



Larry Hogan
Governor
Boyd K. Rutherford
Lt. Governor
Pete K. Rahn
Secretary
Christine Nizer
Administrator

June 14, 2019

TO ALL POTENTIAL OFFERORS OF THE CONTRACT DOCUMENTS:

Addendum No. 1

**RE: MDOT MVA Contract No.: J04B9400055
Information Technology Auditing Services**

To Whom It May Concern:

- A. The REVISED Solicitation is being issued, correcting the Solicitation # listed in the headers from J04B9400050 to J04B9400055.

Very Truly Yours,

A handwritten signature in blue ink that reads "Jessica Mettle".

Jessica Mettle, Procurement Officer

THIS AMENDMENT IS ISSUED TO CLARIFY, ADD TO, DELETE FROM, CORRECT AND/OR CHANGE THE BID DOCUMENTS TO THE EXTENT INDICATED AND HEREBY MADE A PART OF THE SAID BID DOCUMENTS ON WHICH THE CONTRACT WILL BE BASED. THIS AMENDMENT BECOMES PART OF THE BID PACKAGE AND MUST BE ATTACHED TO THE OUTSIDE COVER OF THE PROPOSAL FORM. FAILURE TO DO SAY MAY RESULT IN THE REJECTION OF YOUR BID. COMAR 21.05.02.08 REQUIRES THAT ALL AMENDMENTS ISSUED BE ACKNOWLEDGED; THEREFORE THE ATTACHED RECEIPT MUST BE RETURNED TO THIS OFFICE. FAILURE TO RETURN THE RECEIPT ACKNOWLEDGING THE AMENDMENT MAY RESULT IN REJECTION OF YOUR BID.



**MOTOR VEHICLE
ADMINISTRATION**

Larry Hogan
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Lt. Governor
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Administrator

June 14, 2019

TO ALL POTENTIAL BIDDERS OF THE CONTRACT DOCUMENTS:

Addendum No. 1

**RE: MDOT MVA Contract No.: J04B9400055
Information Technology Auditing Services**

To Whom It May Concern:

It is important that you acknowledge receipt of this Addendum No. 1 on the referenced contract regardless of whether you will be bidding or not bidding.

If you have any questions regarding this matter, please contact Jessica Mettle, Procurement Officer, via telephone at 410-768-7252 or by email at jmettle@mdta.state.md.us.

Sincerely,

Jessica Mettle, Procurement Officer

Enclosures

Contract No.: V-HQ-19034-M
This will acknowledge receipt of the Attached Addendum No. 1.

NAME OF COMPANY

DATE

SIGNATURE

June 28, 2019

TO ALL POTENTIAL OFFERORS OF THE CONTRACT DOCUMENTS:

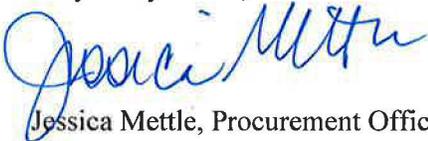
Addendum No. 2

**RE: MDOT MVA Contract No.: J04B9400055
Information Technology Auditing Services**

To Whom It May Concern:

- A. The Pre-Proposal Minutes and Sign-In Sheet are issued with this Addendum No. 2.

Very Truly Yours,



Jessica Mettle, Procurement Officer

THIS AMENDMENT IS ISSUED TO CLARIFY, ADD TO, DELETE FROM, CORRECT AND/OR CHANGE THE PROPOSAL DOCUMENTS TO THE EXTENT INDICATED AND HEREBY MADE A PART OF THE SAID PROPOSAL DOCUMENTS ON WHICH THE CONTRACT WILL BE BASED. THIS AMENDMENT BECOMES PART OF THE PROPOSAL PACKAGE AND MUST BE ATTACHED TO THE OUTSIDE COVER OF THE PROPOSAL FORM. FAILURE TO DO SO MAY RESULT IN THE REJECTION OF YOUR PROPOSAL. COMAR 21.05.02.08 REQUIRES THAT ALL AMENDMENTS ISSUED BE ACKNOWLEDGED; THEREFORE THE ATTACHED RECEIPT MUST BE RETURNED TO THIS OFFICE. FAILURE TO RETURN THE RECEIPT ACKNOWLEDGING THE AMENDMENT MAY RESULT IN REJECTION OF YOUR PROPOSAL.



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June 28, 2019

TO ALL POTENTIAL OFFERORS OF THE CONTRACT DOCUMENTS:

Addendum No. 2

**RE: MDOT MVA Contract No.: J04B9400055
Information Technology Auditing Services**

To Whom It May Concern:

It is important that you acknowledge receipt of this Addendum No. 2 on the referenced contract regardless of whether you will be submitting a proposal or not.

If you have any questions regarding this matter, please contact Jessica Mettle, Procurement Officer, via telephone at 410-768-7252 or by email at jmettle@mdta.state.md.us.

Sincerely,

Jessica Mettle, Procurement Officer

Enclosures

Contract No.: J04B9400055
This will acknowledge receipt of the Attached Addendum No. 2.

NAME OF COMPANY

DATE

SIGNATURE

Pre-Proposal Minutes
RFP: J04B9400055
Information Technology Auditing Services
Thursday, June 27, 2019 @ 10:00 a.m. (EST)

Welcome to the Pre-proposal conference for the Request for Proposals (RFP) J04B9400055 for the Maryland Department of Transportation Motor Vehicle Administration (MDOT MVA) Information Technology Auditing Services. My name is Jessica Mettle and I am the Procurement Officer assigned to this RFP.

If you have not already done so, please sign the attendance sheet and for those firms that are certified Minority Business Enterprise (MBE), Small Business Reserve (SBR) or Veteran-Owned Small Business Enterprise (VSBE) firms, please make note of that on the sign-in sheet.

I'll let my team introduce themselves first and then we can go around the room and have everyone else introduce themselves.

Introductions were held.

I will be going over the Procurement part of this project and will take any questions related to the procurement of this RFP.

I will then turn the conference over to Mr. Antony Antony who will review the scope of work. We will do our best to answer all questions regarding the scope of work, but strongly suggest all questions requiring an official answer be submitted in writing.

No answers given at today's meeting will be considered binding or an amendment to the contract. Throughout this Pre-Proposal Conference, if you want a high-level response to any question you may have, I again ask that your questions be submitted to me, in writing via email.

Reminder to all Offerors:

- The main purpose of this pre-proposal conference is to review the procurement requirements, address concerns, provide clarification, and provide instructions pertaining to the solicitation and scope of work, and answer questions.
- This RFP was released to the Master Contractors under Functional Area 9 of the Maryland Department of Information Technology Consulting and Technical Services+ contract on June 11, 2019.
- Minority Business are encouraged to respond to this solicitation
- Offerors will have the opportunity to submit questions in writing; written **questions must be submitted to me at jmettle@mdot.maryland.gov**. The deadline for submission of questions is **Friday, July 5, 2019 at 3:00 pm (EST)**.
- The Questions and Answers will be released via Addendum as soon as possible after the Question due date.
- Pre-proposal minutes, sign in sheet(s) and all questions and responses will be published as an addendum and become part of this solicitation.
- Changes to the scope of work or any response requirements will be published as an addendum and supersede the original published documents per COMAR.
- The due date and time for proposal Submission is **Thursday, July 18, 2019 at 11:00 A.M. Local Time**. Please see Sections 1.1, 5.2 and 5.3 for specific proposal submission information.

- As a reminder, the Technical Proposal submission along with all of the required Attachments and Appendices (listed under Section 7 of the RFP), are to be delivered together, but in a separate email from the Financial Proposal.
- BOTH THE TECHNICAL AND FINANCIAL PROPOSALS WILL NEED TO BE PASSWORD PROTECTED, WITH DIFFERENT PASSWORDS FOR EACH PROPOSAL TO (TECHNICAL AND FINANCIAL). The Procurement Officer will request the passwords for the Technical and Financial Proposals from the Offeror when needed.
- Please be aware that MDOT has a file size limitation of 20 megabytes on all email transmissions.
- You will be sending more than one email, so be sure to number your emails (1 of 2, 2 of 2 etc) see Section 5.3.4 for details.
- An Offeror wishing to deliver a hard copy (paper) Proposal shall contact the Procurement Officer for instructions.
- Please submit your offer in the format listed in section 5.3 and 5.4 of the RFP, as this will help to ensure that you have submitted all requested information as well as assist the evaluation team to determine that all information has been received.
- Please be sure to send your proposals early enough to allow sufficient time for your submission to arrive timely in the Procurement Officers inbox. "The date and time of an e-mail RFP submission is determined by the date and time of arrival of all required files in the Procurement Officer's e-mail inbox."
- The State will award this project to One Master Contractor.
- You are required to provide the name/number of your point of contact to set up oral presentations or for correspondence.
- Please be sure to review Section 6 – Evaluation and Selection Process.

MBE Participation

- There is no Minority Business Enterprise (MBE) Goal for this project.

Friendly reminder:

- Only the information communicated by the Procurement officer in writing shall be the official position of the MDOT. MDOT assumes no responsibility for information communicated by any other source.

Project Manager

- Good Morning everyone, welcome to the pre-proposal conference for **Information Technology Auditing Services- Request for proposals.**
- My name is Antony C. Antony. I am one of the Audit Managers, working with the MVA Internal Auditing Division. I was assigned as the **Task Order Manager** for this project on Information Technology Auditing Services. The **Task Order Contractor (TO)** will report to the Administration through the Chief Internal Auditor.
- **Scope of work:**
- There are two parts to the scope of the work:

- **Part 1.** Office of Legislative Audit Findings and recommendations and response by the Administration. The TO Contractor will perform ‘**An independent Audit assessment** to determine if the Administration has addressed and successfully implemented promises in response to all previous Office of Legislative Audit Findings and recommendations related to **MVA Information Technology Systems**. Generally, every three (3) years each state Agency get audited by the Office of Legislative Audits and if there are repeat findings it will be reported to the Joint Audit Committee. Currently there is a new OLA Audit that started in June of 2019. They will be issuing a report on the deficiencies’ related to **MVA including Information Technology Systems, Infra Structure, Operating Systems, Policies’** and procedures. The Administration Senior Management may include some of the **discussion notes to review** related to **IT Systems** audit regarding the Independent Audit assessment.
- Conclusion: TO Contractor will provide an independent Assessment and Audit on the Information Systems as well as identify the Information Technology Deficiencies and provide audit reports and recommendations to the Administration’s Senior Management.
- We expect TO Contractor to complete the Tasks within three (3) months.
- **Part 2.** The TO Contractor shall conduct **an IT Risk Assessment testing general controls** including Data Security, cloud computing, system access, operating systems and software applications.
- The TO Contractor shall perform a security Gap Analysis for MVA Office of Information Resources (OIR) following SAN’s top 20 critical controls.
- The TO Contractor shall evaluate the MDOT MVA IT business practices in relation to IT Operations and policy status as compared to Security rule standards and specific remediation steps & recommendations to correct any potential violations.
- The TO Contractor shall compare Security regulations with various State of Maryland and MDOT policies
- In conclusion Part 2 is “An Independent assessment and Audit will be on the Risk Assessment Analysis on MVA Data Security, Cloud computing, System Access controls, Operating Systems including Software applications, Web Applications, Web Services, Servers, Disaster Recovery, Systems development Life Cycle and Attack and Penetration Testing reviews, including Security Gap Analysis (with SAN’s top 20 critical controls).
- We expect TO Contractor to complete the Tasks within six (6) months.

Questions and Answers

- Q1. What is the expected date for this procurement? When will Orals be held and contract award?
- A1. It is expected that Orals may happen in late August, early September and a recommendation for award in October. However, the MDOT MVA wants this to be awarded as quickly as possible so it may be sooner: Also, as a reminder depending on the dollar value of the contract, this may require BPW approval.
- Q2. How many OLA findings are outstanding?
- A2. 3 Findings on IT Audits, OLA Audit report dated November 2017.
- Q3. Do you perform audits on 1/3 of the audits every year?

- A3. No, every three (3) years, the Office of Legislative Audits (OLA) comes to the MDOT MVA and audits on a three (3) year time frame.
- Q4. Is this a brand-new contract or is this a replacement contract?
- A4. This is a brand-new contract.
- Q5. What is the budgeted amount for this contract?
- A5. The MDOT MVA has an estimate but is not familiar with this type of work and wants firms to propose the amount necessary to perform the work.
- Q6. In reviewing the scope of work one of the Key Personnel requirements is for a CPA, is that correct on an IT procurement?
- A6. There are no CPA requirements for any of the Key Personnel in this solicitation, however, whoever performs IT Audits should be a Computer Information Systems Auditor (CISA):
-

MARYLAND DEPARTMENT OF TRANSPORTATION
 MOTOR VEHICLE ADMINISTRATION
 Procurement & Contracts Division
 PRE-PROPOSAL ATTENDANCE SHEET
 DATE: June 27, 2019, 10:00 a.m.

SOLICITATION NO: J04B9400055

CONTRACT TITLE: Information Technology Auditing Services

Please Print Legibly

NAME OF FIRM	ATTENDEE NAME	TELEPHONE NUMBER	EMAIL ADDRESS
Ernst & Young, LLP	Pam Pitman	4104092444	pam.pitman@ey.com
SBR INSPIRED DATA SOLUTIONS	PETA ENOCH	410 951 9081	PETA.ENOCH@INSPIREDDATA SOLUTIONS.COM
MathTech	Charu Banerjee	615-2603971	charubanerjee@mathtech mathtechinc.com
MBE DK CONSULTING	SCOTT PETERSON	443 235 2292	speterson@dkconsult.net
MVA MUA Nick Bilonky	Nick Bilonky	410 768 7079	nbilonky@mdot.state.md.us
MVA Diane Kopke	DIANE KOPKE	410 787-7785	dkopke@mdot.state.md.us
Bob Giglio MVA Infosec	Bob Giglio	410-787-7787	bgiglio@mdot.state.md.us

~~Ashley Boykin~~
 Serigor
 MBE/SBR
 Legal Technologies Solutions

Ashley Boykin

443.449.0903

ashley.boykin@serigor.com

Aaron Kerr

443-896-6516

akerr@crivill.com

MARYLAND DEPARTMENT OF TRANSPORTATION
MOTOR VEHICLE ADMINISTRATION
Procurement & Contracts Division
PRE-PROPOSAL ATTENDANCE SHEET
DATE: June 27, 2019, 10:00 a.m.

SOLICITATION NO: J04B9400055

CONTRACT TITLE: Information Technology Auditing Services

Please Print Legibly

NAME OF FIRM	ATTENDEE NAME	TELEPHONE NUMBER	EMAIL ADDRESS
MDOT MVA - Procurement	Jessica Nettle	4107687252	jmettle@mdot.maryland.gov.
NBE Bithgroup Technologies	Martine Charles	443-844-2126	mprevostcharles@bithgroup.com
MDOT MVA Internal Auditing	ANTONY @ ANTONY	410-768-7050	aantony@mdot.state.md.us
OTAS, Inc	Yvonne Robins	301-459-3644	yrobinson@otaservice.net
MDOT MVA Procurement	Kari Moore		cmoore8@mdot.maryland.gov
Legal Technology Solutions LLS	Steve Stern	4105473596 x 101	SSSTERN @ LISWEB.NET SSSTERN
RSM	Susan Park	301-642-1899	SUSAN.PARK@rsmus.com



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July 2, 2019

TO ALL POTENTIAL OFFERORS OF THE CONTRACT DOCUMENTS:

Addendum No. 3

**RE: MDOT MVA Contract No.: J04B9400055
Information Technology Auditing Services**

To Whom It May Concern:

- A. Questions and Answers received to date are being answered via this Addendum No. 3.

Very Truly Yours,

A handwritten signature in blue ink that reads "Jessica Mettle".

Jessica Mettle, Procurement Officer

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July 2, 2019

TO ALL POTENTIAL OFFERORS OF THE CONTRACT DOCUMENTS:

Addendum No. 3

**RE: MDOT MVA Contract No.: J04B9400055
Information Technology Auditing Services**

To Whom It May Concern:

It is important that you acknowledge receipt of this Addendum No. 3 on the referenced contract regardless of whether you will be submitting a proposal or not.

If you have any questions regarding this matter, please contact Jessica Mettle, Procurement Officer, via telephone at 410-768-7252 or by email at jmettle@mdta.state.md.us.

Sincerely,

Jessica Mettle, Procurement Officer

Enclosures

Contract No.: J04B9400055
This will acknowledge receipt of the Attached Addendum No. 3.

NAME OF COMPANY

DATE

SIGNATURE

Addendum No. 3
Questions and Answers
RFP: J04B9400055
Information Technology Auditing Services

- Q1. If we win the Bid, would it preclude us from bidding on other work? How can we independently audit work that we are performing at the MVA?
- A1. If your firm is performing as a consultant on an IT contract for the MDOT MVA, you cannot be appointed to perform as an IT Auditor. There should be a clear segregation of duties.



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July 9, 2019

TO ALL POTENTIAL OFFERORS OF THE CONTRACT DOCUMENTS:

Addendum No. 4

**RE: MDOT MVA Contract No.: J04B9400055
Information Technology Auditing Services**

To Whom It May Concern:

- A. The Proposal Due Date has been CHANGED to August 8, 2019 at 11:00 a.m.
- B. Questions received will be answered in a forthcoming Addendum.

Very Truly Yours,

A handwritten signature in blue ink that reads "Jessica Mettle".

Jessica Mettle, Procurement Officer

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July 9, 2019

TO ALL POTENTIAL OFFERORS OF THE CONTRACT DOCUMENTS:

Addendum No. 4

**RE: MDOT MVA Contract No.: J04B9400055
Information Technology Auditing Services**

To Whom It May Concern:

It is important that you acknowledge receipt of this Addendum No. 4 on the referenced contract regardless of whether you will be submitting a proposal or not.

If you have any questions regarding this matter, please contact Jessica Mettle, Procurement Officer, via telephone at 410-768-7252 or by email at jmettle@mdta.state.md.us.

Sincerely,

Jessica Mettle, Procurement Officer

Enclosures

Contract No.: J04B9400055
This will acknowledge receipt of the Attached Addendum No. 4.

NAME OF COMPANY

DATE

SIGNATURE



Larry Hogan
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July 17, 2019

TO ALL POTENTIAL OFFERORS OF THE CONTRACT DOCUMENTS:

Addendum No. 5

**RE: MDOT MVA Contract No.: J04B9400055
Information Technology Auditing Services**

To Whom It May Concern:

- A. Questions and Answers are being answered via this Addendum No. 5. Additional Questions and Answers are forthcoming.

Very Truly Yours,

A handwritten signature in blue ink, appearing to read "Jessica Mettle".

Jessica Mettle, Procurement Officer

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July 17, 2019

TO ALL POTENTIAL OFFERORS OF THE CONTRACT DOCUMENTS:

Addendum No. 5

**RE: MDOT MVA Contract No.: J04B9400055
Information Technology Auditing Services**

To Whom It May Concern:

It is important that you acknowledge receipt of this Addendum No. 5 on the referenced contract regardless of whether you will be submitting a proposal or not.

If you have any questions regarding this matter, please contact Jessica Mettle, Procurement Officer, via telephone at 410-768-7252 or by email at jmettle@mdta.state.md.us.

Sincerely,

Jessica Mettle, Procurement Officer

Enclosures

Contract No.: J04B9400055
This will acknowledge receipt of the Attached Addendum No. 5.

NAME OF COMPANY

DATE

SIGNATURE

Addendum No. 5
Questions and Answers
RFP: J04B9400055
Information Technology Auditing Services

- Q1. Will you please confirm that we may submit our proposal for the above-mentioned TORFP via email and that a hard copy is not required to be sent to the 6601 Ritchie Highway address?
- A1. Proposals must be submitted in accordance with Section F – TO Proposal Format.
- Q2. Is the scope of Part 1 limited to areas with OLA findings from the 2019 audit report, or is the expectation that the provider independently reviews all the processes listed in section 2.3.1?
- A2. Yes, MDOT MVA's expectation is that the scope of the independent audit services would start with a review of the latest (2017) OLA audit report which had two (2) IT findings and includes a review of nine (9) IT discussion notes. Then after finalization of the 2019 audit to include a review of those items at that time. If the 2019 report is not complete after the 2017 is finalized and approved, then the vendor should start on the Critical Security Control portion.
- Q3. If the scope in Part 1 is driven by outstanding OLA findings, and the 2019 audit is not complete, is it reasonable to base our level of effort on the three (3) reportable IT audit findings from the November 2017?
- A3. See the answer to A2 above. Per this Addendum, the MDOT MVA has revised it to be only two (2) reportable IT audit findings.
- Q4. Can you provide a brief overview of the 2017 reportable IT audit findings? The purpose is to give us an idea of the scope of work to quote, as requested, fixed fees based on previous findings.
- A4. Audit Finding # 9: Controls over the MDOT MVA virtual server environment did not properly protect critical virtual servers.
- Audit Finding # 10: Procedures for securing MDOT MVA's numerous computers were not sufficient.
- Additional information on the nine discussion notes will be provided at a later date.
- Q5. On Page 14, the RFP mentions testing of general controls as part of the IT Risk Assessment. However, in the detailed deliverable and acceptance criteria grid, testing is not referenced. What is the expectation for testing in Part 2?
- A5. Section 2.3.4.1 should say - The TO Contractor shall conduct an IT Risk Assessment of general controls including data security, cloud computing, systems access, operating systems and software applications
- Q6. For Part 2, is the expectation that a separate IT Risk Assessment and security gap analysis based on the SANS Top 20 be performed? If so, would you be open to an approach that combines the IT Risk Assessment and Security Gap Analysis into a single deliverable?
- A6. The MDOT MVA wants a risk assessment using Center for Internet Security (CIS) Top 20 Critical Security Controls (previously known as the SANS Top 20 Critical Security Controls) CIS Top 20 however, the risk assessment must include the analysis of the MDOT MVA's data security posture including: cloud computing, system access controls, operating systems including software applications, web applications, web services, servers, disaster recovery, systems development life cycle and attack and penetration testing reviews.

- Q7. Typically, we scope our risk assessments using the SANS Top 20 as a starting point. In Addendum #2, we noted the phrase “ ...*Risk Assessment Analysis on MVA Data Security, Cloud computing, System Access controls, Operating Systems including Software applications, Web Applications, Web Services, Servers, Disaster Recovery, Systems development Life Cycle and Attack and Penetration Testing reviews, including Security Gap Analysis (with SAN's top 20 critical controls).*” Given the SANS Top 20 inherently covers many of the areas listed, are these expected to be two separate exercises, or would be acceptable to propose an approach that uses the SANS Top 20 as our primary scoping tool?
- A7. It will be acceptable to use CIS top 20 critical security controls.
- Q8. In regard to the November 2017 OLA audit, for Finding 9 Controls over MVA Virtual Server Environment:
- a. Are the results for each quarterly review stored in a centralized location or reside within each agency?
 - i. If within each agency, please provide the number of agencies that are considered in-scope for this recommendation.
- A8. MDOT MVA only
- Q9. In regard to the November 2017 OLA audit, for Finding 11 Ignition Interlock Program (IIP) access:
- b. Is the IIP system a Commercial Off The Shelf (COTS) product?
 - c. Were the programming revisions completed in-house or by the vendor?
- A9. Not in scope for this contract. Handled by third party, only IT audit findings are in scope.
- Q10. Section 2.3.1 “Independent Audit Assessment Requirements” states analysis will be performed in accordance with the SAN’s top 20 critical controls.
- a. Please confirm you are referencing the Center for Internet Security (CIS) Top 20 critical security controls?
 - b. Is the assessment to be conducted on version 7.1 of the CIS Controls?
- A10.
- A. Correct. The Center for Internet Security (CIS) Top 20 Critical Security Controls (previously known as the SANS Top 20 Critical Security Controls).
 - B. Yes. Or the most current by the time of award.
- Q11. Section 3.6.3 “Key Personnel Experience” list the preferred experience for key personnel.
- c. The request is for an IT Senior that meets or exceeds the requirements listed. If the team is led by an IT Manager that exceeds the requirements, can IT Staff be included within this engagement?
- A11. Any personnel considered Key personnel must meet the requirements.
- Q12. Section 3.6.4 “Substitution of Education for Experience” provides a description of substituting a Bachelor’s Degree or higher for general and specialized experience.
- d. Can staff members, possessing a Bachelor’s Degree, have their education substituted for work experience/qualifications noted in Section 3.6.3?
- A12. No.
- Q13. Page 8, next to last paragraph. You state that the Agency has already received audit findings. Since this is a fixed price contract (page 13), how many findings were there?

- A13. Per this Addendum No. 5, two (2) IT audit findings.
- Q14. How many servers are in-scope?
- A14. 860.
- Q15. How many IBM mainframes' LPARs are in-scope?
- A15. 1 IBM and 3 LPARs.
- Q16. How many workstations/personal computers are in-scope?
- A16. 3,200.
- Q17. Can everything in-scope be reached from a central location?
- A17. Yes.
- Q18. Must multiple locations be visited?
- A18. No.
- Q19. What cloud computing vendors are within the scope of this solicitation?
- A19. Salesforce.
- Q20. What databases are in-scope?
- A20. SQL, Oracle, DB2.
- Q21. Is the PCI environment logically separated from the general network?
- A21. We do not have credit card data on our network. Handled by 3rd party and we have an annual PCI assessment. Anything related to PCI is out of scope for this solicitation.
- Q22. Item 2.3.1, 7th bullet. Is this a review of the policy?
- A22. It may include agreements or policies we have with service organizations that hold, store, or process confidential data. The assessment needs to ensure compliance with the State Department of Information Technology (DoIT), Maryland Department of Transportation and MDOT MVA IT policies and procedures.
- Q23. Page 10, item 2.3.1, second paragraph. Since this is a compliance assessment, is a penetration test included in the scope?
- A23. No.
- Q24. Could MDOT MVA provide the most recent audit reports with the findings?
- A24. See Answer 4 above.
- Q25. Would the agency consider an extension of the proposal due date by a couple of weeks as we have had to respond to many TORFPs recently?

- A25. Per Addendum No. 4, the due date has been extended.
- Q26. Would the agency allow part of the work to be performed offsite?
- A26. No
- Q27. Is this a first time for this RFP. If not who is the incumbent.
- A27. As stated in Addendum No. 2, this is a brand-new procurement.
- Q28. Can certified ethical hacker or certified cloud security knowledge certifications be substituted for one of the preferred second certifications identified in the RFP.
- A28. No
- Q29. Can the list of attendees and summary to the pre-conference be shared?
- A29. That was provided in Addendum No. 2.
- Q30. Will prior Audit workpapers be made available.
- A30. Yes, we can provide the OLA audit findings but not the workpapers.
- Q31. If there were prior Audits, can information be made available on the actual hours incurred to Audits of the assessment areas in section 2.3.1 of the RFP.
- A31. Please see answer No. 27 above.
- Q32. Do you have to be an approved Master Contractor to respond to the RFP.
- A32. Yes.
- Q33. How soon after the award will the Audit work be projected to began.
- A33. Please see answer No. A1 in Addendum No. 2 dated June 28, 2019.
- Q34. Would MDOT MVA consider awarding the work to a vendor that, while not currently a CATS+ Master Contractor, is in the process of becoming a CATS+ Master Contractor?
- A34. No, firms must be an approved Master Contractor under the CATS+ contract upon submittal.
- Q35. Are there known IT system requirements that are unachieved or deviations, and to what degree?
- A35. No
- Q36. What governing laws and regulations are currently not in compliance, if any (e.g. State Government Article, Sections 2-1217 through 2-1227)?
- A36. None that we are aware.
- Q37. When were the DoIT policies and procedures last reviewed and updated?
- A37. June 28, 2019
- Q38. Any known deficiencies in the security of physical and logical state assets (e.g. within the OLA IT findings)?

- A38. No
- Q39. When was the most recent independent IT Assessment, if any?
- A39. As stated in Addendum No. 2, this is a brand-new procurement. However, a PCI Assessment was completed in June 2019.
- Q40. Is there a program governance is established around the planned upgrades around legacy systems?
- A40. The modernization project (Customer Connect) is a managed project including governance and oversight.
- Q41. Has the MDOT performed vulnerability and/or penetration testing and any open issues?
- A41. Yes and No
- Q42. Is a chief privacy officer or data protection officer been charged with overseeing the enterprise-wide data privacy posture?
- A42. There is a CISO and Information Security Office responsible for security oversight
- Q43. On the table titled "Key Information Summary Sheet," the "Task Order Duration" (pg. 3) lists that the resulting contract would be for "Fifteen (15) Months, with one (1) two-year renewal option." However, under section 2.3.2.3 (pg. 12), it says Part 1 is for three (3) months and Part 2 is for six (6) months, totaling to 9 months only. Would you please explain?
- A43. The duration to complete Part 1 audit is 3 months and Part 2 is 6 months and it cannot be combined, and this could be affected by Financial CAP.
- Q44. The requirement for the "Auditor, IT (Senior)" position, as detailed under section 1.1 (pg. 7) via the link https://doit.maryland.gov/contracts/Documents/CATSPplus2016/060B2490023-2016_Section2.10_Amendment.pdf, states "CPA required" for this personnel as part of his/her Education. Is that a mandatory requirement?
- A44. Answered in Addendum 2 – No CPA requirements needed
- Q45. Does any part of the section 2.3.3 ("PART 1: Information Systems Audit and Quality Assurance – Fixed Price" on pg. 13) involve any form of financial audit?
- A45. No
- Q46. If Part 1 is a financial audit, which compliance framework is in place?
- A46. Part 1 is not a financial audit.
- Q47. Approximately how many devices make up the scope of work outlined in Part 1 and Part 2?
- A47. See Answers to Questions 14, 15, and 16 above.
- Q48. Is MDOT MVA currently using PCI Compliance DSS 3.2.1?

A48. Yes

Q49. What are the number of transactions per year involved in the PCI compliance?

A49. There is no CHD storage on MVA's network. MVA is not responsible for managing keys for POI (point of interaction) devices. We have an annual PCI assessment conducted by an independent 3rd party. Anything related to PCI is out of scope for this solicitation.

Q50. How many devices are part of PCI compliance?

A50. There is no CHD storage on MVA's network. MVA is not responsible for managing keys for POI (point of interaction) devices. We have an annual PCI assessment conducted by an independent 3rd party. Anything related to PCI is out of scope for this solicitation.

Q51. How many IT systems are part of the Part 2 Scope of Work?

A51. All of MVA's systems are in scope for the review

Q52. In 5.4.2.C (p. 47), the instructions state to submit documentation of Minimum Qualifications set forth in TORFP Sections 1 and Section 3.6. Can we get clarification of which requirements in Section 3.6 require documentation? For example, is a current CISA certification required, or does the contractor just need to "meet the basic requirements for accreditation" (e.g., would an expired CISA accreditation qualify)? Is having at least one of the additional accreditations listed (i.e., CRISC, CISM, CGEIT, CISSP) required or "preferred"?

A52. Please see Section 3.6.2 and 3.6.3 of the TORFP for the required information.



Larry Hogan
Governor
Boyd K. Rutherford
Lt. Governor
Pete K. Rahn
Secretary
Christine Nizer
Administrator

July 18, 2019

TO ALL POTENTIAL OFFERORS OF THE CONTRACT DOCUMENTS:

Addendum No. 6

**RE: MDOT MVA Contract No.: J04B9400055
Information Technology Auditing Services**

To Whom It May Concern:

- A. All Questions and Answers are being answered via this Addendum No. 6.

Very Truly Yours,

Jessica Mettle, Procurement Officer

THIS AMENDMENT IS ISSUED TO CLARIFY, ADD TO, DELETE FROM, CORRECT AND/OR CHANGE THE PROPOSAL DOCUMENTS TO THE EXTENT INDICATED AND HEREBY MADE A PART OF THE SAID PROPOSAL DOCUMENTS ON WHICH THE CONTRACT WILL BE BASED. THIS AMENDMENT BECOMES PART OF THE PROPOSAL PACKAGE AND MUST BE ATTACHED TO THE OUTSIDE COVER OF THE PROPOSAL FORM. FAILURE TO DO SO MAY RESULT IN THE REJECTION OF YOUR PROPOSAL. COMAR 21.05.02.08 REQUIRES THAT ALL AMENDMENTS ISSUED BE ACKNOWLEDGED; THEREFORE THE ATTACHED RECEIPT MUST BE RETURNED TO THIS OFFICE. FAILURE TO RETURN THE RECEIPT ACKNOWLEDGING THE AMENDMENT MAY RESULT IN REJECTION OF YOUR PROPOSAL.



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July 18, 2019

TO ALL POTENTIAL OFFERORS OF THE CONTRACT DOCUMENTS:

Addendum No. 6

**RE: MDOT MVA Contract No.: J04B9400055
Information Technology Auditing Services**

To Whom It May Concern:

It is important that you acknowledge receipt of this Addendum No. 6 on the referenced contract regardless of whether you will be submitting a proposal or not.

If you have any questions regarding this matter, please contact Jessica Mettle, Procurement Officer, via telephone at 410-768-7252 or by email at jmettle@mdta.state.md.us.

Sincerely,


Jessica Mettle, Procurement Officer

Enclosures

Contract No.: J04B9400055
This will acknowledge receipt of the Attached Addendum No. 6.

NAME OF COMPANY

DATE

SIGNATURE

Addendum No. 6
Questions and Answers
RFP: J04B9400055
Information Technology Auditing Services

- Q1. Will Part 1 entail a full-scope Independent Assessment and Audit or just a review of whether previously identified OLA IT findings have been remediated?
- A1. A review to ensure whether previously identified OLA IT Findings and Discussion notes have been remediated/addressed. Also see Addendum 4, Question 2 for additional information.
- Q2. What is the boundary (i.e., how many devices and technology) for the following environments:
- Data Security
 - Cloud Computing
 - Systems Access
 - Operating Systems
 - Software Applications
 - Web Applications
 - Web Services
 - Databases
 - Servers
 - Disaster Recovery locations
 - Systems Development Life Cycle
 - Attack and Penetration Testing Reviews
- A2. See Addendum 4, Q14, Q15, Q16, Q19, Q20, Q23
- Q3. As part of the IT Risk Assessment in 2.3.4, what is the boundary (i.e., how many devices) for data security, cloud computing, systems access, operating systems and software application?
- A3. See Question 2 and response 2 above and Addendum 4, Q14, Q15, Q16, Q19, Q20, Q23
- Q4. Is PCI DSS 4.0 compliance implemented or 3.2?
- A4. PCI DSS 3,2,1 also see Addendum 4, Question 48
- Q5. For penetration testing, are scanning tools provided or are we allowed to bring our scanning tools?
- A5. Penetration testing is not in scope also see Addendum 4, Question 23
- Q6. Does Part 1 of the solicitation include any Personally Identifiable Information (PII)?
- A6. Regarding Part 1, the findings mentioned in the two IT findings in the 2017 report do not mention PII. The 2019 audit is underway and not finalized at this time. The MDOT-MVA reserves the right and will notify the awardee if any PII is mentioned as a result of the 2019/2020 OLA report.
- Q7. In 2.3.2, the solicitation states one goal of the audit is to provide MDOT MVA "assurance that...business objectives are accomplished (and) resources are used economically and efficiently." Will financial information be provided?
- A7. No
- Q8. Section 2.7.5 of our company's CATS+ Master Contract requires that "[a]ll insurance policies shall be endorsed to include a clause that requires that the insurance carrier provide the Contract Manager, by certified mail, not less than 45 days' advance notice of any non-renewal, cancellation, or expiration." Our subcontractor's insurance policies do not contain such an

endorsement. Does this requirement apply to subcontractors? If so, can this requirement be waived for our subcontractor, with an agreement instead to language that states that the subcontractor “will give the Contract Manager, by certified mail, not less than 30 days’ advance notice of any cancellation or non-renewal of the required policies that does not result in equal or better coverage”?

- A8. Contractors may assume insurance responsibility for the entirety of the Contract, to include subcontractors.
- Q9. Could you clarify the TORFP's correct solicitation number? The previous release has the solicitation number of J04B9400055, but the final which was released this week states it is J04B9400050.
- A9. The correct solicitation number is J04B9400055.
- Q10. The TORFP states “The Offeror Information Sheet (see **Appendix 2**) and a Transmittal Letter shall accompany the TO Technical Proposal. The purpose of the Transmittal Letter is to transmit the TO Proposal and acknowledge the receipt of any addenda to this TORFP issued before the TO Proposal due date and time.” However, the Addenda all state “It is important that you acknowledge receipt of this Addendum...regardless of whether you will be bidding or not bidding.” The former statement seems to indicate that acknowledgement of addenda accompanies the technical proposal in the transmittal letter. However, the latter statement seems to request acknowledgement as the addenda are issued. To cover all bases, we will do both but we would appreciate clarification for future reference.
- A10. Acknowledgement in the Transmittal letter is sufficient. MDOT MVA just needs to ensure that firms received and took into consideration all Addendum information.