

**Maine Public Employees Retirement System  
Request for Proposals 2021-005  
Information Technology Auditor**

1. **About:** The Maine Public Employees Retirement System (MainePERS) is a quasi-governmental agency operating in Augusta, Maine. For more information about MainePERS please visit our website at [www.maineopers.org](http://www.maineopers.org).
2. **Scope:** The objective of this Request for Proposals (“RFP”) is for MainePERS to procure Information Technology auditing services for its technology environment. Proposal services are intended to span a three-year period auditing segments of the NIST Cybersecurity Framework each year.
3. **Definition of Parties:** Respondents to this Request for Proposals (RFP) will hereinafter be referred to as “Bidders,” and the Bidder to whom the contract is awarded will hereinafter be referred to as the “Contractor.”
4. **Description of Requirements:** Attachment A describes the products and/or services to be provided by the Contractor to MainePERS pursuant to this RFP.
5. **Terms of Contract:** The Contractor will be required to enter into MainePERS’ standard contract, a copy of which may be found at Attachment B.
6. **Insurance:** For the duration of the contract, the Contractor will be required to procure, maintain, and provide proof of a liability policy encompassing the services described in this RFP with liability coverage of at least \$2,000,000 to protect the Contractor and MainePERS from suits, along with workers’ compensation insurance as required by law.
7. **Qualifications:** Each Bidder must demonstrate a minimum of 10 years of experience in the business of providing the services and products described in this RFP and have access to appropriate resources to perform as necessary to meet the obligations of this RFP.
8. **Substantive Questions:** All substantive questions must be submitted in writing via e-mail to [RFP@maineopers.org](mailto:RFP@maineopers.org) no later than 5:00 p.m. EDT on May 12, 2021. We anticipate issuing answers to substantive questions on or before May 26, 2021.
9. This RFP is not open to bidders who provide financial auditing services to MainePERS.
10. **Evaluation Committee:** An Evaluation Committee or person will review, evaluate and score all proposals. Following a preliminary review of all proposals submitted by the deadline, the Executive Director and Board of Trustees may or may not interview those Bidders whose proposals have received the highest scores. The interview would be an opportunity for a Bidder to respond to questions and to clarify its proposal. It will not be an opportunity for the Bidder to submit new information not included in the proposal. If interviews of the top scoring Bidders are conducted, the Evaluation Committee or person will conduct a post-interview review of the proposals and any further clarification as conveyed through the interview process. Bids will be evaluated using the following weighted criteria:

CRITERIA	WEIGHT
Services Provided & Quality of 3-year audit cycle proposal	35%
Relevant Experience	30%
Other Qualifications	10%
Price	25%

11. **Proposal Package:** Proposals must be submitted by email and include the following:

- a. Transmittal email which shall include:
  - i. Name and address of the Bidder;
  - ii. Name, title, telephone number, and email address of the contact person for the Bidder;
  - iii. A statement that the proposal is in response to this Request for Proposals; and,
  - iv. The Bidder's federal tax I.D. number.
  
- b. As an attachment to the transmittal email, a PDF file containing the substance of the proposal, including the following mandatory items:
  - i. An executive summary of the proposal;
  - ii. A description of the Bidder's business, a summary of the Bidder's experience (including any experience with MainePERS); information required by Attachment A; any other information that the Bidder believes is material to its qualifications; and at least three public employee retirement system references for whom the Bidder has provided similar services within the past five years;
  - iii. A statement that all provisions of Attachment B are acceptable or specifically state any objections to any provisions; and
  - iv. Written responses to the Bidder price sheet, Attachment C.
  
- c. All proposals are due no later than 2:00 p.m. EDT on June 9, 2021. Only proposals received as of 2:00 p.m. will be considered. Proposals must be submitted by email to RFP@mainepers.org. Mailed, faxed, or hand delivered proposals will not be considered. Bidders will receive an email acknowledging receipt of their proposal. A Bidder who has submitted a proposal and not received an acknowledgment should call (207) 512-3292.

12. **Freedom of Access:** Proposals and any other communications received from Bidders are subject to Maine's Freedom of Access law, 1 M.R.S. ch. 13. If a Bidder believes that a portion of its proposal is exempt from public disclosure under that law, the Bidder must specifically identify that portion and the exemption. Blanket designation of an entire proposal as confidential would be ineffective.

13. **Award:** The contract will be awarded to the Bidder whose proposal receives the highest score following the final review.

- 14. **Award Notification:** All Bidders will be notified of the award decision in writing. MainePERS will initiate contract negotiations with the selected Bidder. Should MainePERS be unable to reach an acceptable contract agreement with the selected Bidder, MainePERS reserves the right to withdraw the award and to make an award in favor of the Bidder whose proposal received the next highest score.
- 15. **Rights of MainePERS:** The Request for Proposals does not commit MainePERS to award a contract. MainePERS reserves the right to accept or reject any or all proposals received. MainePERS reserves the right not to check any or all references. MainePERS has the right to interview any or all Bidders after the RFP deadline. MainePERS may also cancel or amend this Request for Proposals in part or in its entirety.
- 16. **Timeline for this RFP:** MainePERS has developed the following list of key events related to this RFP. All dates are subject to change at the discretion of MainePERS.

EVENT	DATE
RFP Issued	April 26, 2021
Deadline for Questions	May 12, 2021
Questions Answered	May 26, 2021
Proposal Due Date	June 9, 2021
Evaluation of Proposals	June 21, 2021
Execution of Contract	June 30, 2021
Contract Start Date	July 1, 2021

## **Attachment A Specifications of Work to be Performed and Products to be Provided**

### **Introduction:**

Established in 1942, the Maine Public Employees Retirement System (MainePERS) provides retirement services to public sector employees including teachers, state, county, and municipal employees, legislators, judges, and employees of other public entities. In addition to monthly defined benefit payments at retirement, MainePERS administers a disability program, a group life insurance program, and MaineSTART, a tax-deferred retirement savings program.

### **Description of work:**

The Information Technology (IT) Department operations are governed by standards consistent with the National Institute of Standards and Technology (NIST) Cybersecurity Framework consisting of the components of 1) Identify; 2) Protect; 3) Detect; 4) Respond; and 5) Recover.

The IT Department is comprised of three units: Network and Operations, Systems Development, and Security Administration. The IT Department works with external vendor partners for managed services of infrastructure, database administration and security.

MainePERS is seeking an auditing firm that will create a 3-year cycle for auditing its IT Department under the component sections of the NIST Cybersecurity Framework (~1/3 of the standard per year). The successful bidder must state their years of experience with auditing the NIST Cybersecurity and provide a proposal that includes:

- Segmentation of the framework into 5 core functions for audit:
  - Identify
  - Protect
  - Detect
  - Respond
  - Recover
- Identification of standards that fall within one or more areas of the security framework and grouping the standards to one evaluation cycle.
- Provide a rationale for the Bidder's proposed 3-year schedule submitted.
- Test remediation of the 2019/2020 audit findings to ensure compliance.
- Identification of on/off site times in the 3-year cycle and associated travel expenses.
- Auditing is projected to occur in the months of September through October.
- A final annual report is due by December 31<sup>st</sup> of each year.
- The final report will cite and align to the NIST Cybersecurity Framework categories, and specify findings and recommendations.
- A written executive summary of findings is also required.

**Attachment B**  
**[ ] AGREEMENT**

THIS [ ] AGREEMENT ("Agreement") is made this [ ] day of [ ] 2020, by and between the MAINE PUBLIC EMPLOYEES RETIREMENT SYSTEM ("MainePERS") and \_\_\_\_\_ (the "Contractor").

NOW, THEREFORE, MainePERS and the Contractor hereby agree as follows:

**Section 1 SERVICES OF THE CONTRACTOR**

- 1.1 Scope of Services. The Contractor shall furnish services as requested by MainePERS and as set forth in the Information Technology Auditor Request for Proposals, Number 2021-005, April 26, 2021 ("RFP") and the Contractor's proposal in response to the RFP, which are incorporated herein by reference and portions of which are attached hereto as Exhibits 1 and 2, respectively. To the extent that there is a conflict among the body of this Agreement and the exhibits, the body of this Agreement shall take priority.
- 1.2 Compliance with Law. The Contractor warrants and represents that it will comply with all governmental ordinances, laws and regulations. This Agreement shall be governed in all respects by the laws, statutes and regulations of the United States of America and the State of Maine. Any judicial proceeding brought by one party against the other party shall be brought in the courts of the State of Maine.
- 1.3 Licenses, Permits, and Fees. The Contractor shall obtain, at its sole cost and expense, such licenses, permits and approvals as may be required by law for the performance of the services required by this Agreement.
- 1.4 Insurance. The Contractor shall keep in force insurance as specified in the RFP. Prior to the execution of this Agreement, and subsequently at the request of MainePERS, the Contractor shall furnish MainePERS with written or photocopied verification of the existence of such insurance.

**Section 2 COMPENSATION**

- 2.1 Contract Pricing. [To be filled in.]
- 2.2 Method of Payment. [Payment terms to be filled in.] Invoices and all other billing communications should be directed to:

Maine Public Employees Retirement System  
Accounts Payable  
P.O. Box 349  
Augusta, ME 04332-0349  
accounting@mainepers.org  
(207) 512-3117

- 2.3 Independent Contractor. In the performance of this Agreement, the parties hereto agree that the Contractor, and any agents and employees of the Contractor, shall act in the capacity of an independent contractor and not as officers or employees or agents of MainePERS.

### **Section 3 COORDINATION OF WORK**

3.1 Agreement Administrator. Rebecca Grant hereby is designated to be the MainePERS Agreement Administrator during the term of this Agreement (“Agreement Administrator”). MainePERS shall have the right to designate another Agreement Administrator upon written notice to the Contractor. All correspondence and related submission from the Contractor shall be submitted to:

Rebecca Grant  
Maine Public Employees Retirement System  
P.O. Box 349  
Augusta, ME 04332-0349

3.2 Amendments. This Agreement may be modified, amended, changed, added to or subtracted from by the mutual consent of the parties hereto, if such amendment or change is in written form and executed with the same formalities as this Agreement and attached to the original Agreement to maintain continuity.

3.3 Assignment. The Contractor shall not assign or subcontract the whole or any part of this Agreement without the prior written consent of MainePERS, and any attempt to so assign or subcontract shall be invalid. No assignment shall relieve the Contractor of its obligations hereunder. This Agreement will be binding upon the Contractor’s successors and permitted assignees.

### **Section 4 TERM**

4.1 Term. Unless earlier terminated by MainePERS in accordance with subsection 4.2 below, the term for this Contract shall begin on July 1, 2021, and shall continue through July 1, 2024, except that subsections 5.5, 5.8, 5.9, and 5.10 below shall survive.

4.2 Termination. MainePERS may terminate this agreement for any reason by giving the Contractor at least 30-days written notice of termination.

### **Section 5 MISCELLANEOUS PROVISIONS**

5.1 Conflicts of Interest. The Contractor shall not engage any Trustee or employee of MainePERS in a position that would constitute a violation of 17 M.R.S. § 3104.

5.2 Background Checks. The Contractor shall perform a criminal background check on all of its employees who perform work on MainePERS’ property. The Contractor’s employees performing work on MainePERS’ property must not have been convicted of a felony or any crime involving theft. A list of employees authorized to work on MainePERS’ property and the results of their background checks shall be provided to MainePERS by the Contractor upon request.

5.3 ID Badges. While on MainePERS’ property, all employees of the Contractor shall wear on their person an ID badge or wear a uniform containing the Contractor’s business name.

5.4 Unauthorized Persons. Unless specifically authorized by the Agreement Administrator, under no circumstance shall another person or persons accompany the Contractor or the Contractor’s employees onto MainePERS’ property while the Contractor is conducting work under this contract.

- 5.5 Confidential Information/Security. Confidentiality of MainePERS information is required. All materials and documents provided by MainePERS, employers or participants in the plans administered by MainePERS, or MainePERS' vendors, or located in MainePERS buildings, shall constitute confidential information. The Contractor shall maintain confidentiality in accordance with industry standards and State and federal law. Neither the Contractor nor its employees will disclose, release or communicate any confidential information to any third person, individual, organization or entity without specific authorization by MainePERS. Any violation or breach of this provision will constitute grounds for immediate termination of the Agreement and shall entitle MainePERS to all remedies available in law or equity.
- 5.6 Solicitors. The Contractor warrants that it has not employed or contracted with any company or person, other than for assistance with the normal study and preparation of a proposal, to solicit or secure this Agreement and that it has not paid, or agreed to pay, any company or person, other than a bona fide employee working solely for the Contractor, any fee, commission, percentage, brokerage fee, gift, or any other consideration, contingent upon, or resulting from the award for making this Agreement. For breach or violation of this warranty, MainePERS shall have the right to annul this Agreement without liability or, in its discretion to otherwise recover the full amount of such fee, commission, percentage, brokerage fee, gift, or contingent fee.
- 5.7 Non-Discrimination in Employment: MainePERS' contracts for services are subject to statutory conditions related to non-discrimination in employment, 5 M.R.S. § 784. The Contractor has read and agrees to these conditions.
- 5.8 Access to Records. The Contractor shall maintain all books, documents, payrolls, papers, accounting records and other evidence pertaining to this Agreement for a period of seven (7) years following termination of this Agreement. The Contractor shall allow inspection of pertinent documents by MainePERS or its authorized representatives at the Contractor's office upon reasonable notice and shall furnish copies of the documents if requested.
- 5.9 MainePERS Held Harmless. The Contractor will indemnify, defend, and save harmless MainePERS, its Trustees, employees, and agents from any and all claims, costs, expenses, injuries, liabilities, losses and damages of every kind and description resulting from or arising out of the performance of this Agreement by the Contractor, its employees, agents, or subcontractors. This indemnification does not extend to a claim that results solely and directly from (i) MainePERS' negligence or unlawful act, or (ii) action by the Contractor taken in reasonable reliance upon an instruction or direction given by an authorized person acting on behalf of MainePERS in accordance with this Agreement. Nothing in this Agreement shall be construed as a waiver of the privileges or immunities of MainePERS, its Board of Trustees, or its employees.
- 5.10 Notice of Claims. The Contractor shall give the Agreement Administrator immediate notice in writing of any legal action or suit filed related in any way to this Agreement or which may affect the performance of the Contractor under this Agreement.
- 5.11 Severability. The invalidity or unenforceability of any particular provision or part thereof of this Agreement shall not affect the remainder of said provisions, and this Agreement shall be construed in all respects as if such invalid or unenforceable provision or part thereof had been omitted.
- 5.12 Force Majeure. The performance of an obligation by a party under this Agreement shall be excused in the event that performance of that obligation by that party is prevented by an act of God, act of war, riot, fire, explosion, flood or other catastrophe, sabotage, severe

shortage of fuel, power or raw materials, change in law, court order, national defense requirement, or strike or labor dispute; provided that any such event and the delay caused thereby is beyond the control of, and could not reasonably be avoided by, that party. In the event of the Contractor's non-performance caused by any of the foregoing reasons, MainePERS may, at its discretion, extend the time period for performance of the obligation excused under this section by the period of the excused delay together with a reasonable period to reinstate compliance with the terms of this Agreement.

5.13 Vendor Security Requirements. The Contractor will comply with MainePERS' Vendor Security Requirements, which are attached hereto as Exhibit 3 and incorporated herein by reference.

5.14 Entire Agreement. This document contains the entire Agreement of the parties, and neither party shall be bound by any statement or representation not contained herein. No waiver shall be deemed to have been made by any of the parties unless expressed in writing and signed by the waiving party. The parties expressly agree that they shall not assert in any action relating to the Agreement that any implied waiver occurred between the parties which is not expressed in writing. The failure of any party to insist in any one or more instances upon strict performance of any of the terms or provisions of the Agreement, or to exercise an option or election under the Agreement, shall not be construed as a waiver or relinquishment for the future of such terms, provisions, option or election, but the same shall continue in full force and effect, and no waiver by any party of any one or more of its rights or remedies under the Agreement shall be deemed to be a waiver of any prior or subsequent rights or remedy under the Agreement or at law.

IN WITNESS WHEREOF, MainePERS and the Contractor, by their representatives duly authorized, have entered into this Agreement as of the date first written above.

Maine Public Employees  
Retirement System

Company Name

By: \_\_\_\_\_  
Name:  
Title:

By: \_\_\_\_\_  
Name:  
Title:

### **EXHIBIT 3**

#### **MainePERS Vendor Security Requirements**

The Contractor shall cooperate with MainePERS in protecting the integrity, security, and confidentiality of MainePERS' information and assets by:

- participating in an annual vendor due diligence process by providing information reasonably requested by MainePERS within 10 business days;

**[Other requirements to be identified based on particular Bidder and proposal and subject to negotiation]**

**Attachment C  
Price Sheet**

Total Price, excluding travel: \_\_\_\_\_

Provide a breakdown of cost over the three-year period:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Projected travel expenses: \_\_\_\_\_

Identify Any Special Payment Terms: \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_

Any Additional or Explanatory Information: \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_

Bidder Name: \_\_\_\_\_

Bidder Signature (written): \_\_\_\_\_ Date: \_\_\_\_\_

Bidder Address: \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_