

RFP Criteria Category for Evaluation	Minimum Standards
Corporate Background and Experience:	
Detailed experience with similar projects or other information that demonstrates that the Offeror is qualified {see Section 7.2 of the RFP}	1. Must have similar project tax experience or 2. Size and complexity or 3. Project implementation References should be followed up.
If similar work has been performed for others, three references were listed (with contact names and telephone numbers) for whom such work was performed {see Section 7.2 of the RFP}	1. Must have Similar project tax experience or 2. Size and Complexity or 3. Project implementation References should be followed up.
If applicable, subcontractors were listed that the Offeror intends to use in fulfilling any contract entered into pursuant to this RFP. Attached to this list is a description of the work that will be subcontracted and a discussion of the capabilities of the subcontractor including the history and relationship to the Offeror {see Sections 7.2, 8.11 and 9.4 of the RFP}	Changes to the application if any have been submitted via an addendum (all subcontractors and or partners must be submitted and approved by the board and will require additional testing and certification).
If the proposal is on behalf of a partnership, etc. it identified each entity and provided background and experience information for each {see Sections 7.2 and 7.3 of the RFP}	Any changes in the application require an addendum so all subcontractors and or partners must be submitted and approved by the board and will require additional testing and certification.
Specified and provided information on any key personnel employed by the Offeror or subcontractors. This included the experience of these key persons and a brief summary of the type of work they will perform pursuant to any contract per this RFP {see Sections 7.2, 7.4 and 9.3 of the RFP}	Any changes in the application require an addendum so all subcontractors and or partners must be submitted and approved by the board and will require additional testing and certification.
If applicable, a statement of criminal history was provided as required in Section 4.3 of the RFP {as referenced in Section 7.2 of the RFP}	Requiring background check for those who do not have them of personnel described 4.3.
Financial Soundness:	
Submitted audited financial statements for the last 3 years with a current certification from the chief financial officer stating that the statements are current, accurate and complete. Exceptions regarding any materially adverse changes since the date of the most recent financial statements were disclosed if applicable {see Section 4.2, 9.9 and 9.11 of the RFP}	Any changes in the application require an addendum so all subcontractors and or partners must be submitted and approved by the board and will require additional testing and certification.
If the Offeror is a subsidiary of another corporation, the Offeror submitted unaudited financial statements with certification from the CFO that statements were used to prepare audited parent company financial statements, in addition to submitting the audited financial statements of the parent company {see Section 4.2 of the RFP}	Changes to the application if any have been submitted via an addendum (all subcontractors and or partners must be submitted and approved by the board and will require additional testing and certification).
re	Any changes in the application require an addendum so all subcontractors and or partners must be submitted and approved by the board and will require additional testing and certification.
Offeror provided reports to, or filings with, the SEC for the past 3 years {see Section 4.2 of the RFP}	This is straight-forward as written. Additionally, if an Offeror has added a new partner or subcontractor that was not identified when they filed their original CSP application, they should be required to amend their application and provide all the detail that the RFP requires for partners, etc.including financial statements, etc. (see A-4 requirement)
Offeror submitted the following standard "Financial Ratios": Current Ratio; Quick Ratio; Net Working Capital Ratio Profit Margin; Accounts Receivable Turnover Ration & Debt to Equity Ratio for the last 3 years {see Section 4.2 of the RFP}	This is straight-forward as written. Additionally, if an Offeror has added a new partner or subcontractor that was not identified when they filed their original CSP application, they should be required to amend their application and provide all the detail that the RFP requires for partners, etc.including financial statements, etc. (see A-4 requirement)
If the Offeror is a subsidiary, it provided the "Financial Ratios" stated above for consolidated financial statements of the parent company {see Section 4.2 of the RFP}	This is straight-forward as written. Additionally, if an Offeror has added a new partner or subcontractor that was not identified when they filed their original CSP application, they should be required to amend their application and provide all the detail that the RFP requires for partners, etc.including financial statements, etc. (see A-4 requirement)
If the proposal was submitted on behalf of a partnership or other multi-party entity, the financial information listed above was included for each of the parties {see Section 7.3 of the RFP}	This is straight-forward as written. Additionally, if an Offeror has added a new partner or subcontractor that was not identified when they filed their original CSP application, they should be required to amend their application and provide all the detail that the RFP requires for partners, etc.including financial statements, etc. (see A-4 requirement)
Project Staffing and Organization	
The name, address, and telephone number of a person with authority to bind the Offeror was included {see Section 7.4 of the RFP}	Included in the CSP application as an Organizational chart.

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The name, address, and telephone number of a person who can answer questions or provide clarification concerning the Offeror's proposal was included {see Section 7.4 of the RFP}	Included in the CSP application as an Organizational chart.
Offeror gave details of the proposed staffing and deployment of personnel to be assigned to the contractual undertaking should a contract be entered into (including information about the qualifications and experience of all key personnel) {see Section 7.4 of the RFP}	Included in the CSP application as an Organizational chart.
Technical Approach	
Offeror's system complies with the Uniform Sourcing requirement {see Section 309 of the Streamlined Agreement, Section 400 (C) of the Certification Standards and Section 5.2 of the RFP}	This should be verified through the results from the system test process
Offeror's system complies with the Exemption Processing requirement {see Section 317 of the Streamlined Agreement, Section 620 (D) of the Certification Standards and Section 5.2 of the RFP}	This should be verified through the results from the system test process
Offeror's system response complies with the Uniform Rounding requirement {see Section 324 of the Streamlined Agreement and Section 5.2 of the RFP}	This should be verified through the results from the system test process
Offeror's system complies with the Uniform Definitions requirement {see Section 104 and Appendix C of the Streamlined Agreement and Section 5.2 of the RFP}	This should be verified through the results from the system test process
Offeror's system complies with the Rate and Boundary Changes requirement {see Section 305 of the Streamlined Agreement and Section 5.2 of the RFP}	This should be verified through the results from the system test process
Offeror's system complies with the Tax Collection Procedures requirement {see Section 319 of the Streamlined Agreement and Section 5.2 of the RFP}	This should be verified through the results from the system test process
Offeror's system complies with the Liability Relief requirement {see Section 306 of the Streamlined Agreement and Section 5.2 of the RFP}	Has met the requirement covered in Section 306 of the SSTP Agreement including accommodation of the CSP 48 hour deadline to implement the change once the state provides the correct information.
Offeror's system complies with the Tax Remittance Procedures requirement {see Section 6.6 of the RFP, Section 319 of the Streamlined Agreement and Section 400 of the Certification Standards}	This should be verified through the results from the system test process
Offeror's system complies with the Tax Reporting Procedures requirement {see Section 321 of the Streamlined Agreement, Section 6.6 of the RFP and Section 520 of the Certification Standards}	This should be verified through the results from the system test process
Offeror's system complies with the Record Retention Procedures requirement {see Section 630 of the Certification Standards, section 5.2 of the RFP and Section 321 of the Streamlined Agreement}	Records need to be maintained for 4 years and suggest that records be maintained for 7 years.
Offeror's system complies with the Audit Requirements {see Section 301 and 806(C) of the Streamlined Agreement, Section 6.9 of the RFP, Sections 630 (F) and 700 of the Certification Standards, and the Audit Standards document}	This is mandatory and well-documented in the various sources referenced.
Offeror's system complies with the Taxpayer Privacy requirement {see Section 321 of the Streamlined Agreement, Section 6.8 of the RFP and Section 600 of the Certification Standards}	Offeror should provide policy statements for each action they have invoked to meet the privacy standards and protection of data.
Offeror's proposal addressed the requirement for on-going real time testing of the system including a method of conducting a performance test with an explanation of what will be revealed when the test is conducted (and the testing has confirmed this) {see Section 7.5 of the RFP and Section 220 (a) of the Certification Standards}	Remote access testing should be available on an on-going basis; however, state submission of test files to CSPs should be coordinated through the Governing Board and the CSP testing contact.
Offeror's system has shown the capability and Offeror has given assurances that all taxes due will be collected and remitted to the appropriate Member states if the system is unavailable for a period of time {see Section 7.5 and 4.11 of the RFP}	Copy of disaster recovery plan. Plan to describe the redundancy and fail over capability of the system to insure there is no loss of taxes due.
Offeror's system has demonstrated the capability to support Offeror's statement of what lead time would be necessary and what information would be required to act on behalf of additional sellers in the event that a different CSP ceases operations for any reason {see Section 4.12 of the RFP}	CSP stipulates how much lead time that it needs to act on behalf of additional sellers (does not establish what is reasonable. We can gauge lead time based on the number of vendors they will inherit, volume of product codes involved, CSP's server availability and equipment capacity, as well as the size of their staff. The best indication of this may be how fast they can get their initial vendors operational once if they become certified).

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Certification Standards - General Controls	
Offeror has demonstrated that a formal risk assessment program has been established {see Section 110 (A) of the Certification Standards and Section 6.3 of the RFP}	Documents must indicate: 1. Definition of the Risk Assessment Process 2. Document who and how the risk assessment will be administered, insuring there is a mix of individuals with business and technical knowledge conducting the assessment. 3. Copy of the formal sign-off of completed or planned risk assessment. 4. Policy of where risk assessment documents will be maintained and who will review. 5. Copy of the actual risk assessment and how the ranking of the risks were created. 6. Indication of how often the risk assessment is conducted.
Offeror has implemented a plan that clearly describes the security program as well as the policies and procedures that support it {see Section 110 (B) of the Certification Standards and Section 6.3 of the RFP}	Documents must include: Security Plan. 1. An approved current Security Plan. 2. Policy and procedures that support the security plan.
Offeror has created a security management structure that includes clearly assigned security responsibilities {see Section 110 (C) of the Certification Standards and Section 6.3 of the RFP}	Copy of Organizational Chart and duties of each area concerning security. Copy of incident reporting procedures and incident log.
Offeror has established effective security-related personnel policies {see Section 110 (D) of the Certification Standards and Section 6.3 of the RFP}	Copy of security policy and personnel policies that relate to security. Copy of sign off sheet from personnel.
Offeror has implemented a plan to ensure that the security program is monitored and has made assurances that changes will be made as necessary {see Section 110 (E) of the Certification Standards and Section 6.3 of the RFP}	Copy of security policy. Log of changed made to policy and what changes were.
Offeror has established appropriate access controls, both physical and logical, that will provide reasonable assurance that computer resources are protected against unauthorized modification, disclosure, loss or impairment {see Section 120 of the Certification Standards and Section 6.3 of the RFP}	Minimum standards are Section 7 ISO standard FISCAM AC-3 CoBIT DS12. Minimum standards are:FISCAM Critical Element AC-3: Establish physical and logical controls to prevent or detect unauthorized access(see pages 3-33 through 3-50) "Could unauthorized persons gain entry by going over the top of a partition that stops at the underside of a suspended ceiling ...or cutting a hole in a plasterboard wall?" ; ISO # 17799 standard-Section 7-Physical and environmental security , specifically 7.1.1d - "Physical barriers should...be extended from real floor to real ceiling to prevent unauthorized entry ", Section 7.1.3a-"Key facilities should be sited to avoid access by the public."; CoBIT Control Objective Section DS12-Manage Facilities-including 12.2-Low profile of the IT Site-"IT management should ensure a low profile is kept and the physical identification of the site of IT operations is limited."
Offeror has an appropriate change control system that includes policies, procedures and techniques to assure that all programs and modifications are properly authorized, tested and approved {see Section 130 of the Certification Standards and Section 6.3 of the RFP}	Copy of change control policies that must include identification of individual access to files, policy as to how programs are developed, changed, tested, and migrated into specific areas. Copies of approval forms, migration sheets, and test forms must be included.
Offeror has implemented appropriate controls over access to and modification of system software to provide reasonable assurance that operating system-based security controls are not comprised and that the system will not be impaired {see Section 140 of the Certification Standards and Section 6.3 of the RFP}	Copy of change control policies that must include identification of individual access to files, policy as to how programs are developed, changed, tested, and migrated into specific areas. Copies of approval forms, migration sheets, and test forms must be included.
Offeror has established appropriate segregation of duty procedures to provide assurance that no one individual is in a position to control all critical stages of a process {see Section 150 of the Certification Standards and Section 6.3 of the RFP}	Provide a copy of the org chart and individual duties and security policies.
Offeror has implemented appropriate procedures to protect information resources in order to minimize the risk of unplanned interruptions {see Section 160 of the Certification Standards and Section 6.3 of the RFP}	Policy to indicate how information will be protected in case of a unplanned interruption.
Offeror has a plan in place to recover critical operations should interruptions occur {see Section 160 of the Certification Standards and Section 6.3 of the RFP}	Need a copy of disaster recovery plan to describe the redundancy and fail over capability of the system to insure there is no loss of taxes due.
Offeror has established a policy providing that business contingency plans are periodically tested and adjusted as appropriate {see Section 160 of the Certification Standards and Section 6.3 of the RFP}	Copy of the business Contingency Plan, last test of plan, and last signed update. Copy of lessons learned from test. Test was accomplished annually.
Offeror has created a policy utilizing industry-standard availability/fault tolerance benchmarks {see Section 6.3 of the RFP}	Plan to describe the redundancy and fail over capability and no loss of availability of the system.
Application Controls	

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Offeror has implemented control mechanisms to provide assurance that only authorized data is entered into the application system {see Section 210 (A) of the Certification Standards and Section 6.4 of the RFP}	Policy indicating what controlled mechanisms are in place and how they authenticate the data.
Offeror has established physical and logical controls to restrict the entry of transactions to only those specific users authorized to enter them {see Section 210 (B) of the Certification Standards and Section 6.4 of the RFP}	Policy on logical and physical controls and how data entry restrictions are maintained and updated.
Offeror has incorporated appropriate mechanisms to perform data validation and exception reporting {see Section 210 (C) of the Certification Standards and Section 6.4 of the RFP}	Policy and procedures for reconciliation, copy of reports or logs, and sign-off.
Offeror has implemented control mechanisms to provide assurance that only authorized transactions are processed by the application system {see Section 220 (A) of the Certification Standards and Section 6.4 of the RFP}	Policy and/or procedure on how the system will maintain controls over the completeness of transactions. Copy of reports or logs.
Offeror has established reconciliation procedures to verify data completeness {see Section 220 (B) of the Certification Standards and Section 6.4 of the RFP}	Policy and/or procedure on how the system will maintain controls over the completeness of transactions. Copy of reports or logs.
Offeror maintains well-designed data entry processes to ensure the entry of accurate and valid data {see Section 230 (A) of the Certification Standards and Section 6.4 of the RFP}	Policy, procedures, or program spec that indicate how the system will insure accuracy of data.
Offeror has implemented data validation and editing controls to provide assurance that the initial recording of data into the system is accurate {see Section 230 (B) of the Certification Standards and Section 6.4 of the RFP}	Copy of user/program specs, or complete testing of the system, or copies of offerors completed test plan
Offeror has established procedures and mechanisms to properly apply rounding rules {see Section 324 of the Streamlined Agreement and Section 6.4 of the RFP}	Copy of user/program specs, or complete testing of the system, or copies of offerors completed test plan
Offeror maintains control mechanisms to provide assurance that the entry of erroneous data is captured, reported, investigated, and corrected {see Section 230 (C) of the Certification Standards and Section 6.4 of the RFP}	Either a copy of user/program specs, or complete testing by States/STTP of the system, or copies of offerors completed test plan. Also copies of error reports, files and logs. Policy as to how errors will be resolved.
Offeror has implemented procedures for the review of output reports in order to maintain data accuracy and validity {see Section 230 (D) of the Certification Standards and Section 6.4 of the RFP}	Copies of error reports, files and logs. Policy as to how errors will be resolved.
Offeror has established procedures and mechanisms to provide assurance that stored data is not altered by unauthorized persons, or by accident, in order to maintain the integrity of processing and data files {see Section 240 of the Certification Standards and Section 6.4 of the RFP}	Copies of security policy which indicates who has access to files and data.
System Modification Accuracy	
Offeror must demonstrate that procedures are in place to provide assurance that only authorized and tested software modifications are made to the application system {see Section 310 of the Certification Standards and Section 6.5 of the RFP}	Copy of change control policies that must include identification of individual access to files, policy as to how programs are developed, changed, tested, and migrated into specific areas. Copies of approval forms, migration sheets, and test forms must be included.
Offeror must implement appropriate change control mechanisms to provide assurance that the appropriate level of software modification is matched to the data processed {see Section 320 of the Certification Standards and Section 6.5 of the RFP}	Copy of change control policies that must include identification of individual access to files, policy as to how programs are developed, changed, tested, and migrated into specific areas. Copies of approval forms, migration sheets, and test forms must be included.
Sufficiency of Information	
Offeror demonstrated the system's ability to capture sufficient information to make an accurate tax determination {see Section 400(A) of the Certification Standards and Section 6.6 of the RFP}	This should be verified through the results from the system test process
Offeror implemented appropriate features for providing assurance that adequate information is obtained from the purchaser, the seller, and the applicable state(s) so that the correct amount of tax is calculated, collected and remitted {see Section 400(A) of the Certification Standards and Section 6.6 of the RFP}	System Testing and procedures to sellers on how to map exempt sales in SSTP

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Offeror established the system's ability to obtain, accumulate and report information on exempt sales {see Section 400(B) of the Certification Standards and Section 6.6 of the RFP}	Seller policy in mapping exempt products and test decks for testing exempt sales.
Offeror implemented the proper use of state-provided sourcing information and compliance with state laws pertaining to taxability of tangible personal property and services {see Section 400(C) of Certification Standards and Section 6.6 of the RFP}	This should be verified through the results from the system test process
With the use of an audit trail, Offeror established a method to track all changes to the system including sourcing, taxability and mapping of products in order to record all authorized and unauthorized changes, dates of changes, and changes to hardware, software, and software upgrades {see Section 400 of the Certification Standards and Section 6.6 of the RFP}	Policy on how changes are tracked.
Transaction Speed and Data Security	
Mechanisms and procedures are in place to provide assurance that data exchanged between all parties is secure, non-repudiated, and unaltered {see Section 500 of the Certification Standards and Section 6.7 of the RFP}	Copy of policy describing type of security software, update sequence, and log of updates
Regarding operational (transaction-related) data exchanged between a CSP and the Governing Board and the Member States, the appropriate standards are followed by Offeror as set forth in the SSTP Certification and Auditing Standards document {see Section 500 of the Certification Standards and Section 6.7 of the RFP}	Copy of policy describing type of security software, update sequence, and log of updates
Regarding operational (transaction-related) data exchanged between a CSP and participating sellers, the appropriate standards are followed as set forth in the SSTP Certification and Auditing Standards document {see Section 500 of the Certification Standards and Section 6.7 of the RFP}	Copy of policy describing type of security software, update sequence, and log of updates
Regarding operational (transaction-related) data exchanged between a CSP and participating sellers, the appropriate transmission storage and virus protection is employed {see Sections 550 and 560 of the Certification Standards and Section 6.7 of the RFP}	Copy of policy describing type of security software, update sequence, and log of updates. Diagram of configuration of system.
Privacy Standards and Data Protection	
Mechanisms and procedures are in place to provide assurance that confidential taxpayer information is adequately protected, consumers' privacy is protected and that confidential and proprietary information is not sold or re-used in any way {see Section 610 of Certification Standards, Section 321 of the Streamlined Agreement and Section 6.8 of the RFP}	Copies of security and personnel policy/procedure which indicates how confidential taxpayer information is adequately protected, consumers' privacy is protected and that confidential and proprietary information is not sold or re-used in any way. Copies of forms individuals need to sign and exit forms/process of terminated personnel.
Mechanisms and procedures have been implemented to provide assurance that personally identifiable information is protected {see Section 620 of the Certification Standards, Section 321 of the Streamlined Agreement and Section 6.8 of the RFP}	Copies of security policy/procedure which indicates how confidential taxpayer information is adequately protected, consumers' privacy is protected and that confidential and proprietary information is not sold or re-used in any way.
Electronic Format Capability and Sampling Procedures	
Procedures have been implemented to provide unrestricted access to people performing the certification including remote access testing {see Sections 210 and 300 of the Certification Standards and Section 6.9 of the RFP}	Provided procedures for testing as clarified in the white papers for CSP Testing and CSP Site Administration
Procedures and mechanisms have been established to provide people with access (either onsite or remote) to any documentation, system, database or system component, needed for them to perform the certification or re-certification {see Sections 700 of the Certification Standards and Section 6.9 of the RFP}	Provided procedures for testing as clarified in the white papers for CSP Testing and CSP Site Administration
Cost Proposal	
Offeror's proposal included their cost to provide the service outlined in the proposal {see Section 3.2 of the RFP}	Must be included in the CSP application

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Offeror is willing and prepared to provide service to any seller seeking the service of a CSP. Conversely, if they intend to make service limitations, Offeror has provided satisfactory details stipulating the types of sellers that they intend to service or any other service limitations that are deemed to be acceptable {see Section 3.2 of the RFP}	Must be included in the CSP application
If the basis for compensation will be periodically renegotiated, Offeror addressed the timing for such negotiations, the notice to be given and the appropriate factors to be considered in arriving at compensation for subsequent periods {see Section 3.2 of the RFP}	Must be included in the CSP application
Offeror has expressed a willingness, capability and potential problems with taking on additional customers from a CSP that has ceased operations {see Section 2.3 and 3.2 of the RFP}	Must be included in the CSP application
Execution of Proposal	
A signed Execution of Proposal was included {see Section 7.8 and Appendix A of the RFP}	Must be included in the CSP application