



Request for Quotes

Informatics Security Assessment of the AIMS Platform

*RFQ Release: **January 7, 2019***

*Letter of Intent Due: **5:00 PM (EST) January 18, 2019***

*Quotation Due: **5:00 PM (EST) February 8, 2019***

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Objective

The Association of Public Health Laboratories ([APHL](#)) is seeking competitive quotes from auditing firms to conduct a security assessment of the APHL Informatics Messaging System (AIMS) Platform.

Client

APHL works to safeguard the public's health by strengthening public health laboratories in the United States and across the world. In collaboration with members, APHL advances laboratory systems and practices and promotes policies that support healthy communities. Its membership includes state and local public health laboratories, environmental laboratories and others that conduct testing of public health significance. Individuals and international representatives also participate in the association.

APHL is a nonprofit corporation recognized by the Internal Revenue Service as a 501(c)(3) tax exempt organization with a history of over fifty years. APHL is headquartered in Silver Spring, Maryland.

Background

APHL's Informatics program – in association with the Centers for Disease Control and Prevention (CDC) and many state and local public health laboratories (PHLs) and public health agencies (PHAs) – has worked for more than a decade to develop the AIMS Platform as a means to exchange health information. AIMS is a secure, cloud-based environment that accelerates the implementation of health messaging by providing shared services to aid in the transport, storage, analysis, validation, translation and routing of electronic data.

The AIMS infrastructure is hosted completely within Amazon Web Services (AWS), a cloud service provider. AIMS leverages AWS' US-east-1 and US-west-1 regions and various data centers within each region and its service offerings such as the following:

- Elastic Compute Cloud (EC2) : ~ 100 servers
- Relational Database Services (RDS) : ~ 23 Instances
- Identity and Access Management
- Workspaces - Virtual Desktops
- Elastic Container Service for Kubernetes
- Simple Storage Service (S3)
- Lambda

Award

APHL expects to provide funding for the security assessment on a cost-reimbursable basis. APHL will make these payments in accordance with the payment terms specified in the written contract between APHL and the selected firm, in any applicable APHL's standard operating procedure or as otherwise mandated by applicable federal law, regulation or term of APHL's funding notice from the Centers for Disease Control and Prevention (CDC).

Project Period

APHL expects the selected firm to complete all of the work outlined in Project Scope below within the Project Timeline.

Project Scope

APHL is requesting a security assessment to evaluate the AIMS Platform against the Federal Information Security Management Act (FISMA) by examining required controls outlined in the National Institute of Standards and Technology (NIST) Special Publication 800-53 Rev. 4.

The onsite portion of the FISMA assessment will be performed at the Tallahassee, Florida headquarters of Ruvos, LLC (Ruvos), the primary contractor to APHL on the development and maintenance of the AIMS Platform.

The successful firm will be required to deliver the following to APHL:

- Executive summary of the assessment findings;
- A detailed final report regarding the assessment;
- A list of non-compliant items identified during the assessment; and
- Any other related or supplementary material specified by the firm, APHL or Ruvos in connection with the assessment.

Project Timeline

<i>Milestone</i>	<i>Date</i>
RFQ Release	January 7, 2019
Letter of Intent Due	By 5:00 PM (EST) on January 18, 2019
Q&A Conference Call (optional)	1:00 PM (EST) on January 25, 2019

Quotes Due	By 5:00 PM (EST) on February 8, 2019
Quote Evaluation Period	February 11, 2019 – February 22, 2019
Winning Quote Announced	February 25, 2019
Onsite Assessment Work	March 2019 – TBD with Vendor
All Deliverables Submitted to APHL	April 1, 2019

Submission Process and Quote Requirements

Letter of Intent

Firms interested in conducting the security assessment should send APHL a brief Letter of Intent (LOI). The LOI does not need to address any of the substantive portions listed in [Required Quote](#) Components below and is due no later than 5:00 PM (Eastern Standard Time) on Letter of Intent Due date specified in [Project Timeline](#) above. Firms must submit their LOIs to the individual APHL staff member identified in [Submission Requirements](#) below.

Question and Answer Conference Call

APHL will host an optional conference call to address questions posed by interested firms. The conference call will take place on the date and time specified for the Q&A Conference Call in [Project Timeline](#) above. APHL will use the following conference line for this call:

Zoom Conference Line: <https://aphl.zoom.us/j/227535724>

Meeting ID: 227 535 724

Phone Number: 669-900-6833

Participation in the conference call is not required and APHL will post a summary of the information discussed on the call to its procurement website at www.aphl.org/rfp.

Required Quote Components

Interested firms must include the following details with their quote:

- **Basic contact information.** A quote must include the following information about the submitting firm:
 - The firm’s full legal name and, if applicable, its “doing business as” or “d/b/a” name;
 - Business phone, fax and email address;
 - Business mailing address; and

- The name, email address and phone number of the firm’s authorized representative who will serve as APHL’s Point of Contact.
- *A statement of the firm’s understanding of work to be performed.* The statement must include:
 - Demonstrated familiarity with FISMA and NIST requirements;
 - Prior experience conducting security assessments;
 - Ability to perform onsite work at Ruvos headquarters in Tallahassee, Florida during the time specified in the [Project Timeline](#) above;
 - Interested firms should expect to be onsite for approximately one full work week;
 - Additional pre- and post-activities may be performed offsite; and
 - Ability to produce the full set of deliverables listed in Project Scope above within the time specified in the Project Timeline above.
- *Listing of key staff members* who will be assigned to the audit.* The key staff list must include information on the following:
 - Roles, responsibilities and estimated time allocated for each key personnel
 - Resumes of key personnel inclusive of credentials and qualifications to conduct security assessments
- *A detailed budget.* The budget must include the hourly rate(s) that the firm will charge for its staff members’ time and a justification for all assessment expenses, including:
 - Direct labor costs for all applicable staff, fringe benefits, and all other direct and indirect costs;
 - Travel related to onsite work inclusive of airfare, lodging, ground transportation, parking, M&IE (as per GSA rates);
 - and all other travel considerations not listed here
- *Evidence of the firm’s overall qualifications.* This evidence must include:
 - The size and organizational structure of the firm; and
 - Background and experience auditing nonprofit clients.

* = Personnel listed must be employees of the responding firm.

- *References from at least three (3) comparable nonprofit security assessment clients.*
 - Selected references may be contacted to determine the quality of work performed, competency of personnel assigned to the project, and the like.
 - The results of the reference checks will be provided to the evaluation panel and may be used in scoring the firm's quote.
 - These references should be capable of verifying information supplied by the responding firm in their quotation materials.
 - The data required for each reference should include:
 - Company Name;
 - Postal Address; and
 - The name, email, phone number and mailing address of a contact person at the reference company.

Submission Requirements

Quotes are due by no later than 5:00 PM (Eastern Standard Time) on the Quote Due date listed in [Project Timeline](#) above. APHL won't accept any quote after 5:00 PM (EST) unless the association posts an extension of the due date on www.aphl.org/rfp prior to the current deadline. Firms will have no right to protest or appeal the rejection of any late submission. Firms are encouraged to verify that their submission is signed on the submitting firm's behalf and is sent in Adobe Acrobat (.pdf) format, free from any virus or corrupted file.

APHL will only accept email submissions. Submitting firms must send their quote to APHL attached to an email with the subject line **AIMS Security Assessment** to the following:

Marty Sibley, Senior Specialist, Informatics
marty.sibley@aphl.org

With a copy to

APHL Legal Department
legal@aphl.org

Please note that APHL will NOT accept fax or hardcopy submissions.

Evaluation Process

Evaluation and Selection Criteria

APHL will evaluate each submission based on the responding firm’s ability to address the [Project Scope](#) above. The evaluation panel will review each quote and provide a score based on the following selection criteria:

Project Objectives	Weight
Ability to conduct a security assessment of the AIMS Platform and produce the requested final deliverables	60%
<i>Section Total</i>	<i>60%</i>
General	Weight
Staffing qualifications	10%
Budget	10%
<i>Section Total</i>	<i>20%</i>
Respondent Qualifications	Weight
Organizational qualifications	15%
References	5%
<i>Section Total</i>	<i>20%</i>

Evaluation Panel

Staff members from APHL’s Informatics Program and Ruvos’ technology and security teams will evaluate all quotes received by the quote due date deadline noted above. APHL expects that between two and three staff members from each organization will serve on the evaluation panel. All panel members will be required to complete the form and comply with the policy set out in Exhibit A – Conflict of Interest Disclosure Statement and Policy, prior to the start of the evaluation period. If a proposed panel member has a conflict, APHL will either identify an alternate individual to serve on the evaluation panel for the entire evaluation period or will not permit that individual from participating in the portions of the evaluation where the possible conflict exists.

Primary Evaluation

APHL will evaluate the quotations received through a combination of email communications and teleconference sessions between APHL's Senior Specialist, Informatics and members of the evaluation team. APHL expects that the Senior Specialist will coordinate the review process and the evaluation sessions and will have the right to vote and the authority to make other decisions with respect to the scoring or ranking of applications under review so long as those decisions are documented and reasonable or prudent. Other members from APHL's Informatics Program and from Ruvos will be available to answer questions from evaluation team members but will neither vote nor have any ability to alter the evaluation team's scoring or ranking of the quotations.

Possible Secondary Evaluation

Once the primary evaluation is complete, if the evaluation team needs clarification or further information from one or more of the submitting firms APHL may elect to conduct telephone interviews with those firms and then will reevaluate their quotations in light of the information provided during the telephone interview. APHL anticipates that these interviews will be recorded for record-keeping purposes and to allow the evaluation team to replay all or part of the interviews if needed. A member of APHL's Informatics Program staff will contact any firm needing this secondary telephone interview to schedule the meeting.

Post-Evaluation Process

APHL will notify the successful firm on or before the selection announcement date identified in [Project Timeline](#) above and will post the selected firm's name on APHL's procurement website, www.aphl.org/rfp on that same day. Unsuccessful firms will receive notification of these results by email or by US Postal Service first class mail within 30 days of the date the name of the winning firm is posted. All applicants will be entitled to utilize APHL's RFP Appeals Process to formulate a protest regarding alleged irregularities or improprieties during the procurement process. Firms will find the specific details of this policy on APHL's procurement website.

Shortly after APHL announces the selected firm, APHL will request a phone meeting with the selected firm to implement the quoted work and to discuss any needed change or modification to the quoted services. APHL then will develop a proposed contract for the project and the terms and conditions associated with the project work will be finalized as part of the contract negotiation process. The exact project start and end dates and deliverable due dates will be established in the ratified contract.

Conditions of Award Acceptance

The selected firm must be able to contract directly with APHL and must agree to comply with duties, services and expectations outlined in this RFQ. APHL expects that it will be able, if needed, to adjust the project timeline to allow for delivery of final deliverables as late as June 30, 2019. APHL anticipates that all funding for the project will be provided by the Centers for Disease Control and Prevention (CDC) under Cooperative Agreement Number NU60OE000103 (CFDA No. 93.322) with APHL.

Disclaimer and Other General Matters

This RFQ is neither an agreement nor an offer to enter into an agreement with any respondent. Once evaluation is complete, APHL may choose to enter into a definitive contract with the selected firm.

APHL must ensure that the selected firm is neither suspended nor debarred from receiving federal funds and that the firm meets any other funding eligibility requirement imposed by the Cooperative Agreement. APHL's determination of whether the selected firm is eligible to receive Cooperative Agreement funding will be definitive and may not be appealed. In the event that APHL determines that the selected firm is ineligible to receive Cooperative Agreement funding, APHL will nullify the contract or will cease negotiation of contract terms.

Each applicant firm will bear its own costs associated with or relating to the preparation and submission of its quotation. These costs and expenses will remain with the applicant, and APHL will not be liable for these or for any other costs or other expenses incurred by the submitting firm in preparation or submission of its quote, regardless of the conduct or outcome of the response period or the selection process.

Exhibit A – Conflict of Interest Disclosure Statement and Policy

Association of Public Health Laboratories Conflict of Interest Disclosure Statement

Applicability: Disclosure of the following information is required of all Officers, Directors, committee members, staff members and other volunteers who have been designated and who have accepted responsibility to act on behalf of APHL ("APHL Personnel"). Please answer the following questions and, where indicated, include the same information for your immediate family members (your parents, your spouse or partner, your children and your spouse/partner's parents).

APHL will keep your completed disclosure statement in the corporate records of the association.

1. Please list the name, address, phone number, email address and type of business of your current employer. If you are self-employed, please note that below and provide us with the address, phone number, email address and type of business you operate.

2. Do you, or does any family member, currently serve as an officer, director, committee member, or other volunteer (or work as an employee of or a paid consultant to) any organization serving the interest of laboratory science or public health laboratories other than APHL or your state or local laboratory?

Yes **No**

If yes, please list the organization(s) and provide detail on your or your family member's interest or position in the organization(s).

3. Do you, or any family member, have an existing or potential interest in, or compensation arrangement with, any third party providing goods or services to APHL, or with which APHL is currently negotiating?

Yes No

If the answer is yes, please provide the name of the organization below and describe in detail the nature of the position held.

4. Please note any other financial or business interest you may have with any organization serving the interests of public health laboratories. **If you have none, please check this box:**

5. Do you, or does any family member, have any other interest or affiliation that is likely to compromise your ability to provide unbiased and undivided loyalty to APHL, or that could come in conflict with your official duties as an Officer, Director, committee member, staff member or other volunteer who has been designated and who has accepted responsibility to act on behalf of APHL?

Yes No

If you answered yes, please describe in detail below the nature of each such interest or affiliation.

6. If you are currently aware of any actual or possible conflict of interest that might otherwise hamper your ability to serve APHL to your best ability and with the highest degree of care, loyalty and obedience – ***including any potential conflict you or a family member may have with one or more of the RFP applicants*** – please describe them in detail below.

7. Do you agree that so long as you are an Officer, Director, committee member, staff member or other volunteer who has been designated and who has accepted responsibility to act on behalf of APHL you will immediately disclose to the other Directors and/or Officers or, for staff members, the Executive Director and/or General Counsel the nature of any interest or affiliation which you may hereafter acquire, which is in or is likely to become in conflict with your official duties with APHL?

Yes No

YOU MUST READ THIS SECTION AND THEN SIGN BELOW

I acknowledge that I have received and read APHL’s Fiduciary Responsibility and Conflict of Interest Policy (the Policy). I have listed all my relevant fiduciary responsibilities and affiliations, and I have identified any actual or potential conflict of interest on this Disclosure Statement and I agree to abide by the Policy. I understand that it is my responsibility to inform APHL in writing of any change in circumstances relating to the Policy and this Disclosure Statement.

Signature: _____ Date: _____

Printed Name: _____

APHL Fiduciary Responsibility and Conflict of Interest Policy

1. Policy Statement and Purpose

The members of the APHL Board of Directors understand the importance of serving APHL to the best of their ability and with the highest degree of obedience, loyalty and care. Accordingly, the Board adopts the following policy for APHL Officers and Directors, all staff, committee members, and other volunteers who have been designated and who have accepted responsibility to act on behalf of APHL ("APHL Personnel").

2. Individual Duty and Annual Disclosure

APHL Personnel will avoid any conflict of interest with APHL. APHL Personnel will not profit personally from their affiliation with APHL, or favor the interests of themselves, relatives, friends or other affiliated organizations over the interests of APHL. As used in this Policy, "Conflict of interest" includes any actual, apparent, and potential conflict of interest.

Upon commencing service with APHL, each APHL Personnel will file with the Board an annual statement disclosing all material business, financial, and organizational interests and affiliations they or persons close to them have which could be construed as related to the interests of APHL or the profession of public health laboratory science. Each APHL Personnel has an obligation to make an additional disclosure if a conflict of interest arises in the course of the individual's service to APHL, whether arising out of his/her employment, consulting, investments, or any other activity. These disclosures will be documented promptly in writing and recorded in the Board minutes and corporate records.

3. Procedure

Whenever APHL considers a matter, which presents an actual, apparent, or potential conflict of interest for APHL Personnel, the interested individual will fully disclose his/her interest in the matter, including the nature, type, and extent of the transaction or situation and the interest of the individual or that individual's relatives, friends or other affiliated organizations. The Board, after consultation with counsel as appropriate, will determine whether an actual and material conflict exists and, if so, what is the appropriate course of action under this policy and the Board vote will be recorded in the minutes.

Any Board member having a conflict of interest must either (i) voluntarily abstain from and be disqualified from participation in all deliberation and voting on all Board actions relating to the situation or matter that gives rise to the conflict of interest, or (ii) ask the Board to determine whether an apparent or potential conflict of interest is considered by the Board to be an actual

and material conflict. In the event that the Board member in question requests that the Board evaluate the apparent or potential conflict, that Board member will abstain and be disqualified from participating in (and voting on) the determination of whether the issue presents an actual and material conflict. If the Board determines that an actual and material conflict exists, the Board member in question will abstain from all voting on, and will be disqualified from participation in all deliberation concerning all Board actions relating to the conflict of interest. The vote will be recorded in the minutes.

These procedures will neither prevent the interested individual from briefly stating his/her position on the matter, nor preclude him/her from answering pertinent questions of Board members, since his/her knowledge may be of assistance to the Board's deliberations.

APHL Personnel must be cautious and protective of the assets of APHL and insure that they are used in the pursuit of the mission of APHL. The association's policy requires APHL Personnel to avoid transactions in which APHL personnel may have a significant financial interest in any property which APHL purchases, or a direct or indirect interest in a supplier, selected applicant, consultant, or other entity with which APHL does business. The Board, after consultation with counsel as appropriate, will determine whether an actual and material conflict exists and, if so, determine whether the transaction is nonetheless favorable to APHL before considering whether to approve it.

4. Other Duties and Obligations

Whenever any APHL Personnel discovers an opportunity for business advantage which is relevant to the activities of APHL, the opportunity belongs to APHL and the individual must present this opportunity to the Board. Only once the Board determines not to pursue the matter and relinquishes the opportunity may the individual consider it a matter of possible personal benefit.

APHL Personnel may not accept favors or gifts exceeding \$75.00 from anyone who does business with APHL.

All APHL Personnel will keep confidential those APHL matters designated confidential. APHL Personnel are prohibited from disclosing information about APHL to those who do not have a need to know or whose interest may be adverse to APHL, either inside or outside APHL, and are prohibited from using in any way such information for personal advantage to the detriment of APHL.

All APHL Personnel who participate in APHL activities, including committee activities and international consultation activities, must be adequately prepared to fully participate as their position descriptions require and will do so in accordance with the applicable laws and regulations of their respective state or territory and APHL's Articles of Incorporation, Bylaws, and corporate policies. The APHL Board will read and understand the association's Articles of

Incorporation, Bylaws, corporate policies and financial statements, and routinely verify that all state, federal, and local tax payments, registrations and reports have been filed in a timely and accurate manner.

Board members will never exercise authority on behalf of APHL except when acting in meetings with the full Board or the Executive Committee or as authorized by the Board. If any member of the Board has significant doubts about a course of action of the Board, he or she must clearly raise the concern with the Executive Director and the Board and, when appropriate, seek independent expert advice.