Request for Proposal (RFP) For
SOC 2 AUDITOR
ISSUED BY TECHNOLOGY BY DESIGN, INC.

APPLICATION INFORMATION	
CONTACT NAME	Tech by Design
EMAIL ADDRESS	SOC2AuditorRFP@nyehealth.org
SUBMISSION DEADLINE	**October 22, 2024, by 5:00pm EST**

All correspondence and proposals should be submitted via email directly to the email address listed above and include 'SOC 2 Auditor RFP' in the subject line.

Table of Contents

1. Introduction

Technology by Design, Inc. (Tech by Design) is a 501(c)(3) nonprofit corporation organized and operated exclusively for the benefit of, to perform the functions of, or carry out the purposes of organizations that participate in the network that comprises New York's statewide health information exchanges. This includes, but is not limited to, New York eHealth Collaborative (NYeC) and any Qualified Entities (QEs), collectively referred to as the supported organizations. Tech by Design is funded by NYeC) and provides technology infrastructure and related services on behalf of, and to assist the supported organizations in their participation in New York's statewide health information exchange network (SHIN-NY) and to assist the supported organizations in pursuing their respective missions to advance health information exchange in New York State.

2. Statement of Purpose

Tech by Design is initiating the process of identifying and selecting an audit firm to provide services in accordance with AT Section 101 and the AICPA Guide for *Reporting on Controls at a Service Organization Relevant to Security, Availability, Processing Integrity, Confidentiality, or Privacy* (SOC 2). The purpose of this Request for Proposal is to obtain information that we deem pertinent to our decision-making process. Upon receipt and review of all Responses, we will make a determination and will notify Bidders accordingly.

3. Definitions

"Bidder" refers to any prospective licensed CPA firm that submits the required information in response to this Request for Proposal.

"Response" refers to the proposal submitted by a Bidder for consideration by Tech by Design in relation to this Request for Proposal.

"Request for Proposal" refers to this solicitation for a proposal. The term "Request for Proposal" and the acronym "RFP" may be used interchangeably.

"Services" refers to the services requested by this Request for Proposal.

"Proprietary Information" refers to (a) any information disclosed in writing by Tech by Design to the Bidder which is legibly marked "Proprietary", "Confidential", or with words of similar meaning, or (b) any such information disclosed by Tech by Design in the course of an oral exchange or in a writing described as proprietary or confidential, is proprietary and confidential to Tech by Design.

4. RFP Questions & Contact Information

Vendors may only contact Tech by Design using the email address on the cover page for all matters concerning this RFP. Vendors may not contact any Tech by Design staff, Tech by Design board members, NYeC staff, NYeC board members, the New York State Department of Health staff, or any other stakeholders regarding this project in the period between the issuance of this RFP and the notice of award, as stated in the timetable below. Any oral communication will be considered unofficial and non-binding regarding this RFP and subsequent award.

If you have questions about the RFP, please submit those questions to the designated email address noted on the cover page of the RFP by the date indicated in Section VIII Timeline and TechBD will distribute all questions received and answers to those questions by the date indicated in the timeline.

5. Application Process & Procurement Timeline

Proposals will be evaluated and scored by a selection committee. Proposals that do not address all the criteria below may not be evaluated.

Proposal submissions are due by 5:00pm EST on the date indicated in the timeline below and should be submitted to the designated email address noted on the cover page. Please submit your application in Microsoft Word format using font size 12 with a maximum of 15 pages (excluding Cost Proposal). All valid applications must include all sections identified in the evaluation criteria.

Tech by Design reserves the right to amend or cancel this RFP any time before a signed contract and is not responsible for costs incurred in preparing a response to this RFP.

Activity	Date
Request for Proposal Release	September 23, 2024
Bidder Questions Due	October 1, 2024
Distribution of Answers to Bidder Questions	October 8, 2024
Bidder RFP Response Submission Date	October 22, 2024, by 5:00pm EST
Bidder Interviews	Week of November 4, 2024
Conditional Award Announced (Anticipated)	Week of November 11, 2024
Services to Commence	In Accordance with Accepted Proposal

6. Minimum Eligibility Criteria

Eligibility to participate in this RFP is contingent upon vendors meeting the following minimum eligibility criteria. All proposals will be reviewed to ensure they meet the minimum eligibility criteria. Proposals not meeting the criteria shall not be advanced for full evaluation or considered for award.

- Vendor must utilize staff based in the Continental United States to perform all work.
- Must have a minimum of 3 years' experience providing same or similar entity resolution solutions in a highly regulated industry.
- Must be in good standing with the NYS Department of Health (NYS DOH) and the New York State Workers Compensation Board.

7. Mandatory Requirements for Award

To be considered for award, vendors must meet the following mandatory requirements:

- Documented ability to complete the work defined in Section 9.
- Completion of the New York State Vendor Responsibility Questionnaire (if applicable). https://www.osc.state.ny.us/state-vendors/vendrep/file-your-vendor-responsibility-questionnaire
- Ability to provide proof of NYS Workers Compensation and Disability insurance as required by the NYS Workers Compensation Board (or attest to being exempt from this requirement).
- Participation in Vendor Security Risk Assessment process and compliance with all applicable security provisions in Tech by Design's Contractor Services Agreement.
- The selected vendor will be required to adhere to certain New York State grant contract, confidentiality, and other requirements.
- The selected vendor will provide sufficient documentation to show financial stability over the agreement term.

8. Contract Award

Tech by Design anticipates making an award to one vendor who meets all of the minimum and mandatory requirements indicated in this RFP. All proposals that meet the minimum eligibility requirements will receive a score based on the evaluation criteria outlined below.

The selected vendor will enter into a Contractor Services Agreement (CSA) with Tech by Design. In the event Tech by Design is unable to come to agreement on CSA terms with the selected vendor, Tech by Design reserves the right to move on to the next vendor to begin the contracting process. Tech by Design reserves the right to make no award from this RFP.

9. Evaluation Criteria

All eligible proposals will be evaluated upon the following criteria as it relates to Section 11 Contents of Proposal.

#	Area	Scoring Weight
1	Applicant Overview and Qualifications	35
2	Technical Approach and Work Plan	45
3	Cost Proposal	20
TOTAL		**100**

10. Scope of Work

Tech by Design seeks a qualified audit firm to conduct a SOC 2 Type 1 audit and, following an appropriate period of operation of the assessed controls, conduct a SOC 2 Type 2 audit. The scope of the engagement will include attestation to the trust principle for Security and will result in SOC 2 Type 1 and SOC 2 Type 2 audit reports to Tech by Design. The engagement will be performed in accordance with the current guide, *Reporting on Controls at a Service Organization Relevant to Security, Availability, Processing Integrity, Confidentiality, or Privacy* as published by the AICPA and as updated from time to time.

Tech by Design, Inc. was incorporated in February 2024 and provides technology and infrastructure services on behalf of NYeC and the Qualified Entities (QEs) operating as Health Information Exchanges (HIEs) in the State of New York. Tech by Design currently employs three full-time remote staff, with plans for future expansion. The company operates its productivity and business applications on a cloud-based Microsoft 365 (M365) platform. Security oversight, including fractional CISO services and broader security program support, is provided by an external security consulting firm.

Software development and operations are managed internally by Tech by Design, with actual development and engineering work outsourced to a third-party company. Tech by Design has developed a flexible Health-Related Social Needs (HRSN) Hub, which accepts, validates, and formats HRSN data for submission to the SHIN-NY Data Lake, integrating data from the QEs. This system is built using modern software methodologies, with Infrastructure as Code (IaC) implemented on Tech by Design's cloud-based Amazon Web Services (AWS) environment. Additional services to expand HIE capabilities are planned.

11. Contents of Proposal

Proposals must include the information outlined below:

11.1 Bidder Profile and Qualifications

1. **Bidder Profile** – Please provide the full name and address of your organization, and if applicable, the branch office that will perform or assist in performing the work hereunder. Indicate whether you operate as a partnership, or corporation; if as a corporation, include the state in which you incorporated and whether you are licensed to operate in the State of New York. Include the name, title, and telephone number of the person authorized to negotiate a contract on behalf of the organization. Include the contact information for the person that should be contacted for clarification of the Bidder's Response.

2. **Prior Experience** – As part of your proposal, include a brief statement (maximum of five pages) concerning the relevant experience of persons from your firm who will be associated at the highest management levels with the proposed engagement. Do not include general corporate background brochures. Emphasize experience directly applicable to SOC 2 Type 1 & 2 reporting and experience in the healthcare industry.

3. **Personnel** – Identify project team members by name and title and describe the SOC 2 reporting experience and expertise. For each proposed team member please include:
    - Name
    - Position
    - Home office location
    - Years of employment with the Bidder's organization
    - Total years of professional services experience
    - Professional designations (e.g. CPA, CISA, CIA, CISSP, etc.)
    - Number of previously completed SOC 2 Type 2 engagements
    - SOC 2 Type 1 & 2 clients serviced within the last 12 months

4. **References -** References provided for the Bidder's SOC 2 clients will be heavily considered during the selection process. The Bidder will provide a minimum of three distinct client references for which the Bidder has provided SOC 2 engagement services. These references should be specific to at least one of the project team members described in the proposal.

    For each client reference, sufficient contact information must be provided so that Tech by Design can contact the reference without the assistance of the Bidder. Given that Tech by Design intends to contact these references to discuss the performance of the specific project team members, please do not include client contacts that are not familiar with the performance of the individual project team members.

    Each client reference should contain the following information:
    - Client name
    - Contact name, position, phone number, and e-mail address.
    - Designation as to whether the contact has ever worked for the Bidder
    - Description of services provided to this client (e.g. Type 1 or Type 2 engagement)
    - Date project was completed or is expected to be completed
    - Proposed project team members that had material involvement on the engagement

5. **Additional Information and Comments** – Include any other information believed to be pertinent to this engagement but not specifically requested elsewhere in this RFP. Do not include marketing materials.

11.2 Planned Approach

Tech by Design has never had a SOC 2 report. Given that, please discuss your firm's approach to such an engagement for Tech by Design. Specifically discuss your methodology utilizing a

readiness approach, timing and phases of the engagement, estimated number of hours and duration for each phase, and estimated client involvement. Please provide a sample client request list utilized on previous SOC 2 engagements.

Tech by Design expects to implement controls aligned with industry-standard frameworks that may include NIST CSF 2.0, NIST SP 800-171, and/or NIST SP 800-53. Please discuss your approach to similar engagements using control frameworks such as these as they are applied to the Security trust principle.

11.3 Cost Proposal

This will be a fixed fee engagement. We will not engage any firm on an hourly basis. The selected Bidder will be responsible for all expenses. If necessary, the professional fees for this engagement should incorporate all anticipated expenses (e.g., administrative fees, travel expenses, etc.) into the hourly rate of the proposed project team member.

No payments will be made to the selected Bidder in excess of the total professional fees amount described in this section without appropriate written contract modifications agreed to and signed by both parties.

Professional fees for the engagement should be summarized in the format shown below utilizing the attached Cost Proposal Worksheet (RFP Attachment 1). The titles below are suggestions; please use the appropriate titles employed by your firm. The aggregate total will be the Bidder's total fee for its services.

Name	Position	Hourly Rate	Estimated Hours of On-site Involvement	Estimated Hours of Off-site Involvement	Estimated Total Hours	Professional Fees
Jane Doe	Partner	$	x	x	x	$
John Smith	Manager	$	x	x	x	$
Jane Doe	Senior Consultant	$	x	x	x	$
John Smith	Senior Consultant	$	x	x	x	$
				Total Professional Fees:		**$$$**

12. RFP Attachments

- Attachment 1 – Cost Proposal Worksheet