



DASNY

**Dormitory Authority
of the State of New York**

**Request For Proposal
IT Audit & Advisory Services
February 03, 2026**

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Attachments:

- a) Sample Contract
- b) DASNY Classification and Rate Form
- c) DASNY Multiplier Form
- d) Diversity Questionnaire
- e) W-9 Form
- f) Omnibus Certification
- g) NYS Vendor Responsibility Questionnaire
- h) Sample Insurance Certificate & Requirements
 - Sample Acord Certificate
 - Sample Endorsement Forms
 - Insurance Requirements

Section 1. General Information

1.1 Background

The Dormitory Authority State of New York (DASNY) is a public benefit corporation of the State of New York empowered by Titles 4 and 4-B of the Public Authorities Law (the “Act”), to provide design and project management services to, and to issue its bonds, notes and other obligations, for a wide variety of public purposes. Under the Act, DASNY provides a multitude of services in various forms in connection with the design, construction and financing of capital facilities for State University of New York, including dormitories and educational facilities; City University of New York Senior Colleges; Community Colleges; Boards of Cooperative Educational Services; cities and counties with respect to court facilities and combined occupancy structures, as defined by law; the Department of Education of the State of New York with respect to certain facilities under its jurisdiction; other State and local governmental entities; independent colleges and universities; facilities for the aged; certain not-for-profit hospitals and nursing homes, as well as a wide variety of other not-for-profit organizations specifically described in the Act.

1.2 Purpose

DASNY seeks proposals from qualified, independent firms to develop a multi-year Information Technology (IT) audit plan and to provide annual IT audit and advisory services, as needed, on a co-sourcing basis with Internal Audit.

1.3 Key Events and Dates

<u>Event</u>	<u>Date</u>
Issuance of RFP	02/03/26
Deadline for RFP Questions	02/13/26
Post Responses to RFP Questions	02/19/26
Proposal Due Date	2/27/26 (4:00 PM)
Interviews (not earlier than, if necessary)	3/02/26 (week of)
Notice of Award (not earlier than)	03/09/26

Section 2. Engagement Requirements

2.1 Scope of Services

The selected firm will be required to provide the following services:

Phase 1 – Development of an IT Risk Assessment and 5-Year IT Audit Plan

Develop a detailed IT risk assessment of DASNY’s IT universe in a format agreed upon with the Director of Internal Audit and create a five-year, risk-based IT proposed audit plan based on the risk assessment results. The methodology for assessing risk should be based on a framework that establishes criteria for risk rating using clearly defined qualitative and quantitative factors. The scope of work is expected to include reviewing, validating, and updating the existing IT risk assessment to reflect current risks and organizational changes.

The audit plan should define the scope, risk level, audit frequency and audit hours allocated for each audit engagement outlined. The approach used to perform the risk assessment and to develop the IT audit plan should be developed in accordance with professional internal audit guidance, including standards issued by

the Institute of Internal Auditors (IIA) or an equivalent recognized framework. The deliverables shall include both the risk assessment and proposed audit plan.

Phase 2 – IT Audit Services

Following completion of the IT risk assessment, the firm will perform annual IT audit(s) based on the IT risk assessment results and as requested by Internal Audit. The scope of each individual audit will be defined collaboratively with Internal Audit prior to the start of each engagement.

Phase 3 – IT Advisory Services

The selected firm will provide IT advisory services on an as-needed basis, which may include risk assessment support; review of audit work papers, methodologies, control design, and processes; development of recommendations; guidance on industry best practices; and on call/technical advisory support to internal audit.

2.2 Requirements

The firm shall operate in a co-sourcing capacity, working collaboratively with Internal Audit staff. Internal Audit will retain responsibility for audit plan approval, final scope approval, and communication with executive management and the Audit Committee. The firm shall coordinate audit planning with Internal Audit, share methodologies and work programs, as appropriate.

For each audit engagement, the firm shall provide a written report and supporting workpapers to support Internal Audit oversight and quality assurance.

The firm selected will receive a contract for the defined scope of work with an anticipated term of three years with two additional one-year renewal options, at DASNY's discretion, subject to satisfactory performance, funding availability and procurement requirements.

2.3 Additional Requirements

1. Significant experience performing IT audits and IT risk assessments for public sector, governmental, or similarly regulated entities.
2. Familiarity with recognized IT frameworks (e.g. NIST) and the IIA standards.
3. Experience working in a co-sourced internal audit environment.
4. Availability of staff with appropriate certifications (e.g. CISA, CPA, CIA)
5. Ability to provide consistent staffing and institutional knowledge over a multi-year engagement.\

2.4 Other Technical Requirements

The Consultant shall possess the resources to communicate with DASNY by phone and electronically, including by virtual meeting using TEAMS or Zoom applications. The Consultant shall also possess the resources necessary to produce written reports, graphs/charts, attachments/exhibits and other written documents in electronic form and to transmit same by electronic means.

2.5 Diversity and Inclusion Requirements

Although no goals for participation in the services by certified MWBE and SDVOB vendors have been set for this procurement, it is the goal of DASNY to utilize qualified vendors that have a demonstrated history of hiring, training, developing, promoting, and retaining minority and women staff.

By responding to this RFP, each firm acknowledges that: The Proposer will not discriminate against any employee or applicant for employment because of race, creed, color, sex, religion, national origin, military status, sexual orientation, age, disability, genetic disposition or carrier status, domestic violence victim status, or marital status, will undertake or continue existing programs of affirmative action to ensure that minority group members and women are afforded equal employment opportunities without discrimination, and will make and document its conscientious and active efforts to employ and utilize minority group members and women in its work force on contracts with DASNY.

Section 3 Content of Proposal

The following is a list of required information that must be provided by the proposer. Provide your response in the same order in which it is requested. Your technical proposal must contain sufficient information to assure DASNY of its accuracy.

1. Include a **cover letter** with the following items:
 - a. The name, title, telephone number and email address of the individual within your firm who will be DASNY's primary contact concerning this RFP.
 - b. A statement to the effect that the firm is willing to perform all Services identified in Section 2 above and will abide by the terms of the RFP, including all attachments.
 - c. The cover letter must be signed by the individual(s) authorized to bind the firm contractually. Indicate the title or position that the signer holds within the firm. DASNY reserves the right to reject a technical proposal that contains an unsigned cover letter.
2. The memberships and credentials of the engagement team.
3. A list of relevant experience including experience in the government sector and recent projects of similar size and scope.
4. A detailed description of your firm's approach (technically and administratively) to performing the required scope of work for each phase.
5. A detailed work plan and schedule of deliverables.
6. Additional Information - The proposer must also provide statements regarding the following:
 - a. There are not conflicts of interest between your firm or individuals in your firm and DASNY.
 - b. The proposer agrees to provide DASNY with pre- and post-audit access to documents, personnel and other information necessary to conduct audits on request during the term of the Contract and for six years thereafter.
 - c. The proposer agrees to provide any services requested or required in a timely manner.
 - d. The proposed fee is an irrevocable offer good for 120 days.
7. Provide a detailed pricing sheet for Phase 1 of the engagement.
 - a. Include estimated hours, billing rates, and any additional expenses.

8. Provide a detailed pricing sheet for Phase 2 and 3 of the engagement.
 - a. Include IT audit and advisory services that could be provided annually within a combined not to exceed amount of \$50,000.
 - An estimated annual level of effort (e.g. hours by role);
 - Examples of types and scope of IT audits that could be performed within the annual budget;
 - The anticipated mix of audit and advisory services and how the firm would prioritize work based on Internal Audit direction;
 - Key assumptions used in developing the estimate (e.g., complexity, reliance on Internal Audit, use of remote work; and
 - Any limitations or exclusions related to services deliverable within the stated budget.

Actual services performed will be determined by Internal Audit and may vary by year based on risk and priorities. The annual not-to-exceed amount is intended to support a flexible combination of IT audit and advisory services rather than a fixed number of audits.
9. Provide a completed **Classification & Rate Form**, included in this RFP as an attachment to support the unloaded salaries and rates of your employees.
10. Provide documentation indicating your firm's Overhead and Profit Multiplier by using one of the following methods:
 - a. Submit an approved Standard Cost Proposal Form or a previously approved multiplier from another State Agency.
 - b. Submit a request for a multiplier of 2.5 or less on your firm's letterhead.
 - c. Submit the attached **DASNY Multiplier Form** with a current financial statement for a multiplier greater than 2.5.
 - d. Submit an approved FARs audited financial statement from your firm's most recent year-end.
11. Provide a complete **Diversity Questionnaire**, included in this RFP as an attachment. It is the goal of DASNY to utilize qualified firms that have a demonstrated history of hiring, training, developing, promoting and retaining minority and women staff and to encourage participation by certified MWBE firms. This questionnaire elicits information about each responding firm in order to verify that its work environment demonstrates a strong commitment to diversity.
12. Provide a completed **W-9 form**, included in this RFP as an attachment.
13. Provide a signed **Omnibus Certification**, included in this RFP as an attachment.
14. Provide a **NYS Vendor Responsibility Questionnaire**, included in this RFP as an attachment.
15. Provide a statement indicating your firm is able to obtain the required insurances as listed in the attached **Sample Insurance Certificates & Requirements**.

Section 5 Evaluation of Proposals

The selection process will begin with the review and evaluation of each of the written proposals. The purpose of this evaluation process is twofold: (1) to examine the responses for compliance with this RFP; (2) to identify the complying firms that have the highest probability of satisfactorily performing the scope of services. The evaluation process will be conducted in a comprehensive and impartial manner. The evaluation will be conducted as set forth herein.

5.1 Preliminary Review

DASNY reserves the right to reject and return to the proposer all proposals received after the RFP due date and time. All proposals will be reviewed to determine if they contain all required submittals specified in Sections 3 and 4. Incomplete proposals may be rejected.

5.2 Evaluation

Proposals will undergo an evaluation process conducted by a Committee selected by DASNY. The Committee will evaluate the proposals based upon the criteria for selection set forth below.

5.3 Criteria for Selection

The criteria for selection shall be the qualifications required by Section 2.

5.4 Interviews

DASNY reserves the right to determine whether interviews will be necessary, however proposers should not rely on the opportunity for an interview. If an interview is conducted, the purpose of the interview is to further document the proposer's ability to provide the required services, and to impart to the Committee an understanding of how specific services will be furnished. The proposed lead principal, as well all other key personnel proposed to provide the services must be present and participate in the interview. The interview will be evaluated on the basis of whether it substantiates the characteristics and attributes claimed by the proposer in its written response to this RFP and any other information requested by the Committee prior to the interview.

Section 6 Submission of Proposals

Firms shall submit their proposal by email to Haley Birr, Assistant Procurement Administrator at HBirr@dasny.org no later than 4:00 p.m. on February 27, 2026. Proposals received after this date will not be accepted.

NOTE: Solicitation documents may, from time to time, be amended or addenda issued. It is the Proposer's responsibility to become aware of any such amendments and/or addenda prior to submission of a proposal. All amendments and/or addenda to solicitations will be posted on DASNY's website.

Section 7 Important Information Affecting Proposers

7.1 Proposal Requirements

1. All inquiries regarding this RFP should be addressed to the following individual:
Haley Birr, Assistant Procurement Administrator (Primary Point of Contact)
Email: hbirr@dasny.org

Nicole White, Procurement Administrator (Secondary Point of Contact)
nwhite@dasny.org

All questions must be submitted in writing by email, citing the particular proposal section and paragraph number. Proposers should note that all clarifications and exceptions, including those related to the terms and conditions of the contract are to be resolved prior to the submission of a proposal. Answers to all questions of a substantive nature will be given to all recipients of this RFP in the form of a formal addendum.

2. A proposer may withdraw a proposal any time prior to the final due date and time by written notification, signed by an authorized agent, to the contact person identified in Section 7.1.1 above. The proposal may thereafter be resubmitted, but not after the final due date and time. Modifications offered in any other manner, oral or written, will not be considered.
3. If a proposer discovers an ambiguity, conflict, discrepancy, omission or other error in this RFP, the proposer should immediately notify the contact person identified in Section 7.1.1 above. Notice of such error or omission should be submitted prior to the final due date and time for submission of proposals. Modifications shall be made by addenda to this RFP. Such clarifications will be given by written notice to all parties who have received this RFP.
4. If a proposer fails, prior to the final due date and time for submission of proposals, to notify DASNY of a known error or an error that reasonably should have been known, the proposer shall assume the risk of proposing. If awarded the contract, the proposer shall not be entitled to additional compensation or time by reason of the error or its late correction.
5. A proposer indicates its acceptance of the provisions and conditions enumerated in this RFP by submitting a proposal.

7.2 DASNY Requirements

1. By submitting a proposal, the proposer covenants that the proposer will not make any claims for or have any right to damages because of any misinterpretation or misunderstanding of the specifications or because of lack of information.
2. DASNY shall not be liable for any cost incurred by the proposer in proposal preparation or in activities related to the review of this RFP or any interview costs.
3. Other than the contact person identified in Section 7.1.1 above, or their designee(s), prospective proposers shall not approach DASNY employees during the period of this RFP process about any matters related to this RFP or any proposals submitted pursuant thereto.

7.3 DASNY Rights and Prerogatives

DASNY reserves the right to exercise the following prerogatives:

1. To accept or reject any or all proposals and amend, modify or withdraw this RFP.
2. To correct any arithmetic errors in the proposals.
3. To change the final due date and time for proposals.

4. To accept or reject any of the firm's employees assigned to provide services on this activity and to require their replacement at any time.
5. To waive or modify any irregularities in proposals received after prior notification to the proposer. This will in no way modify the RFP documents or excuse the proposer from full compliance with its requirements.
6. To consider modifications to proposals at any time before the award is made, if such action is in the best interest of DASNY.
7. To request a revised cost proposal from firms selected as finalists.
8. To accept a proposal for the engagement containing other than the lowest cost proposal.
9. To interview proposers prior to selection.
10. To reject any proposal containing false or misleading statements or that provides references that do not support an attribute or condition claimed by the proposer.
11. To begin negotiations with the next most responsive proposer to this RFP should DASNY be unsuccessful in negotiating a contract with the selected proposer within a reasonable time frame.
12. To contract with more than one firm.

7.4 Contractual Requirements

1. Contract

- a. By submitting a proposal, the successful proposer agrees to reference the RFP as part of the resulting contract.
- b. DASNY may award a contract for any or all parts of a proposal and may negotiate contract terms and conditions to meet client program requirements consistent with the RFP.
- c. Award of a contract is subject to contract negotiation and approval of such contract by the appropriate DASNY authorities.

2. Modification of Contract

- a. Any modification to the original contract signed between the successful proposer and DASNY will require the mutual consent of the successful proposer and DASNY.
- b. Any contract or amendments thereto will be considered effective only after approval by the appropriate DASNY authorities.

3. Interpretation

- a. The contract shall be construed and interpreted in accordance with the laws of New York State. New York State shall be the forum for disputes.

4. Public Announcements

- a. Upon selection of the successful proposer and contract execution, public announcements or news releases pertaining to the contract shall not be made without prior written consent of DASNY.

Section 8 Negotiations

After completion of the selection process, DASNY will commence finalization of the scope of work and fee negotiations with the selected firm(s).

Section 9 Notifications

Upon completion of the selection process, DASNY will notify all firms of its decision. Notification will be sent to the primary contact only. Shortly after notification the selected firm(s) will be posted on DASNY's website.

Section 10 Freedom of Information Law and Public Disclosure

This RFP and all information submitted in response to this RFP constitute "records" subject to disclosure pursuant to the New York State's Freedom of Information Law (Public Officers Law, Article 6, § 84-90, the "FOIL Law" or "FOIL"). FOIL reaffirms the public's right to know how government operates and requires that DASNY make its records available for public inspection or copying, except to the extent that records or portions thereof fall within one or more grounds for denial set forth in the §87(2) of the FOIL Law. Should you feel your proposal contains any such trade secrets, other confidential or proprietary information or is otherwise exempt from disclosure pursuant to FOIL, you must submit a request to exclude such information from disclosure. Such request must be in writing, must detail the information that should be exempt from disclosure, and must state the reasons why such information should be excepted from disclosure. DASNY will not honor any attempt, by a firm, to omit its entire proposal from disclosure.