

Request for Proposal
For
Professional Consulting Services for
Technology and Cybersecurity Assessment



January 6, 2022

Pine Tree Legal Assistance
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PO Box 398
Lewiston, ME 04243

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1. Introduction

Pine Tree Legal Assistance (PTLA) is seeking fixed-cost proposals from qualified and experienced consulting services to perform a comprehensive technology and cybersecurity assessment against the entire PTLA computing environment. This project is an exciting opportunity for a consultant to collaborate with Maine’s oldest and largest civil legal aid provider delivering free civil legal aid services in Maine.

This procurement will consist of conducting an in-depth review of the PTLA’s existing information security posture based on information gathered from various internal sources and a comprehensive penetration test. The assessment should evaluate these findings against industry standards and best practices and will result in a comprehensive finding and recommendation report and an Information Technology and Security Three-Year Roadmap for improving the information security posture to protect against cyber threats.

The goal of this project is to ensure a secure environment that adequately protects client data in accordance with or exceeds the security requirements of the American Bar Association and State of Maine Board of Overseers of the Bar.

2. Objective of Procurement

PTLA is seeking a qualified contractor to perform a comprehensive cybersecurity and technology software, hardware, and infrastructure assessment to identify potential cybersecurity risks and recommend changes to align with industry standards and other law firms. The assessment will also provide a roadmap to risk mitigation, technology and cybersecurity program maturity.

The assessment shall encompass a random sampling of all hardware, software, software configuration, vulnerabilities, patching, policies, and procedures used by PTLA, whether in PTLA offices or remote employees who work from their homes.

3. Project Schedule

The current project schedule is described below. PTLA reserves the right to modify the schedule at its sole discretion.

Date	Activity
January 6, 2022	RPF Released
January 26, 2022	Bidder questions in writing due
January 28, 2022	Responses to bidder questions
February 18, 2022	Deadline for proposals 2:00 PM EST
February 21- 25, 2022	Review and evaluate Proposals
March 4, 2022	Selection of finalist / Negotiations
April 1, 2022	Project Starts
October 31, 2022	Final Delivery
December 31, 2022	Project completed.

4. Background

4.1. Organizational Overview

Pine Tree Legal Assistance is a well-established charity with a strong reputation, locally and nationally. We pride ourselves on our fiscal accountability: we consistently have clean audits, receive positive reviews from numerous of our funders, and we are a Platinum Star Guidestar agency. PTLA is a 501(c)(3) organization and is funded in part by the Legal Services Corporation (“LSC”). As a condition of the funding received from LSC, PTLA is restricted in certain activities in all of its legal work, including work supported by other funding sources.

Pine Tree Legal Assistance is committed to making the justice system more accessible for all Mainers, regardless of income, using three effective strategies:

4.1.1. Legal Advocacy – We provide direct legal advocacy to Mainers with low incomes who need help resolving serious civil legal issues. Our staff and volunteers handle more than 7,000 cases a year.

4.1.2. Information about Your Rights– We want to empower all Mainers to advocate for themselves by providing them with information about their civil legal rights and responsibilities. We offer a comprehensive library of self-help tools, legal information, and resources which are available to everyone online and these resources are viewed and downloaded more than 2 million times each year.

4.1.3. Community legal education– Pine Tree staff are valued trainers for client groups, social service providers, members of the private bar, court personnel, landlords, and others. Pine Tree reaches approximately 3,600 people annually through community legal education activities.

The Information Technology (IT) Department provides services to employees and volunteers across Maine. Headquartered and in Portland, PTLA operates five regional offices located in Augusta, Bangor, Lewiston, Machias, and Presque Isle. As a result of CoVID-19, all employees and volunteers perform their duties both in PTLA offices and in the homes using PTLA provided and volunteer-provided technology. PTLA data and infrastructure is accessed by PTLA employees, intern and extern students, and Pro Bono attorneys in private practice. Staffing for the IT department consists of two employees: Director of Information Technology and IT Support Specialist.

4.2. Organization and Funding

Pine Tree Legal Assistance is a nonprofit organization recognized as a 501(c)(3) by the IRS and as a public charity in the State of Maine. Pine Tree receives funding from the Legal Services Corporation (federal appropriation), the State of Maine (including a general Appropriation, allocations from the Maine Civil Legal Services Fund, and State contracts), the Maine Justice Foundation (including IOLTA), the Campaign for Justice, United Ways, other federal grants, and generous support from foundations, corporations, and individual donors.

4.3. Request for Proposal Budget

This Request for Proposal is made possible from a grant from the Legal Services Corporation Technology Initiative Grant. The estimated budget for this project is \$25,000.

4.4. Current Environment

Governance of the computing environment consists of the following Information Technology Policies:

4.4.1.2019 Technology Policies and Procedures

4.4.2.2021 Information Technology FAQ

4.4.3.2021 Technology Use Policy

4.4.4.Network Security Policy

4.4.5.Technology and Social Media Guidelines for Staff

All technology services operate within a wide area network connecting all six offices and delivering the following IT technological services:

Device / Service	Approximate Count / Usage	Notes
Physical Servers	2	HP Servers running VMware ESXi
Virtual Servers	13	Windows Server 2008 R2
Desktop computers	10	Dell running Windows 10
Laptop computers	86	Dell running Windows 10
Wireless Access Points	12	Ubiquiti UAP-AC-Pro
Routers and Switches	6 routers + 11 switches	Cisco Routers and Netgear Switches
Firewalls	3	2 SonicWALL NSA 2650, 1 Fortinet
CCTV Systems	2	Two locations with Nightowl security camera systems
Azure Active Directory	406 users	406 Azure user accounts of which 148 are assigned to a user. The remaining accounts being system accounts or registered guest accounts.
Cisco Finesse Call Center	40 users (approx.)	
Cisco Jabber	109 users	
Cisco VoIP Telephone System	109 users	
Citrix Gateway	3 users	Being retired early 2022
Kaspersky Endpoint Security	153 devices	

Microsoft Endpoint Manager	192 devices	
Microsoft Office 365	148 users	
Microsoft OneDrive	148 users	
Microsoft SharePoint	148 users	5 sites
Microsoft Teams	62 Teams	
Multifunction Printers	20 devices (approx.)	Kyocera printer, scanner, and fax with integrated internal storage
On-prem Active Directory	2 DCs	Hybrid-mode, plus 11 stand-alone servers
Proofpoint Essentials	143 Users	
Pulseway	192 Devices	
SonicWall NetExtender	10 users	Virtual Private Network
VMware	13 virtual machines	

5. Scope of Services / Deliverables

5.1. Overview

The consultant will perform an in-depth review of PTLA’s current cybersecurity environment to identify threats and attack vectors and analyze impacts and risks to PTLA. Using industry standards and best practices including the National Institute of Standards and Technology (NIST) Cybersecurity Framework (CSF) version 1.1, American Bar Association Rule, 1.6: Confidentiality of Information¹, and State of Maine Board of Overseers of the Bar, Rule 1.6: Confidentiality of Information² and Legal Services Corporation, Technologies That Should Be in Place in a Legal Aid Office Today³.

5.2. Documentation and Procedures Assessment

The consultant will conduct the necessary interviews with the Director of Information Technology, IT Support Specialist, and any other PTLA employee the consultant deems appropriate to assess the effective of IT operations against industry standards and best practices. The assessment should include internal controls to ensure hardware, software, and data configure and operate in a manner of care consistent with industry standards and best practices.

The consultant will review the IT documentation, policies, and procedures and conduct an assessment against industry standards and best practices as defined in Section 5.1.

¹ [Rule 1.6: Confidentiality of Information \(americanbar.org\)](http://americanbar.org)

² [Board of Overseers of the Bar: Attorney Regulation - Maine Bar Rules \(mebaroverseers.org\)](http://mebaroverseers.org)

³ [LSC-Technology-Baselines-2015.PDF | Powered by Box](#)

5.3. Technology Assessments

The engaged consultant will perform their duties according to industry standards and best practices operating in a professional manner. The engaged consultant shall provide an approach or framework for collecting and assessing the information. Within this framework, the firm shall:

5.3.1. Define a project plan for the entire engagement, including high-level milestones (including the assessment, recommendations, and roadmap).

5.3.2. Define whether and how many interviews will be necessary with the Director of Information Technology and IT Support Specialist; both employees will attend all interviews.

5.3.3. Draft agendas for each interview.

5.3.4. Conduct comprehensive penetration testing of the PTLA's critical infrastructure.

5.3.4.1. Internal network, and public-facing IP addresses, and websites.

5.3.4.2. Penetration testing should include areas that store, process, or handle personal identifiable information.

5.3.5. Assessments are to be conducted include following technologies:

5.3.5.1. Network Infrastructure

5.3.5.2. Operating Systems

5.3.5.3. Remote Access / VPN

5.3.5.4. Firewall Rules and Security

5.3.5.5. Virtual systems

5.3.5.6. Software applications

5.3.5.7. End Points

5.3.5.8. Message Systems

5.3.5.9. Telecommunications

5.3.5.10. Storage

5.3.5.11. Active Directory

5.3.5.12. Identity and Access Management Systems

5.3.5.13. Cloud Platforms

5.4. Risk Assessment and Technology Report

The engaged consultant shall develop a Risk Assessment Report, which shall at a minimum include, but not limited to, the following topics:

5.4.1. The identification of policy, process, personnel, and technical vulnerabilities with asset and critical details based on risk analysis.

- 5.4.2. An evaluation of the risk level for each critical asset deemed vulnerable and subject to specific threats.
- 5.4.3. The identification of existing and proposed controls, and an assessment of their adequacy.
- 5.4.4. The identification, assessment, and prioritization of residual risks.
- 5.4.5. An analysis of the consequences/impact of potential threats, and an evaluation of the likelihood of occurrence.
- 5.4.6. Benchmark PTLA's security posture against similar law firms, best practices, and security maturity scale.

5.5. Information Technology and Security Roadmap

The engaged consultant shall utilize the results of the Risk Assessment Report to develop an organizational PTLA Information Security and Technology Three-Year Roadmap that will include the following:

- 5.5.1. Detailed and achievable controls and tasks to remediate the risks identified in the Risk Assessment Report.
- 5.5.2. Identification of security projects based on individual or combined recommendations with detailed activities and action plans.
- 5.5.3. Appropriate milestones and key performance indicators to enhance PTLA's information security posture and address key risk findings.
- 5.5.4. Prioritization of the projects based on risk, with a timeline based on annual efforts.
- 5.5.5. Time, cost estimates, and interdependencies for implementation for each of the projects.
- 5.5.6. An assessment of how the implementation of each project would remediate risk and position PTLA with respect to industry best practices.

5.6. Security Awareness Training Program

Develop a Security awareness training program to educate employees and volunteers to prevent and mitigate organizational risk. The program should be designed to help employees and volunteers understand attack vectors, risks, and the role they play in helping to combat information security breaches, as well as encompass areas of improvement identified during the assessment process. The training program should consist of a training program calendar and a PowerPoint presentation for annual delivery to employees and volunteers.

5.7. Consultant's Deliverables

The consultant will provide documentation and materials as described below:

- 5.7.1. Consultant shall provide interim drafts and final deliverables in Microsoft Word format.
- 5.7.2. Prior to acceptance of the final versions of deliverables, the consultant will hold a formal review meeting with the Director of Finance, Director of Information Technology, and IT Support Specialist.
- 5.7.3. Consultant will provide to PTLA all questionnaires, interview notes, minutes, testing results, working sheets, draft reports, and any other data created along with all information.
- 5.7.4. The consultant shall be available for email and telephone communications on an as needed basis as questions arise.
- 5.7.5. The consultant shall provide the Director of Information Technology with regular updates via email to review progress as required. Updates shall be provided weekly or as requested.

6. Remote Access and Meetings

To the extent possible, the consultant will perform all duties remotely using a PTLA via Virtual Private Network and credentials issued by PTLA. Email shall be used to exchange reports and materials between the parties. All meetings will be recorded and conducted via Zoom or Microsoft Teams.

7. Proposal Submission

Proposals should be brief, concise, and devoid of extraneous material and boilerplate promotional information. Proposals should have sufficient detail to allow a thorough evaluation of the firm's work-plan, qualifications, and include sample deliverables.

The following material must be received electronically by **2:00 PM EST, on February 18, 2022**. All proposals should be sent to the following email address: itdepartment@ptla.org. PTLA will acknowledge receipt of proposals by 4:00 PM EST, on February 18, 2022.

7.1. Proposal Content

All proposals must include the following sections:

7.1.1. Title Page – showing the Request for Proposal's subject, consultant's name, address, telephone number, contact person's name, contact person's email address, and date of the proposal.

7.1.2. Table of Contents

- 7.1.3. Transmittal Letter – a signed letter of transmittal briefly stating the consultant’s understanding of the work to be completed and a commitment to perform the work within the period specified in the proposal.
- 7.1.4. Key Personnel – describe the staffing the consultant will use to perform to meet the criteria outlined in this RFP. Provide resumes of all key personnel who will be assigned to this project. Any changes to the key personnel must be approved by PTLA.
- 7.1.5. References – at least three references for whom comparable services were provided for organizations of similar size within the last three years. Provide names and contact information as well as a summary of key results achieved.
- 7.1.6. Qualifications and Experience – describe your firm’s qualifications to complete the work described in this RFP. Provide examples of deliverables your firm proposes to deliver to PTLA.
- 7.1.7. Detailed proposal – fully describe the services your firm will perform, and the methodologies you will follow to meet the criteria outlined in this RFP.
- 7.1.8. Costs – cost proposal must include an amount for each deliverable outlined in the proposal and a breakdown of hourly rates by position assigned to this project.

8. Selection Process and Requirements

Pine Tree Legal Assistance will review proposals. The evaluation criteria include technical qualifications and expertise, sample deliverables, project time frame, references, and cost.

9. Administrative Items

9.1. Point of Contact

From the issue date of this Request for Proposal (RFP) until the selection of a contractor, contractors are not allowed to communicate, for any reason, with any Pine Tree Legal Assistance employee regarding this particular procurement, except through electronic communication with the Point of Contact named herein. For violation of this provision, PTLA reserves the right to reject the proposal of the offending contractor.

The Point of Contact for questions and all other contractual matters relating to this RFP is:

Leonard Kimble
Director of Information Technology
Pine Tree Legal Assistance
95 Park Street, 3rd Floor
PO Box 398
Lewiston, ME 04243

Email: itdepartment@ptla.org

9.2. Proposal Submission

All proposals are due no later than **2:00 PM EST on February 18, 2022**. All proposals should be sent to the following email address: itdepartment@ptla.org.

By submitting a proposal, the contractor acknowledges that they have read this RFP, understand it, and agrees to be bound by its requirements.

9.3. Bidder Questions

Any questions relating to this RFP may be submitted to the Point of Contact named in Section 2.1, in writing and submitted via email, through January 26, 2022. All questions must include the name of the firm and the person submitting the questions.

A compilation of all questions and answers will be provided to all contractors receiving a copy of this RFP or submitting questions no later than January 28, 2022.

9.4. Right of Selection / Rejection

PTLA reserves the right to reject any or all proposals and to waive any minor informalities or irregularities contained in any proposal, and to accept any proposal deemed to be in the best interest of Pine Tree Legal Assistance, Inc. Selection of a contractor's proposal shall not be construed as an award of contract, but as the commencement of contract negotiation, including but not limited to the contract price proposed.

9.5. Sub-Contractors

The use of sub-contractors must be clearly explained in the proposal and identified by name. The primary consultant shall be wholly responsible for the entire performance whether or not sub-contractors are used. Substitution of sub-contractors must be approved in writing by PTLA.

9.6. Statement on Confidentiality

Pine Tree Legal Assistance is a law firm providing civil legal aid to Maine residents, and all client data is protected attorney-client data. PTLA is responsible for preserving client confidentiality, this includes any action or inaction that could disclose personal details of a client's case or details or facts from which a client's identity could be determined.

The obligation to preserve confidential information extends to any contractors accessing the PTLA computing environment or data.

9.7. Payment for Services

Payments will be made based on work completed and delivered to PTLA during the engagement and include out-of-pocket expenses incurred in accordance with the consultant's proposal. Interim billings shall cover a period of not less than a calendar month.

9.8. Contractor's Liability Insurance

The contractor and any sub-contractors shall procure and maintain for the duration of this procurement, insurance against claims for injuries to persons, damages to property, and cybersecurity insurance for the protection of data in the contractor's possession or PTLA data the contractor has access. The contractor shall provide proof of insurance to PTLA prior to contract execution and commencement of work. Insurance shall meet or exceed the following:

9.8.1. Comprehensive or Commercial General Liability - \$1,000,000

9.8.2. Consultant's Errors or Omissions or Professional Liability - \$1,000,000

9.8.3. Workers' compensation coverage as required by the insurance laws of the State of Maine