financial history, reputable and established audit firm	10	
1.2	References and feedback	10	
	Total Possible Corporate Qualification Points	20	
Technical Proposal Evaluation			
2.1	Overall clarity and organization of the response to the RFP	5	
2.2	Oral Interview	5	
2.3	Demonstrated experience conducting SOC2 audits for organizations sharing similarities with AAMVA	20	
2.4	Knowledge of application development and on-going IT operations to include public cloud services and IT operations in the cloud	10	
2.5	Demonstrated project management approach to include timelines and associated costs breakdown	5	
2.6	Value added services	5	
	Total Possible Technical Points	50	
Cost Proposal Evaluation			
3.1	Overall Price	15	
3.2	Payment Terms (Net 30 or better)	5	
3.3	Favorable terms and conditions	5	
	Total Possible Price Points	30	
	Grand Total Possible Points	100	

EXHIBIT A - CERTIFICATIONS AND ASSURANCES

I/we make the following certifications and assurances as a required element of the proposal to which this Exhibit A is attached, understanding that the truthfulness of the facts affirmed herein and the continuing compliance with these requirements are conditions precedent to the award or continuation of the related contract(s):

1. I/we declare that all answers and statements made in the proposal are true and correct.
2. The prices and/or cost data have been determined independently, without consultation, communication, or agreement with others for the purpose of restricting competition. However, I/we may freely join with other persons or organizations for the purpose of presenting a single proposal.
3. The attached proposal is a firm offer for a period of 90 days following the due date for receipt of proposals, and it may be accepted by AAMVA without further negotiation (except where obviously required by lack of certainty in key terms) at any time within the 60-day period.
4. In preparing this proposal, I/we have not been assisted by any current or former employee of AAMVA whose duties relate (or did relate) to this proposal or prospective contract, and who was assisting in other than his or her official capacity. Any exceptions to these assurances are described in full detail on a separate page and attached to this document.
5. I/we understand that AAMVA will not reimburse any costs incurred in the preparation of this proposal. All proposals become the property of AAMVA, and I/we claim no proprietary right to the ideas, writings, items, or samples presented in the proposal, unless so stated in the proposal.
6. Unless otherwise required by law, the prices and/or cost data which have been submitted have not been knowingly disclosed by the consultant and will not knowingly be disclosed by him/her prior to opening, directly or indirectly, to any other consultant or to any competitor.
7. I/we agree that submission of the attached proposal constitutes acceptance of the solicitation contents and the attached general terms and conditions. If there are any exceptions to these terms, I/we have described those exceptions in detail on a page attached to this document.
8. No attempt has been made or will be made by the consultant to induce any other person or firm to submit or not to submit a proposal for the purpose of restricting competition. Further, you hereby certify you have no organizational or personal conflicts of interest with AAMVA on the purposed project after reviewing all organizational, personal, and third parties who may be conducting business on the potential contract.

Signature of Offeror

Printed Name, Title and Date

EXHIBIT B-CERTIFICATION OF DEBARMENT

The prospective vendor certifies to the best of its knowledge and belief that it and its principals:

1. Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency.
2. Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any department or agency of the Commonwealth of Virginia or any of the jurisdictions comprising the membership of the American Association of Motor Vehicle Administrators (AAMVA).
3. Have not within a three year period preceding this date been convicted of or had a civil judgment rendered against them for commission of fraud or criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
4. Are not presently indicted for or otherwise criminally or civilly charged by a government entity (Federal, State, or local) with commission of any of the offenses enumerated above of this certification; and
5. Have not within a three-year period preceding this date had one or more public transactions (Federal, State, or local) terminated for cause or default.

Vendor understands that a false statement on this certification may be grounds for rejection of any submitted proposal or quotation or termination of any award. In addition, under 18 USC Sec. 1001, a false statement may result in a fine of up to \$10,000 or imprisonment for up to 5 years, or both if federal funds are being used to support the procurement.

Printed Name of Vendor

Printed Name and Title of Authorized Representative

Signature of Authorized Representative