# Questions & Answers on Technology Audit RFP

**Q1. Is there an expectation that any of this audit work be performed on-site at CSRA's facilities in Virginia?**

**A1.** Although not explicitly required in the Request for Proposal (RFP) Statement of Work, as a common practice, WCI, Inc. would expect the Auditor to perform a site visit of CSRA's office in Charlottesville Virginia, but there is no requirement that any specific work or task be conducted on site at CSRA's facilities. The Offeror shall provide a Draft Technical Audit Plan in their proposal; discussion of any work or task that will be conducted on site may be included in the plan.

**Q2. This seems to be a review of an application hosted and managed by a service provider (CSRA) – have they agreed to be available for the specified period of review?**

**A2.** Yes, WCI, Inc. has received consent from the service provider to conduct the Technology audit and they have agreed to be available during the audit process.

**Q3. Does WCI, Inc. have any Audit Standards? Would this audit be in line with any specific industrial standards, for example CPA standards, etc.?**

**A3.** WCI, Inc. does not have defined audit standards but would expect the Offerors to provide a clear description of industry best practices and performance standards that are applicable and will be utilized to conduct the audit.

**Q4. Does WCI, Inc. have an internal audit function, either internal or co-sourced?**

**A4.** No WCI, Inc. does not have an internal IT audit function.

**Q5. Is WCI, Inc. looking for audit or assessment? Is WCI, Inc. looking for the auditor to express an "opinion" or an "assessment"?**

**A5.** WCI, Inc. is looking for a Technology Audit in that technology management practices and requirements specific to the development and maintenance of the Compliance Instrument Tracking System Service (CITSS) are to be compared to accepted industry standards and practices. Additionally, WCI, Inc. is looking for an assessment to identify opportunities for improving compliance tracking system services supporting the implementation of state and provincial greenhouse gas emissions trading programs, consistent with the purpose and objectives outlined in the RFP. There is no requirement for the auditor to express a specific opinion, as may be required in a financial audit.

**Q6. Are there any particular challenges with the CSRA CITSS environment to do an Audit? Any Audits done in the past?**

**A6.** No there are no any particular challenges with the CITSS environment, nor have any audit been previously performed.

**Q7. Is WCI, Inc. considering release of the names of companies interested to bid?**

**A7.** No, WCI, Inc. will not release the names of the potential Offerors.

**Q8. Will WCI, Inc. conduct any interviews or presentations during the evaluation process?**

**A8.** No, WCI, Inc. will follow the evaluation process as specified in Section 8 of the RFP**.**

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**Q9. What should the final report contain?**

**A9.** The requirements for the final report are included in the RFP on page 27. The Draft Technical Audit Plan provided in an offeror's proposal must include a proposed Technical Audit report format based on requirements outlined in the Statement of Work and their technical approach to perform the required work.

**Q10. Page 9 of the RFP, under "Security of the application code – the audit expectation has be written has "Code review and evaluation, penetration testing, etc." What does "etc." mean?**

**A10.** The language referred to on page #9 is part of a list of scope details outlining potential areas for assessment in the Technology Audit. It is not required that each item listed be assessed. An Offeror's Draft Technical Audit Plan provided in an offeror's proposal should include recommendations of the most critical areas or topics (e.g., the top three to ten area/topics) to be assessed to meet the objectives of the Technology Audit). The reference to "etc." implies that the list is not all inclusive and an offeror may recommend an assessment that is not explicitly listed in the Statement of Work.

**Q11. Can WCI, Inc. provide a list of SLAs?**

**A11.** It is assumed that the reference to SLAs refers Service Level Agreements. The topic of SLAs are included in contracts with CSRA available on WCI, Inc. documents web page. As a component of a proposal, an offeror should include a clear description of information and materials that they will need to collect in order to conduct the Technology Audit. If negotiated SLAs are required in the performance of the audit, then it should be clearly stated in an offeror's proposal. Information and materials required to conduct the audit shall be provided only after the award of the contract.

**Q12. For the Cost Proposal, what type of information is expected in the Level of Effort column?**

**A12.** The Level of Effort information should be provided as a number of personnel hours anticipated to be required to complete each task and technology component of the Technology Audit.

**Q13. Are estimated hours required to be submitted with the proposal if this is structured as a firm fixed-price** contract?

**A13.** Yes, the Level of Effort information should be provided as a number of personnel hours anticipated to be required to complete each task and technology component of the Technology Audit. This information will be used in the cost evaluation specific to cost reasonableness.

**Q14. Section 14 of the RFP says, "All compensation shall be paid in accordance with WCI, Inc.'s policies and procedures…". Can such policies and procedures be provided to prospective proposers to determine compliance?**

**A14.** Contractors shall be paid as described in the RFP Section 7. For further description of WCI, Inc. policies and procedures, please refer to the WCI, Inc. documents page of our website.

# Questions & Answers on Technology Audit RFP

**Q15. Does WCI have policies and procedures that address travel expenses to be reimbursed to the contractor? If so, can such policies and procedures be provided to prospective proposers?**

**A15.** WCI, Inc. does not have specific policies and procedures for contractor travel expenses. As described in Section 7 of the RFP, WCI, Inc. expects the Offerors to provide best estimate of total cost inclusive of all costs, including travel. Such estimates shall be evaluated for cost reasonableness as specified under Section 8.2 of the RFP.

**Q16. How should the proposal address travel related costs for on-site visits to the Auditee? Should such travel costs be separately identified or should they be included in the firm fixed fee?**

**A16.** The Offeror's best estimate of total costs shall be inclusive of all costs, including travel. A cost proposal is not required to separately provide travel costs, but may if an offeror deems it necessary to illustrate that travel costs are reasonable and consistent with the technical approach provided in the submitted proposal.

**Q17. The final report:**

1. **Where will it be presented?**
2. **Do we have to be on-site for the presentation?**
3. **Can the report be written in French?**

**A17.**

1. The Contractor shall have three options for presenting the final report.
   a) If the Contractor is located near Sacramento, California, the on-site presentation can be at WCI, Inc.'s main office in Sacramento along with web/video conference to accommodate the Participating Jurisdiction members from Ontario and Quebec.
   b) If the Contractor is located near Toronto or Quebec City, the on-site presentation can be in Toronto or Quebec City along with web/video conference to accommodate the other Participating Jurisdiction members.
   c) The Contractor shall also have the option to present the final report through web/video conference only.

2. No, the Contractor may choose to present through web/video conference.

3. No, WCI, Inc. expects the report to be in English. This is to avoid any potential misinterpretation that could come from translation, since CITSS documentation required for the audit will be provided in English. In addition, the Auditor shall present the report to WCI, Inc. and Participating Jurisdictions where two-thirds are English speaking members.

**Q18. Are there any intended external audiences for the deliverables from this Technology Audit?**

**A18.** The Technology Audit report shall be delivered to the WCI, Inc. and its participating Jurisdictions. WCI, Inc. may post in redacted version of the audit report to the WCI, Inc. website.

# Questions & Answers on Technology Audit RFP

**Q19. Does CSRA have a SOC 1 or SOC 2 report?**

**A19.** CSRA has a SOC 1 report from September 2013. The information contained in this document is Amazon, Inc. proprietary and confidential commercial or financial information that is exempt from disclosure pursuant to 5 U.S.C. 552(b)(4) and 18 U.S.C. 1905 and subject to the protection of the Non-Disclosure Agreement entered into by Amazon and the CSRA. The information contained within this document may not be disclosed to third parties without prior written consent from Amazon and should not be duplicated, used or disclosed for any purpose other than the originally intended purpose.

**Q20. What type of SOC (service organization control) report, if any, have you received from AWS (Amazon Web Services) for hosting WCI systems/applications?**

**A20.** AWS makes SOC 1 (Type 2) and SOC 2 (Type 2) reports available to customers upon request, and the SOC 3 report available publicly. AWS information link is here: https://blogs.aws.amazon.com/security/post/Tx2L2AGCZ9CF4MH/New-SOC-1-2-and-3-Reports-Available-Including-a-New-Region-and-Service-In-Scope

**Q21. Have you received any WCAG accessibility certification, currently or in the past?**

**A21.** No.

**Q22. Has WCI, Inc. reviewed any AWS SOC reports?**

**A22.** No, WCI, Inc. have not reviewed any AWS SOC reports.

**Q23. Section 4.1 Hosting (page 8) includes in the project scope an audit of the physical hosting facility.**

1. **Where is the hosting facility located?**
2. **Is there a backup/DR facility that also needs to be audited?**
3. **Has the "major cloud provider" accepted that a third-party will be auditing their facility?**

**A23.** The language in Section 4.1 is part of a list of scope details outlining potential areas for assessment in the Technology Audit. It is not required that each item listed be assessed. An Offeror's Draft Technical Audit Plan provided in a proposal should include the Contractor's recommendations of the most critical areas or topics (e.g., the top three to ten area/topics) to be assessed to meet the objectives of the Technology Audit). If an offeror believes Section 4.1 should be assessed give the information provided in the RFP, then the offeror should include in their proposal a clear description of information and materials that they will need to collect in order assess Section 4.1, which may include information to address the questions above.

Please also refer to the AWS blog post regarding auditing of an AWS environment and the AWS SOC reports provide the audit information identified in Section 4.1 in the RFP.

a. https://blogs.aws.amazon.com/security/post/Tx13K6TN0M2CRXF/Auditing-Security-Checklist-for-AWS-Now-Available.
b. https://aws.amazon.com/compliance/soc-faqs/"

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**Q24. Can you, please, supply a complete architecture diagram of the application, the environment and the database structure**?

**A24.** Responses to submitted questions are made public and disclosure of documentation such as a complete architecture diagram could pose a security risk. No additional CITSS documentation will be provided during the procurement process. As a component of a proposal, an offeror should include a clear description of information and materials that they will need to collect in order to conduct the Technology Audit. If a complete architecture diagram is required in the performance of the audit, then it should be clearly stated in an offeror's proposal. Information and materials required to conduct the audit shall be provided only after the award of the contract.