Question #1
The RFP mentions Service Organization Controls (SOC) on the cover page and pages 9 and 23. However, the AICPA introduced the term System and Organization Controls (SOC) in 2017. Please confirm that we can refer to the updated definition of SOC in our proposal.

Answer #1
Yes, you can refer to the updated definition of SOC in your proposal.

Question #2
We are happy to begin the engagement no later than February 1, 2024 as requested. Please confirm whether you prefer to start testing the first half of the audit period in early 2024 or whether you prefer that testing be performed towards the end of the audit period in summer or fall 2024?

Answer #2
Preference is to test for first 6 months in April or May and then test remainder of the year in September.

Question #3
Will the State of Alabama provide the prior year's reports, or at least the list of control objectives and control activities from the SOC 1 reports to provide Proposers with an outline of the scope to be audited?

Answer #3
No.

Question #4
Can you please provide a list of subservice organizations that are relevant to the scope of each report and whether you intend to have them included in the testing or "carved out" and not tested?

Answer #4
Subservice organizations will be "carved out" and not tested.

Question #5
Would RSA prefer testing be on-site, remote, or hybrid?

Answer #5
RSA would prefer hybrid testing.

Question #6
How many controls are included in all three reports that would allow for any overlap and sharing of testing procedures?

Answer #6
There are 13 control activities (with multiple control points) in each of the SOC 1 Type2 reports with 7 of the 13 matching.

Question #7
Do you expect most of the work to be performed in person or remotely by the chosen provider?

Answer#7
See answer #5.

Question #8
Have there been any changes to the control environmental for the reports?

Answer #8
No.

Question #9
Is the incumbent allowed to propose?

Answer #9
Yes.

Question #10
Are there any pain points with the current provider related to service or overall engagement performance?

Answer #10
No.

Question #11
In terms the current engagement related to this service, what have you liked?

Answer #11
Professionalism and thoroughness of current vendor.

Question #12
What would you like to see changed in the next engagement related to this service?

Answer#12
We are pleased with the current process of the engagement.

Question #13
What will your team's involvement be with this engagement?

Answer #13
We will manage the engagement from the client side and gather all requested documents to provide to the successful proposer within the agreed upon timeline.

Question #14
The RFP states that the engagement should begin no later than February 1, 2024. When do you expect fieldwork to be performed outside of the February date?

Answer #14
September of each year.

Question #15
The RFP states that SOC reports should be conducted in accordance with SSAE 21. Would the RSA prefer conducting the SOC exams in accordance with SSAE 21 or the latest AICPA pronouncement at the time of future audits?

Answer #15
The latest AICPA pronouncement at the time of future audits.