![NYeC — New York eHealth Collaborative logo]

Request for Proposal (RFP) For

Certification Body for Statewide Health Information Network for New York (SHIN-NY) Qualified Entity Certification and Monitoring

SHIN-NY CERTIFICATION AND MONITORING

ISSUED BY THE

NEW YORK eHEALTH COLLABORATIVE

APPLICATION INFORMATION	
CONTACT NAME	Cynthia Sutliff, Senior Director, State Policy, NYeC
EMAIL ADDRESS	certificationRFP@nyehealth.org
SUBMISSION DEADLINE	**March 11, 2020**

All correspondence and proposals should be submitted via email directly to the mailbox listed above and include **SHIN-NY Certification and Monitoring** in the subject line.

I. STATEMENT OF PURPOSE

The New York eHealth Collaborative (NYeC) is seeking applications from qualified third-party organizations that have the capabilities to assess SHIN-NY Qualified Entities' (QEs) ability to meet SHIN-NY Certification Criteria; make SHIN-NY certification compliance recommendations to New York State Department of Health (NYS DOH); and conduct routine monitoring of Qualified Entities between recertification cycles.

Under the regulatory guidance of the NYS DOH, the certification process is intended to:
- Promote interoperability through conformance to consistent sets of standards and implementation specifications, and
- Foster trust by ensuring adherence to the common policy framework embodied in the SHIN-NY Statewide Policy Guidance.

In support of the SHIN-NY certification process, the New York eHealth Collaborative (NYeC) seeks a Certification Body that will:
(1) Work with NYeC and NYS DOH to develop SHIN-NY QE certification criteria and application process and a framework for a continuous monitoring process that will incorporate risk-based assessment and maturity level assessment approaches through an agreed upon set of monitoring criteria and protocols and
(2) Conduct recertification and continuous monitoring processes assessments for all SHIN-NY QEs as determined by NYS DOH. (Current recertification timeframe is set for every 5 years with continuous monitoring to be conducted on the years between and leading up to recertification).

II. INTRODUCTION

The New York eHealth Collaborative (NYeC) is working to improve healthcare for all New Yorkers through innovative health information technology and exchange (HIT and HIE). Founded in 2006 by healthcare leaders, NYeC is a 501(c)(3) and the State Designated Entity (SDE) in New York charged with leadership, coordination, and administration of the Statewide Health Information for New York (SHIN-NY), the state's public health information exchange (HIE). In that capacity, NYeC works as a public/private partnership with the New York State Department of Health (NYS DOH) on the development of policies and procedures that govern how electronic health information in New York State is shared via the SHIN-NY, an innovative "network of networks" that interconnects New York's regional health information organizations (Qualified Entities or

QEs). QEs allow participating healthcare professionals, with patient consent, to quickly access electronic health information and securely exchange data with any other participant in the state.

As the health data interoperability landscape continues to evolve there is an increasing need for innovation and collaboration in the market to allow data to be exchanged more effectively. To meet these needs, NYeC has developed a set of ambitious goals outlined in the SHIN-NY 2020 Roadmap, which outlines five strategies that together will allow NYeC to support the evolving health information exchange landscape. These strategies: ensuring a strong foundation for HIE within New York State, supporting stakeholder needs, enabling interoperability and innovation, promoting efficiency and affordability and collective advocacy, all support the need to understand the advances in interoperability and partnership that are being promoted nationally.

HISTORY OF SHIN-NY QE CERTIFICATION

In anticipation of release of the SHIN-NY Regulation and a requirement that all Regional Health Information Organizations (RHIOs) be certified by NY State to operate as Qualified Entities (QEs) of the SHIN-NY, the NYS DOH designated NYeC as the State Designated Entity (SDE) to collaborate on development and administration of a QE Certification and Monitoring process that was based on the SHIN-NY policy guidance.   The following highlights the SHIN-NY QE Certification and Monitoring process from inception to present day:

- **2013:** an RFP for a third-party certification body was developed and released. The selected Certification Body worked closely with NYeC and NYS DOH to develop and implement the process.
- **2014:** QE certification criteria was developed, and a 'preliminary' certification assessment was conducted by the Certification Body that identified gaps in adherence to certification requirements. This afforded the RHIOs an opportunity to remediate and prepare for the initial full certification assessment in 2015.
- **2015**: A full QE certification assessment audit was conducted of all RHIOs. The assessments were designed to identify non-compliance gaps in policy adherence as well as make recommendations on overall process improvement opportunities based on observations by the Certification Body. The 2015 full certification utilized a defined scoring model that established a threshold for NYS DOH to certify a RHIO to be designated as a QE.
- **To achieve certification a RHIO** had to:

  1. Pass all criteria key to privacy and security with a risk rating of Critical and

2. Achieve a passing grade percentage for each of the other risk categories that were rated as High (80%), Medium (50%) and Low (N/A).

All eight (8) RHIOs assessed as part of the full certification assessment were granted full certification status as Qualified Entities to operate as part of the SHIN-NY by NYS DOH.

- **2016 and 2017**: Both years were part of the QE certification self-audit/monitoring assessment process that was designed to ensure continuous compliance with SHIN-NY Regulation and Policy Guidance. The Certification Body conducted reviews and testing for all required criteria as part of the process. Non-compliance gaps that were identified as part of the self-audit/monitoring process required remediation plans with timelines for completion and were reassessed by the Certification Body. Reports were submitted on the results of the assessments for each QE.

- **2018**: A full QE Certification Assessment was conducted this cycle and marked significant changes in the overall approach. These changes were prompted by an increase in cybersecurity activity targeted at the health care industry and a desire to strengthen the overall security posture of the SHIN-NY to help reduce risk of breach and ensure the security of the data transmitted through the SHIN-NY. With those aims in mind the QE Certification process was divided into two distinct but connected parts:

  (1) QE Policy Adherence Certification: to be conducted by the certification body with the goal of assessing full compliance of QEs with the SHIN-NY Regulation and various Policy Guidance that flows from the Regulation.

  (2) QE Security Certification: to be conducted by a third-party assessor, HITRUST, with the goal of assessing the security controls required for HITRUST certification.

All eight (8) QEs were recertified by NYS DOH following the 2018 Policy Adherence Certification Assessment.

- **2019:** Following the full certification process of 2018, the QEs were assessed as part of the self-audit/monitoring process. As a result of a merger of two (2) QEs, seven (7) QEs were assessed as part of the process. The 2019 self-audit and monitoring assessment introduced a risk-based assessment approach, using the NIST 800-30 framework, that allowed for a more individualized and targeted assessment of policy adherence criteria. The risk-based assessment analysis utilized both a risk-assessment of the SHIN-NY Regulation, SHIN-NY Policy Guidance and the results of past QE certification and self-audit assessment results. Additionally, in 2019, a maturity assessment using the Capability Maturity Model (CMM) was leveraged to develop a maturity model for the QEs and their process maturity of Public Health Integration capabilities.

III. BACKGROUND INFORMATION

This RFP sets forth the parameters of services that will be expected of the Certification Body that will plan, develop and conduct certification and continuous monitoring over a six (6) year period beginning in May 2020. In accordance with the schedule set forth below, NYeC expects to select a single Certification Body by the end of March 2020 and enter into contract with the selected Certification Body by April 2020.

The SHIN-NY certification process will consist of the following components, roles and responsibilities.

- **SHIN-NY Certification Body**: the SHIN-NY Certification Body will be an independent, third party organization that: (1) plans and develops QE certification and continuous monitoring criteria and standards in collaboration with NYS DOH and NYeC; (2) assesses candidate QE ability to meet SHIN-NY certification criteria at prescribed intervals; (2) conducts routine annual monitoring of QEs between certification cycles; (3) make SHIN-NY certification compliance recommendations to NYS DOH; (4) prepares both individual QE assessment reports as well as a SHIN-NY enterprise aggregate assessment report that reflects the current state of policy adherence across all QEs and (5) conducts trigger-based assessments as needed and/or requested by NYS DOH and/or NYeC.
- **SHIN-NY Certification Criteria and Standards:** specify the organizational, technical, operational, and policy requirements for QE certification, as approved by NYS DOH and NYeC. All final decisions are made by the SHIN-NY oversight entity, the NYS DOH, including any changes and/or adjustments to the scope of work during the Certification cycles.
- **Trigger Event Based Assessments:** out-of-cycle QE assessments that may result from such things as mergers, reconciliation of gaps identified as part of the in-cycle certification/monitoring process and/or targeted technical or policy, operational, or technical assessments requested by the NYS DOH and/or NYeC.
- **NYS DOH:** The NYS DOH is the oversight entity that ensures a SHIN-NY certification process and makes the final determination of an organization's status as a Qualified Entity. NYS DOH makes all final decisions regarding QE certification scope of work and criteria development.
- **NYeC:** As the state designated entity (SDE) for the administration and operation of the SHIN-NY, NYeC serves as the overall manager of the QE certification process including the process of selection of a third-party Certification Body overseeing the contractual performance of the Certification Body.

- **Qualified Entities (QEs):** currently there are seven (7) regional health information organizations that comprise the SHIN-NY and/or other organizations that may qualify to become a QE of the SHIN-NY as approved by the NYS DOH via the certification process. Qualified Entities are required to provide a set of core services to their Participants at no cost and may also provide additional valued based services for which they may charge a fee. Qualified Entities are funded via a performance based contracting process managed by NYeC. Qualified Entities have a 'Qualified Entity Participation Agreement' (QEPA) with NYeC that outlines specific roles, responsibilities and requirements outside of those required through policy guidance. In 2021 it is anticipated that there will be six (6) regional health information organizations based on a merger that is currently underway. Future mergers of regional health information organizations may occur over the five (5) year certification process and scope of work for the third-party assessor would be adjusted accordingly.
- **Qualified Entity Participants**: are provider organizations i.e. hospitals, provider practices, health plans, public health entities, that participate in a Qualified Entity's network and agree through a Participation Agreement (PA) to abide by the SHIN-NY technical and policy requirements.

IV.SCOPE OF WORK

The following outlines the scope of work for this contract for the SHIN-NY Certification and Monitoring process. The scope is subject to final approval by NYS DOH and may change throughout the contract period as necessary and in consultation with the selected third-party assessor. The NYS DOH, NYeC and third-party assessor meet on a regular basis to discuss scope of work, status reports on QE assessments, and other issues/challenges that may arise during the contract period.

The selected organization will:

(1) **Work with NYS DOH and NYeC to develop the SHIN-NY Certification and Monitoring Criteria and Standards** to include:
- Certification Application Toolkit
- Monitoring Criteria and Standards Toolkit
- Other documents related to either certification and/or monitoring as needed.
- Preparation of QE Certification and/or monitoring cycle Informational Kick-off Webinars

Timeframe: May-December 2020

(2) Conduct Certification Process for Qualified Entities
- Convene QE Information Webinar in collaboration with NYS DOH and NYeC.
- Convene Individual Information Calls with each of the QEs to discuss roles and requirements and to answer specific questions and to establish assessment timeline.
- Finalize timelines and set assessment testing meetings.
- Conduct application review process and assessment testing for all QEs.
- Prepare Individual QE Certification Assessment Reports.
- Prepare SHIN-NY 2021 Certification Aggregate Report.

    Timeframe: January-October 2021; January-October 2024

(3) Conduct Continuous Monitoring Assessment Process of QEs

- Establish monitoring criteria and standards (to be approved by NYS DOH and NYeC) for each monitoring cycle. NYS DOH has authority for all final decisions.
- Convene QE Information Webinar to introduce continuous monitoring approach and criteria.
- Convene pre-monitoring information meetings with individual QEs to review criteria and standards.
- Establish timelines for testing procedures.
- Conduct monitoring assessments for each QE.
- Prepare individual QE Monitoring Assessment reports.
- Prepare SHIN-NY QE Monitoring Aggregate report.

    Timeframe: January 2022-October 2022; January 2023 – October 2023; January 2025 – October 2025

(4) Conduct Trigger- Based Assessments as Needed. These will include any mergers that may take place during this timeframe.   (January 2021-December 2025)

V. APPLICATION PROCESS AND TIMELINE

Proposals will be evaluated by a selection committee as determined by NYeC. Proposals that do not address all the criteria outlined below may not be evaluated by NYeC.

Proposal submissions are due on or before March 11, 2020 by close of business EST. Organizations may only contact NYeC using the email address **certificationRFP@nyehealth.org** for all matters concerning this RFP.

If you have questions about the application, please submit those questions to the designated mailbox noted on the cover page of the RFP by **February 17, 2020.** NYeC will post all questions received and answers to those questions on our website, https://www.nyehealth.org/resources/rfps/, by **February 28, 2020.**

Applicants may only contact NYeC through the designated mailbox, and may not contact any NYeC staff, NYeC board members, the New York State Department of Health staff, or any other stakeholders regarding this proposal in the period between the issuance of this RFP and the notice of award. Any oral communication will be considered unofficial and non-binding regarding this RFP and subsequent award.

NYeC reserves the right to amend or cancel this RFP at any time prior to a signed contract. NYeC is not responsible for any costs incurred in the preparation of a response to this RFP.

TIMELINE

ACTIVITY	DUE DATE
Release of RFP	February 5, 2020
Written Questions on RFP	February 17, 2020
Responses to Written Questions on RFP	February 28, 2020
RFP Proposal Submissions	March 11, 2020
Anticipated Award Notification	April 1, 2020
Anticipated Contract Start Date	April 15, 2020

VI.   METHOD OF AWARD

The maximum award for this RFP is **$683,000** over a six (6) year period that includes 2020 planning and certification process development activities. All proposals will receive a score based on the evaluation criteria below.

VII. EVALUATION CRITERIA

a. Applicant Overview (Executive Summary) & Qualifications (Experience): *30 POINTS*

A brief overview of the applicant and/or organization and contact information to direct future inquiries regarding the proposal. Should include a brief narrative that demonstrates the applicant's understanding of the services requested by this RFP and the scale and complexity of this initiative. Should provide detail on applicant's qualifications and previous experience relevant to this RFP and proposal, including references.

b. Quality of Proposed Approach: *30 POINTS*

Description of proposed approach that address the scope of work as outlined in the RFP. Include criteria to be used to measure outcomes and success of the project activities and resources required.

c. Project Implementation *20 POINTS*

Description to include expected outcomes and deliverables for project activities as proposed in the project Approach.

d. Expenditure Plan: *20 POINTS*

Demonstrates the alignment of the requested budget with the overall project plan and the efficient and effective use of the requested funds. It should be noted when planning the Expenditure Plan a maximum of $45,000 per year should be allocated to any required trigger-based assessments.

PROPOSAL CONTENT REQUIREMENTS: Provides a list of the proposal content requirements and a definition of the requirement.

Section	Term	Definition
Applicant Overview	**Cover Letter Max 1 page**	A brief overview of the organization and contact information to direct future inquiries regarding the proposal. The cover letter must be signed by an officer authorized to bind the vendor to the terms of the proposal.
	Executive Summary Max 3 pages	A brief narrative that demonstrates the organization's understanding of the services requested by this RFP and the scale and complexity of the work as outlined. The

		Executive Summary should demonstrate the strengths of the organization's proposed approach, the key features that distinguish its approach and the major benefits it offers as an organization to fill the role of Certification Body.
	Experience **Max 2 pages**	An overview of the organization's relevant experience.
	Project Team Members **Max 3-5 pages**	Provide a detailed overview of the team members who will staff the project if the applicant is selected. This section should identify all key team members by name and role and should include information on their technology and healthcare backgrounds. In addition, the following must be included (these will not count toward the total page count of the application): • Organization Chart • Resumes of all key team members
Quality of Proposed Approach	**Approach to SHIN-NY Recertification and Monitoring Process** **Max 15 pages**	A detailed description of the applicant's approach to address the four (4) key areas outlined in the scope of work. The response should identify and fully describe all activities that pertain to the scope of work to include: anticipated work effort; relevant skills of proposed assessor team; history of your organization and past performance for ongoing monitoring, auditing, and assessment of organizations (HIEs if relevant); identify and discuss key dependencies that need to be addressed and your risk mitigation strategy to ensure timely completion of recertification/monitoring activities; and a description of economies of learning you anticipate during the ongoing monitoring cycles that occur between recertification.
	Project Implementation	Identify key tasks and deliverables directly related to the four (4) key focus areas as outlined

	Max 5 pages	in the scope of work in this RFP. Include those tasks you believe NYS DOH and NYeC should have responsibility for.
Expenditure Plan	**Expenditure Plan/Budget Max 1-2 pages**	For each of the four (4) key focus areas outlined in the scope of work provide a description of the (1) type and number of staff estimated; (2) specific resource requirements; (3) anticipated duration of recertification process and of ongoing monitoring processes; (4) anticipated resources needed for any required trigger event-based assessment (5) the cost per QE for conducting sections 2 and 3 of the Scope of Work.
	Financial Report	Provide the organization's most recent audited financial statement and management letter.