

Vendors must have an active, approved master contract under the SITE program and be approved in the category or categories listed in the RFO document in order to respond to and RFO. Vendor is responsible for reading all addenda associated with the RFO.

# IT Professional Technical Services

## SITE Program

### T#:14ATM

**Request for Offers (RFO) For Technology Services Issued By  
The Office of MN.IT Services**

**Project Title: *Third-Party Security Assessment - Minnesota Eligibility Technology System (METS)***

**Category: *Security (deliverables based project)***

#### **Business Need**

MN.IT Services and the Minnesota Insurance Marketplace (MNsure), collectively referred to as the State, are seeking a vendor to provide management with a security assessment for the Minnesota Eligibility Technology System (METS). This security assessment must evaluate METS implementation of, and compliance with the MARS-E (Minimum Acceptable Risk Standard for Exchanges) controls, version 2.0.

METS offers an easy-to-use one-stop web portal through which citizens can search and compare health insurance plans. The system includes the following functions: individual eligibility determination and enrollment; small employer eligibility and enrollment; certification and display of health benefit plan options and costs; navigator and agent/broker listing; display of health care provider information; premium aggregation and payment; and account administration. MN.IT security professionals helped develop a system security plan that outlines security controls aligned with federal requirements.

#### **Project Deliverables**

The goal of this RFO is to evaluate and select an experienced vendor specializing in technical security assessments to measure compliance with federal requirements for health insurance exchanges.

The deliverables and methodology of this assessment must align with federally mandated requirements in the Framework for the Independent Assessment of Security and Privacy Controls, version 2.0. A copy of the Framework for the Independent Assessment of Security and Privacy Controls is included as [Attachment A](#). Also included as [Attachment B](#) is a copy of the Minimum Acceptable Risk Standard for Exchanges.

## **Project Milestones and Schedule**

- June 6, 2016 – Project start date
- June, 14, 2016 – Review project scope and begin fieldwork
- July 31, 2016 – Written report is due, meet with management to discuss results  
(*payment will be made upon completion of the report*)

## **Project Environment**

### Staff Descriptions:

- a. The contractor will report administratively to the MN.IT Services Security Manager with MNSure oversight responsibility
- b. MN.IT security professionals will be available to help the contractor gain an understating of and coordinate tests of controls. However, the overall objective of this work order is to have an independent assessment of controls.

## **Responsibilities Expected of the Selected Vendor**

- a. The selected vendor is expected to work with State staff throughout the assessment and be onsite. Any critical findings will be reported to management immediately. The final written report will be discussed in a face-to-face meeting.
- b. The selected vendor will develop a testing plan that will utilize their experience in selecting appropriate controls for review, while meeting federal requirements for independent assessments.
- c. The selected vendor will provide the State with the names of primary staff (including any sub-contractual work) assigned to the project. The state reserves the right to request changes to any staffing assignments.
- d. The selected vendor will provide weekly documentation of work completed.
- e. The selected vendor will assure that assigned staff be trained in appropriate technical capacity.
- f. The selected vendor must obtain approval from the State before conducting any automated scans or tests of controls.
- g. The vendor will produce a formal written report to summarize the assessment results, in a format that aligns with federal requirements.

## **Mandatory Qualifications (to be scored as pass/fail)**

The vendor must demonstrate the following:

- 7 Years of experience conducting security and compliance assessments, with at least one project that demonstrates familiarity with NIST framework requirements as they impact data privacy and security.
- 2 years demonstrated experience in testing technical controls in large IT environments with multiple, interconnected systems using Window and UNIX operating systems, Oracle databases, and web applications.
- 2 engagements with NIST Certification and Accreditation processes and the NIST 800-53 family of controls.

## **Desired Skills**

- Experience conducting security and compliance assessments with IRS and HIPAA requirements.
- Assessment staff with industry standard certifications, such as Certified Information Systems Security Professional and Certified Information Systems Auditor

- Familiarity with Minnesota Insurance Marketplace (MNsure) regulations and the Affordable Care Act

## Process Schedule

Process Milestone	Due Date
Deadline for Questions	05/09/2016, 4:00 PM
Anticipated Posted Response to Question	05/10/2016, 4:00 PM
Proposals due	05/13/2016, 4:00 PM
Anticipated proposal evaluation begins	05/16/2016, 8:00 AM
Anticipated proposal evaluation & decision	05/23/2016, 4:00 PM

## Questions

Any questions regarding this Request for Offers should be submitted via e-mail according to the date and time listed in the process schedule to:

Office of MN.IT Services SITE Program  
[MN.IT.SITE@state.mn.us](mailto:MN.IT.SITE@state.mn.us)

Questions and answers will be posted via an addendum to the RFO on the Office of MN.IT Services website (<http://mn.gov/buyit/14atm/rfo/active.html>) according to the process schedule above.

Other persons ARE NOT authorized to discuss this RFO or its requirements with anyone throughout the selection process and responders should not rely on information obtained from non-authorized individuals. If it is discovered a Responder contacted other State staff other than the individual above, the responder's proposal may be removed from further consideration.

## RFO Evaluation Process

- Vendor history/experience (10%)
- Experience conducting security and compliance assessments with IRS and HIPAA requirements (20%)
- Assessment staff with industry standard certifications, such as Certified Information Systems Security Professional and Certified Information Systems Auditor (20%)
- Vendor proposed approach to conduct the assessment (20%)
- Cost (30%)

**This Request for Offers does not obligate the state to award a work order or complete the assignment, and the state reserves the right to cancel the solicitation if it is considered to be in its best interest. The Organization reserves the right to reject any and all proposals.**

## Submission Format

Provide a detailed proposal that demonstrates the approach your firm would take to provide the assessment outlined in this request. Provide the resumes of key individuals, specifically, the team lead.

The proposal should be assembled as follows:

### 1. Cover Page

Master Contractor Name  
 Master Contractor Address  
 Contact Name for Master Contractor  
 Contact Name's direct phone/cell phone (if applicable)  
 Contact Name's email address  
 Consultant's Name being submitted

### 2. Experience:

- Provide detailed narrative that describes vendor's approach to providing the services requested and the vendors' history that emphasizes its activities relevant to this RFO,

including a brief overview of related work you have performed in the security assessment area. It should include companies and contacts where your key resources have demonstrated the required skills. It should include the vendor's experience providing the service. **Clearly show how the pass/fail requirements have been met.** If pass/fail requirements are not met, the proposal will not be scored.

- Attach resumes for proposed key resources in addition to the narrative description. Be certain the resume has dates of work and notes whether the resource was an employee or consultant. The resume must match the experience shown in the narrative. Key resources proposed must be available to perform the work.
- Include the name of two references who can speak to the vendor's work on a similar project. Include the company name and address, reference name, reference email, reference phone number and **a brief description of the project this resource completed.**

### 3. Cost Proposal

Include a separate document labeled "Cost Proposal" which includes a breakdown of the tasks you would perform to complete the deliverable. Breakdown must include the estimated numbers of hours for the task and the proposed hourly rate (this cannot exceed your SITE approved maximum rate for the selected category).

### 4. Conflict of interest statement as it relates to this project

### 5. Additional Statement and forms:

1. Affirmative Action Certificate of Compliance (if over \$100,000, including extension options) <http://www.mmd.admin.state.mn.us/doc/affaction.doc>
2. Equal Pay Certificate Form (if proposals exceeds \$500,000, including extension options) <http://www.mmd.admin.state.mn.us/doc/equalpaycertificate.doc>
3. Affidavit of non-collusion <http://www.mmd.admin.state.mn.us/doc/noncollusion-2.doc>
4. Certification Regarding Lobbying (if over \$100,000, including extension options) <http://www.mmd.admin.state.mn.us/doc/lobbying.doc>

The STATE reserves the right to determine if further information is needed to better understand the information presented. This may include a request for a presentation.

### Proposal Submission Instructions

- **Vendor is limited to submission of 1 proposal in response to the Request for Offers**
- Response Information: The resume and required forms must be transmitted via e-mail to:
  - Office of MN.IT Services SITE Program at [MNIT.SITE@state.mn.us](mailto:MNIT.SITE@state.mn.us)
  - Email subject line must read: [Vendor Name] RFO0131 Response
- Submissions are due according to the process schedule previously listed.
- **You must submit an email with your response or email notification that you will not respond to [MNIT.SITE@state.mn.us](mailto:MNIT.SITE@state.mn.us). Failure to do either of these tasks will count against your program activity and may result in removal from the program.**

# General Requirements

## Proposal Contents

By submission of a proposal, Responder warrants that the information provided is true, correct and reliable for purposes of evaluation for potential award of this work order. The submission of inaccurate or misleading information may be grounds for disqualification from the award as well as subject the responder to suspension or debarment proceedings as well as other remedies available by law.

## Liability

Each party will be responsible for its own acts and behavior and the results thereof. The Minnesota Torts Claims Act, Minn. Stat. § 3.736 and other applicable laws govern the State's liability.

## Disposition of Responses

All materials submitted in response to this RFO will become property of the State and will become public record in accordance with Minnesota Statutes, section 13.591, after the evaluation process is completed. Pursuant to the statute, completion of the evaluation process occurs when the government entity has completed negotiating the contract with the selected vendor. If the Responder submits information in response to this RFO that it believes to be trade secret materials, as defined by the Minnesota Government Data Practices Act, Minn. Stat. § 13.37, the Responder must: clearly mark all trade secret materials in its response at the time the response is submitted, include a statement with its response justifying the trade secret designation for each item, and defend any action seeking release of the materials it believes to be trade secret, and indemnify and hold harmless the State, its agents and employees, from any judgments or damages awarded against the State in favor of the party requesting the materials, and any and all costs connected with that defense. This indemnification survives the State's award of a contract. In submitting a response to this RFO, the Responder agrees that this indemnification survives as long as the trade secret materials are in possession of the State.

The State will not consider the prices submitted by the Responder to be proprietary or trade secret materials.

## Conflicts of Interest

Responder must provide a list of all entities with which it has relationships that create, or appear to create, a conflict of interest with the work that is contemplated in this request for proposals. The list should indicate the name of the entity, the relationship, and a discussion of the conflict.

The responder warrants that, to the best of its knowledge and belief, and except as otherwise disclosed, there are no relevant facts or circumstances which could give rise to organizational conflicts of interest. An organizational conflict of interest exists when, because of existing or planned activities or because of relationships with other persons, a vendor is unable or potentially unable to render impartial assistance or advice to the State, or the vendor's objectivity in performing the contract work is or might be otherwise impaired, or the vendor has an unfair competitive advantage. The responder agrees that, if after award, an organizational conflict of interest is discovered, an immediate and full disclosure in writing must be made to the Assistant Director of the Department of Administration's Materials Management Division ("MMD") which must include a description of the action which the contractor has taken or proposes to take to avoid or mitigate such conflicts. If an organizational conflict of interest is determined to exist, the State may, at its discretion, cancel the contract. In the event the responder was aware of an organizational conflict of interest prior to the award of the contract and did not disclose the conflict to MMD, the State may terminate the contract for default. The provisions of this clause must be included in all subcontracts for work to be performed similar to the service provided by the prime contractor, and the terms "contract," "contractor," and "contracting officer" modified appropriately to preserve the State's rights.

## **IT Accessibility Standards**

All documents and other work products delivered by the vendor must be accessible in order to conform with the State Accessibility Standard. Information about the Standard can be found at:

<http://mn.gov/mnit/programs/policies/accessibility/>.

## **Preference to Targeted Group and Economically Disadvantaged Business and Individuals**

In accordance with Minnesota Rules, part 1230.1810, subpart B and Minnesota Rules, part 1230.1830, certified Targeted Group Businesses and individuals submitting proposals as prime contractors will receive a six percent preference in the evaluation of their proposal, and certified Economically Disadvantaged Businesses and individuals submitting proposals as prime contractors will receive a six percent preference in the evaluation of their proposal. Eligible TG businesses must be currently certified by the Materials Management Division prior to the solicitation opening date and time. For information regarding certification, contact the Materials Management Helpline at 651.296.2600, or you may reach the Helpline by email at [mmdhelp.line@state.mn.us](mailto:mmdhelp.line@state.mn.us). For TTY/TDD communications, contact the Helpline through the Minnesota Relay Services at 1.800.627.3529.

## **Veteran-Owned Small Business Preference**

Unless a greater preference is applicable and allowed by law, in accordance with Minn. Stat. § 16C.16, subd. 6a, the Commissioner of Administration will award a 6% preference in the amount bid on state procurement to certified small businesses that are majority owned and operated by veterans.

A small business qualifies for the veteran-owned preference when it meets one of the following requirements. 1) The business has been certified by the Department of Administration/Materials Management Division as being a veteran-owned or service-disabled veteran-owned small business. 2) The principal place of business is in Minnesota AND the United States Department of Veterans Affairs verifies the business as being a veteran-owned or service-disabled veteran-owned small business under Public Law 109-461 and Code of Federal Regulations, title 38, part 74 (Supported By Documentation). See Minn. Stat. § 16C.19(d).

Statutory requirements and certification must be met by the solicitation response due date and time to be awarded the preference.

## **Foreign Outsourcing of Work Prohibited**

All services under this contract shall be performed within the borders of the United States. All storage and processing of information shall be performed within the borders of the United States. This provision also applies to work performed by subcontractors at all tiers.

## **Work Force Certification**

For all contracts estimated to be in excess of \$100,000, responders are required to complete the Affirmative Action Certificate of Compliance and return it with the response. As required by Minnesota Rule 5000.3600, "It is hereby agreed between the parties that Minnesota Statute § 363A.36 and Minnesota Rule 5000.3400 - 5000.3600 are incorporated into any contract between these parties based upon this specification or any modification of it. A copy of Minnesota Statute § 363A.36 and Minnesota Rule 5000.3400 - 5000.3600 are available upon request from the contracting agency."

## **Equal Pay Certification**

If the Response to this solicitation could be in excess of \$500,000, the Responder must obtain an Equal Pay Certificate from the Minnesota Department of Human Rights (MDHR) or claim an exemption prior to contract execution. A responder is exempt if it has not employed more than 40 full-time employees on any single working day in one state during the previous 12 months. Please contact MDHR with questions

at: 651-539-1095 (metro), 1-800-657-3704 (toll free), 711 or 1-800-627-3529 (MN Relay) or at [compliance.MDHR@state.mn.us](mailto:compliance.MDHR@state.mn.us).