THE UNIVERSITY OF TEXAS AT AUSTIN

REQUEST FOR PROPOSAL

RFP No.: 721-1420 IAM Software

Bid Submittal Deadline: Thursday, April 17th, 2014 at 2:30 PM CST

The University of Texas at Austin
Department of Informational Technology Services

Prepared By:
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(March 6th, 2014)

REQUEST FOR PROPOSAL

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SECTION 1

INTRODUCTION

1.1 Description of University

The University of Texas at Austin is the largest academic component of The University of Texas System, a major research university, and home to more than 50,000 students and 24,000 faculty and staff members.

The University of Texas was established by the state legislature in 1881; by popular vote, the Main University was located at Austin and the Medical Branch at Galveston. The Austin campus was opened in September, 1883, with a faculty of 8 and a student body of 218. The central campus has grown from 40 to more than 360 acres, while the student body has increased to about 38,000 undergraduates and 12,000 graduate students. In 1967, with the creation of The University of Texas System (UT System), the name of the Main University was changed to The University of Texas at Austin.

Through teaching, research, and public service, the University's activities support its core purpose:

To transform lives for the benefit of society through the core values of learning, discovery, freedom, leadership, individual opportunity, and responsibility.

University students represent both the diverse population of the state and the full range of contemporary scholarship: an undergraduate may choose courses from more than 160 fields of study while pursuing any of more than 100 majors. Undergraduate study is supported by extensive mainframe and microcomputer facilities and by one of the largest academic libraries in the nation. Students also benefit from the broad range of scholarly and technical research conducted by the faculty and the research staff.
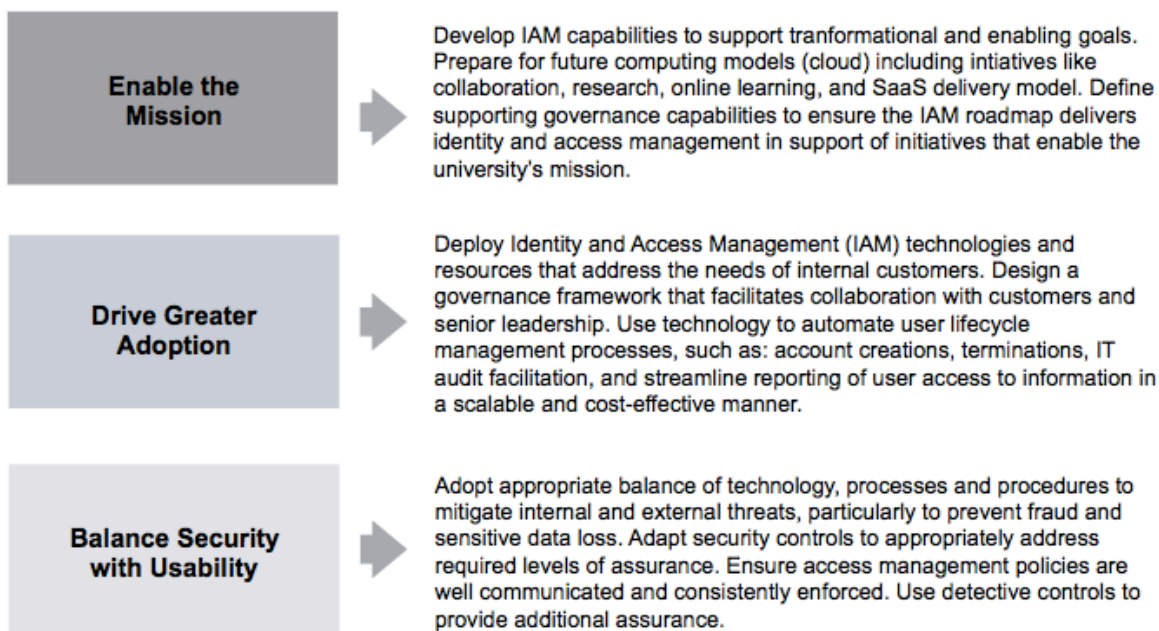
The city of Austin, with a population of about 820,000, is a relaxed and cosmopolitan setting for the University. The city is home to respected professional communities in theatre, dance, art, and music offering a wide range of cultural events. Students may also take part in recreational activities made possible by the temperate climate and Austin's location in the Hill Country of central Texas.

The University is accredited by the Southern Association of Colleges and Schools and is one of three Southwestern members of the Association of American Universities.

1.2 Background and Special Circumstances

In the spring of 2013, the Identity and Access Management Steering Committee, in conjunction with the Architecture and Infrastructure Committee ("**AIC**"), part of the University's official information technology governance structure, endorsed an enterprise Identity & Access Management ("**IAM**") strategy and roadmap. The roadmap identified three program drivers: Enable the Mission, Drive Greater Adoption, and Balance Security with Usability.

IAM Program Drivers

Enable the Mission → Develop IAM capabilities to support tranformational and enabling goals. Prepare for future computing models (cloud) including intiatives like collaboration, research, online learning, and SaaS delivery model. Define supporting governance capabilities to ensure the IAM roadmap delivers identity and access management in support of initiatives that enable the university's mission.

Drive Greater Adoption → Deploy Identity and Access Management (IAM) technologies and resources that address the needs of internal customers. Design a governance framework that facilitates collaboration with customers and senior leadership. Use technology to automate user lifecycle management processes, such as: account creations, terminations, IT audit facilitation, and streamline reporting of user access to information in a scalable and cost-effective manner.

Balance Security with Usability → Adopt appropriate balance of technology, processes and procedures to mitigate internal and external threats, particularly to prevent fraud and sensitive data loss. Adapt security controls to appropriately address required levels of assurance. Ensure access management policies are well communicated and consistently enforced. Use detective controls to provide additional assurance.

To accomplish these goals, the roadmap identified the need to make investments to improve the capabilities of the University's IAM infrastructure. Currently, the University's IAM systems consist of tools that were developed in-house with a heavy reliance on legacy applications (ref. **APPENDIX NINE** for a discussion of the University's current and future IAM technical environment).

In addition to enhancing the capabilities of its existing IAM services, the University seeks to implement new IAM services in areas such as group management, role management, access requests and recertification. There is a desire from the departments and colleges within the University to leverage these tools centrally.

The scope of this RFP is the procurement of an IAM software solution that provides the functionality described in **Section 5.4** of this RFP. The University is currently in the process of implementing a new campus authentication service called UTLogin, which is based on OpenAM. Authentication services are not included in the scope of this RFP and any proposed solution must integrate with UTLogin for functions that require user authentication.

The University is willing to consider proposals for the following hosting models:

- Software-only - traditional on premise solution in which the University is responsible for deploying and operating the solution on University hardware and in a University datacenter(s); or

- Software as a Service (SaaS) - software and hardware are hosted in the cloud through the use of a subscription model; or

- Hosted - the hardware and software are maintained off-site by the software provider or a third party; or

- Hybrid - the hosting model differs for components of the proposal or the software is operated in a hybrid manner (for example, software that is hosted on-premise but managed by an external software provider).

In addition to the costs of the proposed IAM Software solution, estimates for professional services fees required to implement and integrate the proposed IAM Software solution shall be provided in the Cost Schedules (ref. **Section 6.1** of this RFP). However, these professional support services will be procured separately from the IAM Software. If professional services fees are required to provision the software proposed in a SaaS, Hosted, or Hybrid solution, they must be included and referenced as mandatory and details provided in the appropriate cost schedule tab in the Pricing and Delivery Schedule (ref. **Section 6.1** of this RFP).

1.3 Objective of this Request for Proposal

The University of Texas at Austin ("**University**") is soliciting proposals in response to this Request for Proposal RFP No.721-1420 IAM Software (this "**RFP**"), from qualified vendors for the acquisition of Identity and Access Management software. If a SaaS, Hosted, or Hybrid model is being proposed, the proposal must include associated hosting services (the "**Services**") for development and production environments. The Services are more specifically described in **Section 5** of this RFP.

The primary project goals and objectives of the University are to:

A. Improve the University's IAM capabilities, including in the areas of:
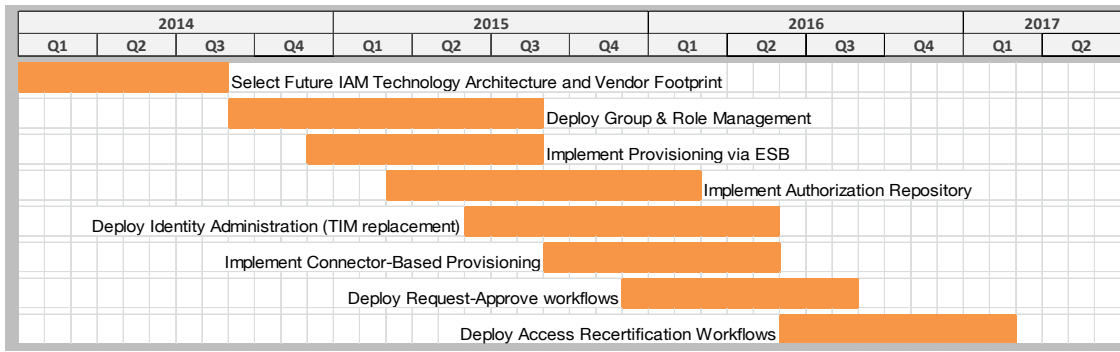
- Identity administration and provisioning;

- Password and credential management;

- Access request and approval management, including access recertification;

- Group and role management, including role-based access management;

- Enterprise authorization reporting (via an authorization repository that collects authorization information from all University systems);

- Risk-based security controls and assurance level management.

B. Provide efficient and effective integration between the IAM software and both the source systems of record and the target systems that consume identity data (including a variety of on-campus, externally hosted, and SaaS target systems); and

C. Enable the University to quickly adapt to new IAM business needs and to accommodate changes in the University's computing infrastructure.

1.4 Implementation Timeline

The Preliminary IAM Implementation timeline below was prepared based on an initial assessment of the University's needs, priorities, and existing system integrations utilizing certain assumptions. This is one approach to sequencing the implementation of functionality. Re-evaluation of deployment sequencing and go-live dates may be necessary based on the selected solution and implementation project launch date.

Preliminary IAM System Implementation Timeline

	2014				2015				2016				2017	
Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2

Select Future IAM Technology Architecture and Vendor Footprint

Deploy Group & Role Management

Implement Provisioning via ESB

Implement Authorization Repository

Deploy Identity Administration (TIM replacement)

Implement Connector-Based Provisioning

Deploy Request-Approve workflows

Deploy Access Recertification Workflows

1.5 Group Purchase Authority

Texas law authorizes institutions of higher education (defined by Section 61.003, *Education Code*) to use the group purchasing procurement method (ref. Sections 51.9335, 73.115, and 74.008, *Education Code*). Additional Texas institutions of higher education may therefore elect to enter into a contract with the successful Proposer under this RFP.

SECTION 2

NOTICE TO PROPOSER

2.1   Submittal Deadline

University will accept proposals submitted in response to this RFP until 2:30 p.m.**,** Central Standard Time (CST) on Thursday, April 17th, 2014 (the "**Submittal Deadline**").

2.2   University Contact Person

Proposers will direct all questions or concerns regarding this RFP to the following the University contact ("**University Contact**"):

> **Darya Vienne**
> **Email: DVienne@austin.utexas.edu**

The University specifically instructs all interested parties to restrict all contact and questions regarding this RFP to written communications forwarded to the University Contact. *University Contact must receive all questions or concerns no later than 2:30 p.m., CST on Wednesday, March 26th, 2014.* The University will have a reasonable amount of time to respond to questions or concerns. It is the University's intent to respond to all appropriate questions and concerns; however, the University reserves the right to decline to respond to any question or concern.

2.3   Criteria for Selection

The successful Proposer, if any, selected by the University in accordance with the requirements and specifications set forth in this RFP will be the Proposer that submits a proposal in response to this RFP on or before the Submittal Deadline that is the most advantageous to University. The successful Proposer is referred to as the "**Contractor**."

Proposer is encouraged to propose terms and conditions offering the maximum benefit to University in terms of (1) services/functionality provided, (2) total overall cost to the University, and (3) operations and support expertise. Proposers should describe all educational, state and local government discounts, as well as any other applicable discounts that may be available to University in a contract for the Services.

An evaluation team from the University will evaluate proposals. The evaluation of proposals and the selection of Contractor will be based on the information provided by Proposer in its proposal. University may give consideration to additional information if University deems such information relevant. Documents and attachments submitted in addition to that which is required will be considered at the University's discretion.

The criteria to be considered by University in evaluating proposals and selecting Contractor, will be those factors listed below:

2.3.1   Criteria Not Scored

A. Ability of University to comply with laws regarding Historically Underutilized Businesses;

B. Ability of University to comply with laws regarding purchases from persons with disabilities;

C. Proposer's exceptions to the terms and conditions set forth in **Section 4** of this RFP.

2.3.2   Scored Criteria

A. Detailed Requirements (30%)

B. Solution Proposal (30%)
  • Software Module Inventory (2%)
  • Technology Support Products (3%)
  • Functional Questions (15%)
  • Non-functional Questions (10%)

C. Strategic Direction and Industry Experience (20%)

D. Cost of Ownership (20%)

2.4   Key Events Schedule

Issuance of RFP	Wednesday, March 6th, 2014
Deadline for Questions/Concerns (ref. **Section 2.2** of this RFP)	Wednesday, March 26th, 2014
Submittal Deadline (ref. **Section 2.1** of this RFP)	2:30 p.m. CST on Thursday, April 17th, 2014

2.5   Historically Underutilized Businesses

2.5.1   All agencies of the State of Texas are required to make a good faith effort to assist historically underutilized businesses (each a "**HUB**") in receiving contract awards. The goal of the HUB program is to promote full and equal business opportunity for all businesses in contracting with state agencies. Pursuant to the HUB program, if under the terms of any agreement or contractual arrangement resulting from this RFP, Contractor subcontracts any of the Services, then Contractor must make a good faith effort to utilize HUBs certified by the Procurement and Support Services Division of the Texas Comptroller of Public Accounts. Proposals that fail to comply with the requirements contained in this Section 2.5 will constitute a material failure to comply with advertised specifications and will be rejected by University as non-responsive. Additionally, compliance with good faith effort guidelines is a condition precedent to awarding any agreement or contractual arrangement resulting from this RFP. Proposer acknowledges that, if selected by University, its obligation to make a good faith effort to utilize HUBs when subcontracting any of the Services will continue throughout the term of all agreements and contractual arrangements resulting from this RFP. Furthermore, any subcontracting of the Services by the Proposer is subject to review by University to ensure compliance with the HUB program.

2.5.2 University has reviewed this RFP in accordance with Title 34, *Texas Administrative Code*, Section 20.14, and has determined that subcontracting opportunities **are not probable** under this RFP.

SECTION 3

SUBMISSION OF PROPOSAL

3.1 Number of Copies

Proposer must submit a total of one (1) complete copy of its entire proposal. An original signature by an authorized officer of Proposer must appear on the Execution of Offer (ref. **Section 2** of **APPENDIX ONE**) of the submitted proposal. The copy of the Proposer's proposal bearing an **original signature** should contain the mark "**original**" on the front cover of the proposal. Proposals should be typed on letter-size (8-1/2" x 11") paper, and submitted in a 3-ring binder. Preprinted material should be referenced in the proposal and included as labeled attachments. Sections within a proposal should be divided by tabs for ease of reference. ***The University does not consider electronic signatures to be valid therefore the original signature must be a "wet signature."***

In addition, Proposer must submit one (1) complete and identical electronic copy of the *entire* proposal on CD-ROM. Disk should include a protective cover and be labeled with Proposer's name, RFP number and contain the mark "Complete Proposal" on the protective cover.

Proposer must submit seven (7) additional electronic copies of the proposal on CD-ROM on which all proposed pricing information provided in response to **Section 6.1** has been removed.

3.2 Submission

Proposals must be received by University on or before the Submittal Deadline (ref. **Section 2.1** of this RFP) and should be delivered to:

> The University of Texas at Austin
> Purchasing Office
> 110 Inner Campus Drive
> Main Bldg., Room 132
> Austin, Texas 78712-1140
> **Attn: Darya Vienne**

> NOTE: Show the Request for Proposal number and submittal date in the lower left-hand corner of sealed bid envelope (box/container).

3.3 Proposal Validity Period

Each proposal must state that it will remain valid for University's acceptance for a minimum of one hundred and twenty (120) days after the Submittal Deadline, to allow time for evaluation, selection, and any unforeseen delays.

3.4 Terms and Conditions

3.4.1 Proposer must comply with the requirements and specifications contained in this RFP, including the Agreement (ref. **APPENDIX TWO**), the Notice to Proposer (ref. **Section 2** of this RFP), Proposal Requirements (ref. **APPENDIX ONE**) and the Specifications and Additional Questions (ref. **Section 5** of this RFP). If there is a conflict among the provisions in this RFP, the provision requiring Proposer to supply the better quality or greater quantity of services will prevail, or if such conflict does not involve quality or quantity, then interpretation will be in the following order of precedence:

3.4.1.1. Specifications and Additional Questions (ref. **Section 5** of this RFP);

3.4.1.2. Agreement (ref. **APPENDIX TWO**);

3.4.1.3. Proposal Requirements (ref. **APPENDIX ONE**);

3.4.1.4. Notice to Proposers (ref. **Section 2** of this RFP).

3.5 Submittal Checklist

Proposer is instructed to complete, sign, and return the following documents as a part of its proposal. If Proposer fails to return each of the following items with its proposal, then University may reject the proposal:

3.5.1 Signed and Completed Execution of Offer (ref. **Section 2** of **APPENDIX ONE**)

3.5.2 Signed and Completed Pricing and Delivery Schedule (ref. **Section 6** of this RFP)

3.5.3 Responses to Proposer's General Questionnaire (ref. **Section 3** of **APPENDIX ONE**)

3.5.4 Signed and Completed Addenda Checklist (ref. **Section 4** of **APPENDIX ONE**)

3.5.5 Responses to questions and requests for information in the Specifications and Additional Questions Section (ref. **Section 5** of this RFP)

3.5.6 IAM Requirements Matrix (ref. **APPENDICES THREE and FOUR**)

3.5.7 Disaster Recovery Options (ref. **APPENDIX EIGHT**)

3.5.8 Sample Statement Of Work / Service Level Agreement for SaaS, Hosted, or Hybrid Proposals Only (ref. **Section 5.1** of this RFP)

3.5.9 Copies of each proposed Software License and Annual Maintenance Agreement for all proposed software, including third party software (ref. **Section 5.7.5.** of this RFP)

3.5.10   Completed Electronic and Information Sources Environment Specifications (ref. **APPENDIX TEN and Section 5.7.7 of this RFP**).

SECTION 4

<u>GENERAL TERMS AND CONDITIONS</u>

The terms and conditions contained in the attached Agreement (ref. **APPENDIX TWO**) or, in the sole discretion of University, terms and conditions substantially similar to those contained in the Agreement, will constitute and govern any agreement that results from this RFP. If Proposer takes exception to any terms or conditions set forth in the Agreement, Proposer will submit a list of the exceptions as part of its proposal in accordance with **Section 4.1** of this RFP. Proposer's exceptions will be reviewed by University and may result in disqualification of Proposer's proposal as non-responsive to this RFP. If Proposer's exceptions do not result in disqualification of Proposer's proposal, then University may consider Proposer's exceptions when University evaluates the Proposer's proposal.

4.1   If Proposer takes exception to any terms or conditions set forth in the Agreement (ref. **APPENDIX TWO**), Proposer must submit a list of the exceptions with proposal.

SECTION 5

SPECIFICATIONS AND ADDITIONAL QUESTIONS

5.1   General

The University is seeking proposals from IAM software vendors (both software suite and best of breed vendors), software as a service (SaaS) vendors, and vendors offering hosted IAM solutions. Hybrid solutions that span operating models or that include third-party tools will be accepted.

The specifications for the Software, as well as certain requests for information to be provided by Proposer as part of its proposal, are set forth below. As indicated in **Section 2.3** of this RFP, the successful Proposer is referred to as the "**Contractor**."

Single Primary Contractor: University is seeking a single Contractor that shall be responsible for providing a complete software solution that addresses all software functionality (ref. **Section 5.4** and **APPENDIX FOUR** of this RFP) and, if applicable, hosting services for the development and production environments under one of the following models:

- Software-only - traditional on premise solution in which the University is responsible for deploying and operating the solution on University hardware and in a University datacenter(s); or

- Software as a Service (SaaS) - software and hardware are hosted in the cloud through the use of a subscription model; or

- Hosted - the hardware and software are maintained off-site by the software provider or a third party; or

- Hybrid - the hosting model differs for components of the proposal or the software is operated in a hybrid manner (for example, software that is hosted on-premise but managed by an external software provider)

Proposer may team with multiple firms in its proposal but a single contract will be executed with only the successful Proposer, who will be required to coordinate, integrate, and be accountable for all products and services proposed. This excludes any joint ventures or joint responses to this RFP as such arrangements will not be allowed. This restriction does not prohibit multiple Proposers from proposing the same subcontractor(s) or software as a part of their proposals.

Multiple Operating Models: Proposers may submit under more than one of the four operating models (Software-only, SaaS, Hosted, and Hybrid) but an entire proposal submission will be required for each model. For example, if a Proposer desires to propose under the SaaS and Software-only model, then Proposer must submit one complete proposal that addresses all requirements of the RFP for the SaaS option and a second complete proposal that addresses all requirements of the RFP for the Software-only model as well. Proposals must be submitted under a separate cover. Only one operating model will be selected by the University.

Approval by the Board of Regents: Any Agreement resulting from this RFP for amounts exceeding one million dollars ($1,000,000) may need the approval from The University of Texas System Board of Regents before becoming effective.

Sample Statement of Work & Service Level Agreement (for SaaS, Hosted and Hybrid proposals only): Proposer must submit a Sample Statement of Work and Service Level Agreement (SOW/SLA) to support the SaaS, Hosted and Hybrid models being proposed. This Sample SOW/SLA will provide a starting point for drafting the final SOW/SLA that will be included in the Agreement with the Contractor as part of contract execution. The Sample SOW/SLA should include a description of the roles and responsibilities for each of the services requested in this RFP in accordance with the Proposer's proposed project plan and methodology, and descriptions of all deliverables to be provided. Additionally, the Sample SOW/SLA should include a description of a sample service level and penalty structure for potential inclusion in the final SOW/SLA.

5.2   University Minimum Requirements

Each Proposal must include information that clearly indicates that Proposer meets following minimum requirements.

5.2.1   Proposer should have higher education experience and/or customers of similar to the University's size and complexity (ref. **APPENDIX NINE** and **Section 5.7.3.114**).

5.2.2   **ISO Security Requirement**
University must meet ISO security requirements for storage of Category 1 data. Each Proposal must include information that clearly indicates the proposed software meets ISO requirements for storage and protection of Category 1 data. Proposer must complete **APPENDIX TEN: ELECTRONIC AND INFORMATION SOURCES ENVIRONMENT SPECIFICATIONS** according to **Section 5.7.8** and describe the security approach within the proposed data management software.

Visit the following website for additional information related to University ISO standards and guidelines for application development and administration:

http://security.utexas.edu/policies/standards_application.html

5.3.   Scope of Work

Contractor will provide the following to University:

5.3.1   Deliver an IAM software application, and all other licensed business applications, that fulfill University's requirements included in **APPENDIX FOUR** to address the functional areas listed in **Section 5.4**, Software Functionality. Third-party software may be required to meet specific requirements from **APPENDIX FOUR**.

5.3.2   Provide a Help Desk on a 24x7x365 basis to support University's Central IAM support team.

For applications leveraging a SaaS, Hosted, or Hybrid operating model ONLY:

5.3.3   Deliver all technology support products required to support the IAM application software and enable the business processes in the functional areas identified in **Section 5.4**, Software Functionality.

5.3.4   Provide hosting services and data storage in the United States for development and production environments (ref. **Sections 5.5** and **5.6** of this RFP).

5.3.5   Deploy, at Contractor's expense, the most recently released version of the IAM software (including but not limited to operating system, database, middleware, applications, and third party products) to development and production environments no later than six (6) months after a new version is released.

5.3.6   Provide disaster recovery services.

5.4   IAM Software Functionality

Contractor shall provide an IAM software application that provides the following functions:

Identity Administration

A)   Identity Creation – the creation of a new digital identity record, including associated identifiers and credentials.

B)   Identity Modification/Update – the modification of digital identity records after creation to reflect changes in identity attributes and associated identifiers and credentials.

C)   International user support – the ability to support international forms of identity data including telephone numbers and addresses, as well as support for non-English Latin script characters, including diacritics, in data attributes.

D)   Person and non-person identity support – the ability to support person identities, shared identities, and identities for non-persons such as service accounts and devices, including the ability to associate non-person identities to a sponsoring/responsible entity (another person, department, etc.).

E)   Identity Merging and Splitting – the ability to merge identities in cases where multiple identities are created for a single person as well as the ability to split identities that are merged in error.

F)   Delegated Identity Administration – allows user management to be distributed to administrators outside of the central IAM team, including providing multiple granular levels of identity administration permissions.

G)   Delegation of Authority – allows users to assign a delegate while away from the office (for example, while on vacation).

Provisioning

H) Data synchronization – synchronizes identities from the IAM system to and from other campus data stores.

I) Event-based provisioning and de-provisioning – uses events such as approved access requests to determine when access should be granted or removed and automatically performs an update on the target system.

J) Support for enterprise service bus (ESB) provisioning and de-provisioning – leverages an enterprise service bus to provision and de-provision identities to many distributed heterogeneous target systems.

K) Platform-specific provisioning and de-provisioning connectors – out-of-the-box (OOTB) software components that work directly with a software package or platform to provision or de-provision identities and entitlements.

L) Closed-loop provisioning and de-provisioning – ability to monitor the status of provisioning and de-provisioning activities that require a manual step in order to complete. Administrators will be informed of their task by email, and they confirm they have taken the correct actions through the user interface.

M) Account Reconciliation – uses automated processes to ensure external systems only contain identities that the IAM system is aware of and to identify "orphan" accounts in target systems.

Password Management

N) Password Policies – uses policies to enforce rules related to password complexity, expiry, length, etc.

O) Self-service password resets – allows users to manage their passwords and to reset a forgotten password without the help of an administrator.

P) Administrative password resets – allows a delegated administrator or helpdesk staff member to reset a password for an end-user.

Access Request & Approval

Q) Access Request Management – the ability to provide a consistent and auditable process for requesting access to a variety of campus systems and reviewing/approving those requests.

R) Access Recertification – the ability to present "who has access to what" data to the appropriate stakeholders on a regular basis for review and to demonstrate compliance with access control policies.

Group Management

S) Delegated Group Management – allows group creation, deletion and management to be performed by administrators outside of the central IAM team.

T) Public and Private Groups – supports the ability to make some groups publically visible while limiting the visibility of others to defined populations.

U) Static and Dynamic Groups – allows group membership to be defined by adding or removing members individually or by making membership based on a rule or set of rules.

V) Nested Groups – allows groups to be members of groups.

Role Management

W) Delegated Role Management – allows role management to be performed by administrators outside of the central IAM team.

X) Role Mining – provides tools to analyze identity and entitlement data ("who has access to what") to identify patterns across users with similar access.

Y) Role Governance – provides a way for changes to roles to be approved prior to being implemented in production systems.

Z) Birthright Roles – provides a way to assign roles based on a set of membership rules that typically rely on attributes from authoritative source systems.

AA) Requestable Roles – provides a way to assign roles via the access request system.

BB) Nested Roles – allows for a role to contain other roles.

Audit, Logging, and Reporting

CC) Audit and Logging – allows for all actions taken and operations performed to be logged for auditing, event tracing, and debugging purposes.

DD) Compliance and Operations Reporting – provides the ability to define reports that are reviewed on a regular basis for regulatory compliance and operations management purposes.

EE) Ad-hoc Reporting Functionality – provides the ability to create reports on an as-needed basis through a web-based reporting interface that can be delegated.

5.5 Non-Production Environments

5.5.1 Non-Production Instances

The University will establish a number of non-production IAM software environments to insulate the production environment from technical and functional testing, training, and other activities. The non-production environments include:

- Baseline (vanilla);
- Sandbox;
- Development;
- Test;
- Quality Assurance;

- Training; and
- Staging.

5.5.2   SaaS, Hosted, and Hybrid proposals ONLY:

In the event the solution will be delivered as a SaaS, Hosted, or Hybrid solution, the hosted IAM software non-production environments shall consist of at least those listed in **Section 5.5.1** (plus any additional environments required to accommodate the Proposer's implementation approach). These hosting services shall be offered on an annual basis.

The non-production hosted environments must adhere to the following standards and specifications:

A)   For *SaaS solutions*, include the installation, technical support, and access to the IAM software, third-party software, and all other development tools and software expected for the IAM project;

B)   For *hosted solutions*, include the installation, technical support, and access to the base Operating System software and all other development tools and software required to deploy the IAM software solution;

C)   Perform maintenance activities outside the period from 6am to 7pm Central Time, Monday through Friday (i.e., maintenance activities are permitted before 6am or after 7pm Monday through Friday, and all day Saturday and Sunday), unless otherwise authorized or prohibited by the University IAM Program Manager, and provide availability of and access to the required instances Monday through Friday from 6am to 7pm Central Time;

D)   Provide capacity management, which refers to the planning and control of all system and support components (for example, CPU, memory, disk space, tape, network bandwidth, electrical, HVAC, etc.) to ensure sufficient infrastructure resources to satisfy the University's system and application requirements;

E)   Support the scheduling of down-time in coordination with the University IAM Program Manager to minimize the impact of downtime windows on IAM project activities;

F)   Provide for hosting through a data center that complies with Tier Three (3) or higher data center standards;

G)   Provide security for the development environment consistent with the security requirements established in University's Information Security Office's site for hosted systems:
http://security.utexas.edu/risk/hosted_checklist.html

H)   Provide the ability to obscure confidential or sensitive data contained in hosted development, testing, training instances by encrypting or scrubbing (i.e., change to a constant value, assign a sequential value, or blank) reasonable University-identified sensitive data (note that data

obfuscation does not relieve Contractor of the requirement to provide the same level of data and application security in the non-production environments as in the production environments);

I)   Maintain adherence to SSAE 16 / ISAE 3402, SAFE Harbor, and ISO 27001;

J)   Provide for fail-over of the IAM development environment for a failed component or server;

K)   Provide for fail-over of the IAM development environment within twenty-four (24) hours in cases of disaster, with no more than one (1) day's loss of data;

L)   Provide system availability monitoring tools, employed by the Contractor, and with results provided to the University on a weekly basis; and

M)   Provide source code access to any customized modules, components, and features that are not part of the base IAM software.

5.6   Production Environments

5.6.1   Production Instances

The IAM software production environments shall consist of at least the following instances/environments:

A)   Reporting (if needed to support reporting requirements without affecting performance of the Production environment) and

B)   Production environment.

5.6.2   SaaS, Hosted, and Hybrid proposals only:

In the event the solution will be delivered as a SaaS, hosted, or hybrid solution, the hosted IAM software production environments shall consist of at least those environments listed in **Section 5.6.1** (plus any additional environments required to accommodate the Proposer's implementation approach). These hosting services shall be offered on an annual basis beginning at the time of the initial Phase 1 transition to the production environment.

The production SaaS or hosted environments must adhere to the following standards and specifications:

A)   *For SaaS solutions*, include the installation, technical support, and access to the IAM software, third-party software, and all other development tools and software expected for the IAM project;

B)   *For hosted solutions*, include the installation, technical support, and access to the base Operating System software and all other development tools and software required to deploy the IAM software solution;

C) Provide availability to the required instances required to maintain and upgrade the environments to the extent required of the University;

D) Coordinate maintenance activity with University IAM Program Manager and provide at least two weeks of notice prior to any planned maintenance;

E) Perform planned maintenance activities outside the hours of 6am to 7pm Central Time, Monday through Friday, and within scheduled maintenance windows, pre-approved by the University IAM Program Manager.

F) Meet reliability metrics as defined in the Statement of Work and Service Level Agreement (ref. **Section 5.1** of this RFP);

G) Provide capacity management, which refers to the planning and control of all system and support components (for example, CPU, memory, disk space, tape, network bandwidth, electrical, HVAC, etc.) to ensure sufficient infrastructure resources to satisfy the University's system and application requirements, including quarterly capacity forecasts and usage reviews;

H) Provide for hosting through a data center that complies with Tier Three (3) or higher data center standards;

I) Provide security for the production environment consistent with the security requirements established in University's Information Security Office's site for hosted systems:
http://security.utexas.edu/risk/hosted_checklist.html;

J) Provide for fail-over of the IAM production environment for a failed component or server without any loss of transactions or data;

K) Provide for fail-over of the IAM production environment within four (4) hours in cases of disaster, with no more than twelve (12) hours' loss of data;

L) Monitor resource utilization and processing workloads of the IAM software and related applications on a 24x7x365 basis, including buffer usage, dialog steps, batch jobs (as applicable), work process memory usage, system alerts, terminated updates, gateways, provisioning queues, error logs, etc., and provide quarterly reports on resource utilization and workloads;

M) Monitor the performance of servers and take appropriate action to resolve performance bottlenecks, including escalating a problem as appropriate;

N) Provide, administer and maintain automated tools and processes for systems management;

O) Provide and maintain backup server, systems management platforms and other utility equipment as required to meet service levels;

P)   Perform back-ups of the operating software image and files on a schedule reviewed and approved by University and re-run any failed backups until each scheduled backup is completed successfully and when requested by the University, restore files and data within twelve (12) hours as requested by University;

Q)   Periodically (but not less often than quarterly) retrieve a randomly selected backup data file as a test and verify that the data can be restored in a usable fashion;

R)   Provide network services over the open internet for users of the IAM application web UI and via secure channels such as VPN for backend administrators;

S)   Maintain the specific technical elements for the Proposer's portion of the Disaster Recovery Plan as described in **APPENDIX EIGHT**;

T)   Provide a single point of contact and escalation procedures for the University to address service requests and issues;

U)   Support audits by the University's internal and/or external auditors;

V)   Prepare a service catalog for University review and approval that describes the equipment, software and services;

W)   Maintain and enable real-time reporting on the configuration information that records changes made to the environments on an on-going basis; and

X)   Provide source code access to any customized modules, components, and features that are not part of the base IAM software.

5.7   Additional Questions Specific to this RFP

Proposer must submit the following information as part of Proposer's proposal and completely answer all questions below.

Answer each question briefly and directly. Provide each answer directly below the question it answers. Do not group questions together. An answer is required for every question. If the question does not apply to Proposer's proposed delivery model (for example, SaaS), explicitly state that in Proposer's response.

5.7.1 <u>Software Requirements (30%)</u>

University has defined requirements (ref. **APPENDIX FOUR** of this RFP) that the proposed software solution must meet. Proposer's responses to these requirements must be entered into **APPENDIX FOUR** and returned as part of the Proposer's proposal.

Reference **APPENDIX THREE** for instructions on how to interpret Proposer's response options used in **APPENDIX FOUR**.

5.7.2 <u>Solution Proposal (30%)</u>

<u>Software Hosting Model</u>

In this section, the Proposer shall indicate which hosting model is used in Proposer's proposal (Software-only, SaaS, Hosted, or Hybrid). For SaaS, Hosted, or Hybrid models, specify the hosting service provider that will be used (for example, Amazon Web Services, Rackspace, etc.). For Hybrid models, describe the hosting model that is being proposed for each component of the proposed solution.

<u>Software Module Inventory</u>

In this section, the Proposer shall provide a description of all application software modules (including third party and reporting applications) necessary to provide the functionality described in **Section 5.4** and as required to meet the requirements as specified in **APPENDIX FOUR**. For each module, the Proposer must summarize in one (1) page the key features and functions of that module, as well as the major integration points of the module, using the table format shown below. The size of the individual response items may be adjusted as needed, as long as the total response for the Software Module Inventory section does not exceed 15 pages.

Following is a brief explanation of expected response for each required field:

- **Module Name** – Indicate the module name (for example, Group Management, Provisioning Server) of the proposed software solution.
- **Narrative Description of Major Functions** – Describe in narrative form the major business process functions addressed by the module. Describe

the key features of the module and how the module addresses the pertinent business needs of the University.

- **Integration Points** – Describe the integration of the module with other modules in related business processes. An exhaustive listing of all integration points is not required. The intent is to provide a general understanding of relationships and dependencies between software modules.
- **Releases** – Provide the current and next version to be released. Provide the release date for the next version.
- **Module Provider & Access to Source Code** – Indicate the firm or group responsible for developing and maintaining the software module and indicate whether the module source code is proprietary with no access to source code, proprietary with access to source code, or open source. If third-party products are being proposed, include a URL linking to information about the third-party provider.

Add additional Software Module tables as necessary.

Software Module Table Template

Module Name	
Narrative Description of Major Functions	
Integration Points	
Releases	
• The release level of the products to be used: • The next release / version level to be released: • The planned release date of the next release / version:	
Module Provider & Access to Source Code	
• Module Provider: • Access to Source Code:	

Technology Support Products

In addition to the IAM Software modules described in Section 5.4, the Proposer shall describe all of the technology support products (including third party products) required to operate, control, manage, configure, enhance, upgrade report on, and integrate the IAM solution and meet the system requirements specified in **APPENDIX FOUR**.

Proposer shall provide a product summary chart that describes the products to be used to provide the technology support functionality described below. The product summary chart shall list:

A) Each technology product provider, including a URL linking to information about the technology product provider.
B) The different technology products to be provided by each technology product provider.
C) The release level of the products to be used.
D) The next release / version level to be released.
E) The planned release date of the next release / version.

At a minimum, the technology support products should include the following:

1. Configurable Solution.

   Shall support the following:

   - screen/page configurations;
   - menu configurations;
   - screen-based label name configurations for tailoring to University vocabulary;
   - workflow configurations;
   - extract, transform and load (ETL) tools;
   - extensible web service and application programming interface (API) configurations;
   - business rule configurations; and
   - extensible data schemas.

2. Upgrade Tools.

   Shall provide efficient and effective tracking tools and methods for the reapplication of software enhancements as well as a mechanism to compare the University environment against the Contractor baseline environment.

3. Enterprise Application Integration Tools.

   Shall simplify and automate business processes without having to make significant changes to the applications or data structures. The underlying integration approach must be standards-based using approaches such as Web Services, Java Messaging Service (JMS), and XML over HTTP. Provide a list of the standards the integration tools comply with and applicable certifications that demonstrate that compliance. The tools must be dynamic to support quick reaction to changing business needs.

4. Extract, Transform, and Load Tools.

   Shall provide effective transformation of identity data into usable formats and facilitate the correction of data inaccuracies. The tools must be straightforward to use and maintain as well as facilitate the sharing of established rules.

5. Production Tools.

Shall provide functions such as advanced schedulers, job automation, sequence scripting, job roll back, and system health monitors, etc.

6. Configuration & Software Change Management Software and Tools.

    Shall provide an underlying methodology to facilitate the configuration tracking, version control and deployment processes to ensure controlled and managed software migrations between system environments. The software and tools shall authenticate and log the team members associated with all changes to the software (configuration or development related). The tools shall provide a process that reliably builds a complete distribution from the source code (if applicable) and provides a method for verifying the integrity of the software delivered. Documentation and auditability shall be features of the tool to assist the University in the establishment and maintenance of sound change management practices. The solution should integrate well with the University's existing configuration management and version control tools.

7. Performance Monitoring Software and Tools.

    Shall provide effective monitoring processes to monitor all components of the IAM solution. Tools must facilitate the identification, notification and assessment of performance issues at different layers, such as application and/or database and must provide a unified "dashboard" presentation that integrates the various monitoring solutions in use.

8. Ad Hoc Reporting & Data Analysis Tools.

    Shall provide the ability to provide reports and analytics as well as run queries for all of the modules and data in the IAM solution. Shall provide the ability to download reports and provide graphic representation of the data. University shall be able to extract data from the IAM system.

Functional Questions

The following questions are intended to gain an understanding of how Proposer's proposed solution can be used to achieve key IAM use cases at the University.

The total response to the Functional Questions section shall not exceed sixty (60) pages. The use of diagrams is encouraged.

Identity Record Creation & Management

9. Describe Proposer solution's ability to support a full spectrum of identity management tasks through self-service, administrative, and programmatic interfaces. What is Proposer's approach to reusing functionality through each of these interfaces? In other words, does Proposer's architecture support a "build it once" approach to functionality

whether it is being executed through a web user interface (UI) or through an application program interface (API)? Describe the process to expose a single function through both an API and through a web UI.

10. List the identity record creation and management workflows that come standard with Proposer's solution. Some examples might be user search, user creation, view user, edit user, disable user, etc. Specifically highlight which workflows are available for self-service, which are available via an API, and which can be integrated with third-party tools such as ESBs.

11. Does your solution support the ability to define a "state model" for identities (including states such as birth/creation, active, grace, inactive, skeleton/death) that triggers business rules and automated actions (such as provisioning and deprovisioning) as identities move between the states? Can different identity types (person, services/applications, organizational units, businesses, and devices/resources) have different identity state models? Can multiple identity state models be implemented for different groups of identities of a particular type?

12. Describe the software's approach to the user ID. Is there a "behind the scenes" unique identifier that never changes? What are the impacts if a user ID needs to be changed (for example, due to a name change)? What is the impact on the user ID if two identities are merged?

13. Does Proposer's solution support the ability to have different sets of attributes for person and non-person identities? Describe the process for creating a new identity type that requires a unique set of attributes (for example, a service account).

14. Describe Proposer solution's ability to limit/control updates to all attributes based on configurable business rules (for example, update controls may vary based on the identity of the updater, the source system where the update originates, the interface being used to make the update, and other attributes of the identity being updated).

15. Describe how Proposer's software supports the merging and splitting of user identities. Can users merge identities through the self-service web interface? How much of these workflows are standard versus custom functionality? Can these two processes be fully automated? If not, what cannot be automated and why? How are identity merges and splits communicated to downstream systems that need to be informed of these actions?

Password Management

16. Describe how password policies are designed and managed in the software. How many password policies can be defined? How are

password policies applied and in what order? Are they cumulatively applied or do they replace lower priority policies?

17. What options exist for password lockouts (for example, age, compromised credentials, etc.)? Can the software apply a hierarchy of locks on a password credential, with each lock level subject to business rules governing how the lock can be applied and removed? How is this configured in the software? Is a hierarchy of locks a standard feature of the software or does it require custom code?

18. Describe the self-service tools available to perform password resets with the software. What out-of-band and second-factor processes for resetting a password (for example, using SMS or email to send a one-time code) does the software support? Does this require a third-party component?

19. What password complexity requirements can the software enforce? Can the software require passwords to comply with a fraction of the complexity requirements (for example, "must use 3 of 4 types of characters")? Can the software use a dictionary check to prevent the use of common words? How often is the dictionary updated and how can it be customized/extended? Can the software prevent a user from including his/her own personal information in a password (for example, not allow the user to include their name or birthdate in their password)? Can the software prevent the user from reusing one of their previous passwords (limiting the reuse of the last "X" passwords and also limiting the use of a previous password that is less than "Y" days old)?

20. Can the software be configured to compute a password complexity score based on meeting different complexity and length requirements? How can these complexity scores be used within password policies?

21. Describe how the help desk would perform a password reset for a user who has successfully identified him- or herself. What safeguards can the software support to protect the user (for example, sending an email when a password is reset)?

22. Would it be possible to export the existing password hashes and secret question information from the current system and import it into the software? What limitations would exist? What are the mechanics of this process?

23. Describe how the software would allow multiple usernames and multiple password credentials to be associated with the same identity (for example, a credential associated with an external provider, a university-issued low-assurance credential, and a university-issued high-assurance credential).

Provisioning

24. Describe the software's ability to join and transform data coming from upstream systems (such as a Human Resources system and a Student Information System) or going to downstream target systems. For example, can the software apply a business rule to take a multi-valued attribute and select the correct single value to place on the user's record? How much of this mapping can be done through configurations in the administrative interface? Describe the process to define an attribute mapping for attributes sourced from multiple source systems of record.

25. Describe how the software can be configured to manage attributes that are derived from multiple source systems. For example, a person's home address may come from several source systems.

26. Describe the software's capability to integrate with an enterprise service bus (ESB) for provisioning identity changes to interested applications.

   A. What are the mechanics of setting up provisioning by ESB with Proposer's solution?

   B. Is leveraging an ESB Proposer recommended course for interfacing with large numbers of custom-developed applications or does Proposer recommend an alternate approach?

   C. What ESB products are supported and/or recommended for use with Proposer's solution?

27. Describe the software's ability to keep identity data in another data store synchronized. Provide specific information about how synchronization would be accomplished between the proposed solution and an OpenLDAP directory and between the proposed solution and Active Directory. Note what schema extensions are required to enable synchronization.

28. Describe the software's ability to provision identity data to a system based on business rules. For example, if an identity is a person with a certain combination of attributes, that identity will be provisioned to the Public White Pages directory.

29. List the out-of-the-box provisioning connectors available for your software. Clearly indicate which provisioning connectors are included with the base software.

30. Describe approaches available for provisioning to cloud applications. What can be done for cloud applications that do not have an API for provisioning? Give specific examples of cloud applications that are being provisioned (by Proposer customers) using the software.

31. Does Proposer software support existing or emerging provisioning standards such as System for Cross-domain Identity Management (SCIM) or Service Provisioning Markup Language (SPML)?

32. Describe what capabilities in the software can be used to manage shared accounts.

33. Does the software use a Lightweight Directory Access Protocol (LDAP) directory, relational database, or some other data store? What are the supported versions? Are there any recommended versions?

34. Describe how the software tracks the history of changes to attributes and passwords. Describe the information that is logged about changes (for example, who made the change and when was it made).

35. Describe the software's approach to the identity data schema. Does the software use a single identity schema for all identity types (person and non-person)?

36. Describe the process for collecting data from applications for the purposes of attribute value reconciliation and access recertification. In this context, attribute value reconciliation is a process to look for inconsistencies between target systems and the identity management system.

37. How does Proposer's solution provide visibility as a single source for "who has access to what?" Does Proposer's solution require application entitlement data to be collected to a local data store or can downstream systems be queried in real-time using a virtual directory? Describe the pros/cons of each approach supported by Proposer's solution.

Access Request Management

38. Describe Proposer solution's approach to maintaining a catalog of access types that can be requested. Does Proposer system have maintenance screens to manage the access catalog? What functionality is standard and what must be customized?

39. Describe how the system will limit what screens, workflows, and data are viewable or editable by delegated administrators, help desk users, and end users. Can the system control access at the level of individual attributes? How is this managed and configured in Proposer's solution?

40. Describe how the software determines what approvals are required for an access request. Can some approvals be implied (based on who made the request)? Can risk scores be calculated and associated with certain access requests to require additional approvals? Can approvers be determined based on attributes of the user (for example, based on the user's manager or based on an affiliation)?

41. Describe how the software can be used to accomplish other types of request workflows. For example, if the University wished to have a workflow for the approval to associate an entitlement with a business role.

Could this be accomplished with the software? How much customization would this require?

42. Describe how the software can be configured to bundle access request notifications into a single message to a reviewer. For example, when a manager has several requests in a short period of time, how can the system limit the number of notifications to the manager who needs to take action? Describe how multiple access requests are queued for action by the reviewer.

Group Management

43. Describe how the software's group management module interoperates with the identity administration module and role management module. Do they use the same data store or does group management "feed" data to the other systems?

44. What limitations exist within Proposer's solution for the number of groups that can be managed? Does having a large number of groups adversely impact system performance? What scalability metrics are available related to how the number of groups affects performance?

45. Are there limitations for the number of identities than can be contained in a dynamic or static group?

46. Can groups be dynamically created through the use of a rule? For example, can a group be created for each unique value for "Department" that comes through on the HR feed?

47. What options exist for delegating group management to administrators throughout the University? Describe the levels of administrative access that can be defined for a user.

48. Can visibility to the group membership be either limited or set to "public"? Can visibility to the group itself be limited (meaning some users cannot even see the group)? What group visibility configuration options are available? How flexible are group visibility rules?

49. Describe the metadata (attributes) that can be configured for groups. How can metadata attributes be configured and extended?

50. Describe how the software maintains a history of group membership and changes to group metadata. Describe the information that is logged about changes (for example, who made the change and when was it made).

51. Describe the process for nesting groups. What limitations exist for nesting groups? How many levels of group nesting are supported? What

scalability metrics are available related to how the depth of nested groups affects performance?

52. Describe how the software could be configured to log the membership of a dynamic group any time it is resolved. Can this be configured for groups individually or as a system-wide setting?

53. Describe how the system will support thousands of dynamic groups that need "fresh" membership data (for example, data no older than 15 minutes) without overburdening the group management system or source systems.

54. Can groups be created using data from external applications (for example, through Open Database Connectivity (ODBC) lookups or through the use of a virtual directory)? Can groups be cached with a time to live (TTL value) whereupon the membership would be refreshed if the cached data were older than the TTL?

Role Management

55. Describe how entitlement/role data is provided to consuming/target systems in Proposer's solution. What options are available for pushing entitlement/role data to target systems and what options are available for target systems to poll/pull entitlement/role data from Proposer's solution?

56. Describe how roles can be mined from existing authorization data. What data elements are required? Do they need to be collected and analyzed locally or can Proposer's solution connect to downstream systems in real-time?

57. Describe how Proposer's software supports the use of birthright roles to bundle entitlements and assign them to users who match certain rules and provision entitlements automatically. Describe how entitlements are deprovisioned when a user no longer matches the birthright role's rules.

58. Describe how the software enables recertification of roles in terms of identities associated with a role as well as entitlements bundled in a role.

59. Describe how the software's role management functionality and identity administration functionality interoperate so that role creation, changes, and deletion are reflected in the identity administration interface in real time.

60. Describe the process for nesting roles. What limitations exist for role nesting? How many levels of role nesting are supported? What scalability metrics are available related to how the depth of nested roles affects performance?

Risk and Assurance

61. Describe the software's ability to calculate a user's risk score based on attributes, affiliations, and entitlements on that user. Are there times when the risk score should be calculated offline and updated as an attribute on the user?

62. Describe how Proposer could use risk score to

    A. Create a report of "all active users with a risk score > X";

    B. Create an access review that only includes "users whose risk scores are > X";

    C. Create a password policy that applies to only "users whose risk scores are > X";

    D. Provide the access management system with a risk score when requested at the time of authentication.

63. How does the software support the ability to perform identity proofing and associated processes such as interfacing with credit bureaus for identification data? Describe how the software could support an identity proofing process.

64. During the identity proofing process, how could the software enable an authorized user to compare the address on the ID presented by the user during the identity proofing process with the address on file in the IAM system and, if they do not match, generate a workflow to confirm the address on the ID?

Audit, Logging, and Reporting

65. Describe what activities can be logged. Are password changes logged by default? Can the action of a user viewing a page be logged? How configurable is the system in terms of what gets logged?

66. Describe how to design, save, and schedule a report to be run on a scheduled basis. What options exist for sending the report to a list of users?

67. Describe how alerts are configured in the system. Can alerts be generated based on provisioning events? Can alerts be based on system health conditions? What out-of-band means can be used for alerting? Does alerting require 3rd party tools? Describe the process to integrate with an external monitoring system.

68. Describe how logs and audit information can be archived in the software. How are log retention time frames configured? How can archived logs be accessed or retrieved?

Non-Functional Questions

The total response to the Non-Functional Questions section shall not exceed forty (40) pages. The use of diagrams is encouraged.

System Architecture

69. Describe the proposed IAM software system architecture (including a visual representation), with an emphasis on how the IAM software will integrate with the University's current and future technology environment (ref. APPENDIX NINE), including approaches to integrating with the mainframe and Workday. Describe how the proposed system architecture will provide the University the ability to respond to future innovations and technology. **The response should be high-level.**

70. Describe how functionality is integrated across the proposed software, ensuring single data entry points and consistent, non-duplicated information across all functional modules, as well as how data integrity is ensured. Does any integration need to be developed between any of the proposed software modules? Include a list of any batch or non-real-time processes required for communications and integrations between proposed modules.

71. Describe how the system leverages open standards rather than proprietary interfaces for communication between the modules of the solution.

72. Describe how the system can be integrated with the University's OpenAM environment for all functions that require user authentication.

73. Detail any system performance, load testing, and benchmarking data available to demonstrate your solution's ability to support large peaks and sustained processing loads.

Upgrade Pathway

74. Describe the expected release schedule for the next 3 years, including major, minor, and maintenance releases. Provide a high-level description of the new functionality or features that are in the solution roadmap. Also, describe how those new functions or features were prioritized for inclusion in the roadmap.

75. Describe the process for deploying emergency patches and fixes. Describe the process for prioritizing fixes and associated service level

agreements for developing and issuing an emergency fix. Describe how security vulnerability fixes are handled in the fix prioritization process. Describe how the emergency fix will be brought back into the main code line.

76. Describe whether an emergency fix on an earlier version will be provided if a bug has already been fixed in a later version. What criteria would be used to make this decision? Who is the final decision-maker on Proposer's end?

77. Provide the update/upgrade schedule for the past two (2) years, including a high-level description of the new functionality that was released in each cycle.

78. Describe the effort required from Proposer's customers who maintain a minimally modified configuration to deploy new releases of the software (based on the experiences of your customers over the past three years). Expected effort should include IT resources to perform software upgrades, upgrade/test integrations, non-IT resources needed to test and validate the application, and any other resources that are needed. Explain how the size and complexity of the IAM environment (number of identities, types of identities, etc.) affects the upgrade resourcing needs.

79. **For SaaS solutions**, describe any scheduled downtime that is associated with deploying new releases of the software and for any other types of maintenance. Include information about the length of any outages and when they are usually scheduled (time of day and day of week, as well as when during the year they are scheduled).

80. What percentage of Proposer's current customers are currently on the latest release of the proposed software? How long does it take on average for customers who maintain a minimally modified configuration to start implementing a new version of the software after it is released? How long does the implementation of a new release take on average from the time it begins to the go-live?

81. Describe how far in advance new versions are available for customer testing, how bugs/issues found during testing are addressed, and how much flexibility there is on choosing the production date (applicable for SaaS solutions). Include support capabilities and tools provided to facilitate the upgrade process. Explain how dependencies between features are identified and managed.

82. Describe how much backwards compatibility is maintained for features, functionality, and integrations (APIs) with new releases. Explain how the upgrade process impacts user-defined fields, user-defined tables, integrations, configurations, and software customizations. Describe the standard documentation provided for new releases (for example, is a complete set of documentation provided or does release documentation discuss only new/modified/discontinued features?).

83. Describe Proposer's end-of-life support model for releases. What is the oldest release Proposer still supports with a standard support agreement? Does Proposer offer special maintenance contracts for releases that are out of support? How are customers notified when releases move into end-of-life support?

84. What is Proposer's strategy to decommission functionality or previous versions of integrations with each new release? How much advance notice will University receive when deprecating older versions?

85. If third party applications are proposed, describe impacts on integrations and functionality if either the IAM application software or the third party application is upgraded. Describe the support responsibilities for each party (University, Proposer, 3rd party vendor).

Integration

86. Describe system-interfacing capabilities, including application programming interfaces (APIs) and other technology enablers to support inbound and outbound interfaces. The description should address the configurability and flexibility of APIs, number of prebuilt APIs, and ease/ability to create custom APIs. Specify the programming languages for which pre-built APIs are available (as well as any language-agnostic APIs). Describe also how restart, recovery, queuing, and management of errors are handled for integrations.

87. How much of the data in the software application can be exposed via interfaces (not direct database access)?

88. How much of the functionality of the software is available via APIs (i.e. initiation, review and approval of actions, updating status, etc.)?

89. Describe how APIs can be extended to integrate additional functionality that is not provided by the core software solution.

90. Explain Proposer's recommended approach to integrate the proposed software with other systems used at the University, both on-premise and hosted/SaaS systems, while minimizing impact to future updates/upgrades. What is the expected effort to update integrations on each minor and major upgrade of the software? Describe Proposer's strategy for isolating the University from changes to the proposed software's database structure or schemas.

91. How are security and authorizations enforced for integrations? Describe whether the same roles and authorizations that apply to the User Interfaces also apply to the APIs.

Security

92. Describe the security approach within the proposed IAM software. This description should address, but is not limited to:

    A.   Data encryption both in transit and at rest, including encryption key management and recovery;

    B.   Every request checked for authentication and authorization;

    C.   Configurability of security;

    D.   Role-based authorizations;

    E.   Session Management;

    F.   Database access;

    G.   Integration with external authentication provider; and

    H.   Preservation and auditability of data and changes.

93. Describe the process recommended to perform penetration testing with the proposed solution. What third-party solutions would be required to perform this testing? Are these solutions included in your proposal or in addition to your proposal? For SaaS solutions, describe penetration tests that are regularly performed, how often they are conducted, and whether the latest penetration test report can be provided to the University.

User Interface

94. Describe how much of the proposed software's functionality is currently available via mobile devices. What standards are adhered to in order to support mobile devices? Describe Proposer's strategy for compatibility with mobile devices, including iPhone, iPad, Android, and Windows devices. Include a 3-year roadmap for the Proposer's mobile strategy.

95. Describe how the software's user interface is integrated into a single and consistent look and feel across all the modules of the software. Does the user have to re-authenticate when navigating between different parts of the IAM software?

96. What is Proposer's strategy to ensure that the proposed software is U.S. Section 508 compliant and remains 508 compliant on all future upgrades? Web Accessibility requirements for the University can be found at https://www.utexas.edu/cio/policies/web-accessibility/.

97. What is the strategy to keep the user interface up-to-date with changes in technologies and changes to user interface expectations? Describe major improvements or features to the software's user interfaces over the last three (3) years.

98. What is the strategy to ensure that the user interface is intuitive and minimizes the need to train users? Describe Proposer's process to design and test user interface changes.

99. Describe the process for designing screens and workflows. What tools are available to configure the user interface? For example, does the system have a form designer? Describe the process to develop a new workflow and the tools available to simplify the creation and management of workflows.

100. Describe the approach to customizing the web user interface. What can be customized and what cannot be customized in the web user interface? What languages and technologies are available or required for customizing the user interface (for example, DHTML, XSLT, CSS, AJAX)? Is Flash required for any part of the user interface?

101. What widgets are available in the system or can be brought in (for example, a calendar widget)? Is it possible to use third party or open source widgets in the web user interface?

102. What form fields can be used in the web user interface (for example combo boxes, check box and multi-select)?

103. How could the software be configured to present a custom style based on the referring website? For example, the University may set up special-use web portals for admissions, registration, job fairs, or athletics that need to embed Identity Management functionality. What limitations exist?

104. Can the self-service and administrative web user interface be embedded as a portlet or an iFrame? What limitations exist with these approaches?

105. Describe the process for designing web services interfaces in the software. Does the system use a WSDL or is custom code required to develop and manage these interfaces?

Sustainment

106. Describe how the software can be integrated with the University's version control (Subversion and Git), automated build and testing infrastructure (Jenkins), configuration templating system, artifact repository (Nexus), and automated configuration and deployment tools (for example, Puppet).

107. Describe how University developers would implement and test software configurations and customizations in a local environment that would not affect other developers or users. Can developers run the proposed software in a desktop environment?

108. Explain how the process to build a running instance of the system from source code is documented (either for documentation purposes if the software must be built by the University or for audit purposes if the software build is provided by the vendor).

109. Describe the process recommended to perform load testing with the proposed solution. What third party solutions would be required to perform this testing? Are these solutions included in your proposal or in addition to your proposal?

110. Describe the monitoring tools that come with the system to monitor system processes. For example, the system may have a monitoring dashboard for provisioning events. Can monitoring be performed easily via third-party monitoring tools (for example, Zenoss, Nagios)? Do any monitoring scripts for third-party tools already exist?

111. Describe features of the software that will minimize level of effort (in terms of person hours) required to maintain and operate the software.

112. Describe the process to back up and restore configurations. Describe the process to back up and restore the complete system. Are backup agents required or recommended for certain backups? Are cold backups ever required?

113. Describe the process to promote configurations, custom code, dependent libraries, or any other dependent object from one SDLC environment to the next. Provide a specific, detailed example of the process followed to promote from one environment to the next. Describe any features that allow configuration and code promotions to be staged in an environment and applied "live" without interruption of service in the environment.

5.7.3   Strategic Direction & Industry Experience (20%)

The total response to the Strategic Direction & Industry Experience section shall not exceed fifteen (15) pages.

Commitment to Higher Education

114. Describe if Proposer's solution has been deployed in Production at either an institution of higher education or an organization of similar size and complexity as the University (ref. **APPENDIX NINE**).

115. Describe features of the software that are designed to meet the IAM challenges faced by a large, complex public research university.

116. Provide specific examples of features and/or functionality that are targeted for upcoming releases in Proposer's solution that can be used by

higher educational institutions to further their mission and operate more efficiently.

117. What are the plans for new features and/or functionality that will be especially helpful to the higher education industry in the next three (3) years?

Customer Role / Involvement in Product Development

118. Describe how customers are able to participate in and influence product development.

119. Provide information about user communities:

   A) What groups are available/applicable to higher education and where are they located?

   B) How often do they meet?

   C) What role does Proposer have in user group community?

120. Provide a report that lists the ten (10) most requested features or enhancements as of the end of each of the past four (4) quarters. Describe whether those features or enhancements were implemented, and if not, what steps are currently underway to address the requests.

121. What opportunities exist for the University to engage in a strategic partnership with the Proposer with respect to product development?

Future Vision and Direction

122. Describe Proposer's roadmap and future technology direction.

123. Describe Proposer's development methodology and the extent to which it is customer driven.

124. Describe methods Proposer uses to engage customers to influence product direction.

125. Describe how the Proposer participates in IAM conferences and research efforts to develop new technologies and help improve IAM functionality.

126. Describe Proposer's commitment to higher education and future plans regarding functionality for higher education.

References

> Note: The University intends to conduct reference checks for account references provided by Proposer. It may, at its sole discretion, contact additional clients not presented as references.

127. Provide at least three (3) client references for the proposed IAM software, with a preference for large, public research institutions of higher education. Referenced engagements should be for IAM functionality involved in your recommended solution only.

    The following information should be provided for each reference:

    A) Organization Name;
    B) Organization Description (e.g., public/private/research);
    C) Project Name;
    D) Organization Budget;
    E) Number of Employees;
    F) Student Enrollment (if applicable);
    G) Project Description;
    H) Contact Name;
    I) Contact Mailing Address;
    J) Contact Phone Number;
    K) Contact Email Address;
    L) IAM Software Product, Modules, and Release Number(s) Implemented;
    M) Project Start and End Date

5.7.4 Licensing & Maintenance (20%)

The combination of **Section 5.7.4** and **Section 6.1** will be factored into the scoring for "Cost of Ownership" which is 20% of the overall weighting.

Basis for Software Licensing and Maintenance

128. Provide an explanation of the software licensing model upon which costs have been based (for example, number of employees, number of students, etc.).

Do not provide actual or estimated prices (dollar amounts) in this section (dollar amounts belong in **Section 6.1**).

Licensing & Maintenance

129. Describe the proposed maintenance and support plan, including general service level commitments offered under this support agreement.

130. Describe Proposer's pricing model. For example, for traditional licensing models, this might include an initial fee, per seat fee, and maintenance fees and terms. Do not include actual pricing in this section (pricing should be provided in Section 6.1 of this RFP).

131. If applicable, list all role-based license types (for example special developer licenses, etc.).

132. Describe Proposer's suite bundling options versus stand-alone modules.

133. Describe any discounts Proposer extends to educational organizations or to state government agencies. Does Proposer have a published price sheet for higher education/state government? Is this what Proposer's proposal is based on?

134. Does Proposer extend terms and discounts negotiated to future purchases for a defined period of time? What is that period of time?

135. Describe any additional licensing required for development, staging, or testing environments, as well as any additional licensing required for disaster recovery support.

136. Describe any special licensing required for administrators or developers.

137. Describe the pricing model for any APIs or integration engines needed to meet integration requirements listed in the functional requirements section.

138. Describe the pricing model for making self-service functionality available to large populations of users.

139. Does Proposer offer subscription-based pricing (such as a SaaS or on-demand model)? If so, describe this pricing structure for SaaS or on-demand models. For example, is the billing per user per month? Do not include actual pricing in this section (pricing should be provided in Section 6.1 of this RFP).

140. Describe the ability to move to and from SaaS and on-premises licensing.

141. Describe Proposer's most basic maintenance package, and summarize the services, deliverables and terms included (for example, bug fixes, patches, service packs and associated services). Describe enhanced maintenance packages available and summarize their features.

142. Is maintenance priced as a percentage of license cost? If so, are maintenance fees based on the discounted license cost or on list prices?

143. Does Proposer offer caps on year-over-year increases in maintenance fees?

144. What percent of Proposer's customers are on maintenance contracts? Describe the average duration of these contracts and the average renewal rate.

145. Does Proposer have a "named" or "concurrent" user license model? Provide details.

146. What is the recommended ratio of users to Concurrent licenses? What is this based on? Provide details.

147. What are Proposer's production server licensing requirements?

148. Does Proposer's solution have a hard "lock out" if concurrent licenses are exceeded? Is there a grace threshold?

149. Does Proposer have a minimum number of licenses that must be purchased? If so, describe the minimum purchase requirement.

150. Does Proposer have a minimum increment in licenses additions? If so, describe the minimum incremental license purchase requirements.

151. Does a license include access to all installed modules? Or are the modules licensed separately?

152. Does Proposer have an enterprise-licensing model? If yes, at what point is it economically better to have an enterprise-licensing model?

Services, Support & Training

153. Describe Proposer's training offerings for software administrators, technical support staff (for example, help desk staff), and end-users and how they are priced.

154. Describe the available support options. Include a description of the support center, staffing levels, and escalation procedures.

155. Describe Proposer's maximum guaranteed response time for an urgent/critical priority (production services are down) support ticket.

156. Describe average turn-around times for support issues, broken down by severity, in Proposer's customer support organization over the past 12 months.

157. What is the average telephone wait time for support calls in Proposer's customer support organization over the past 12 months?

158. Describe the use of internet-based support of the solution including knowledgebase and technician access (online chat).

159. Describe both online and in-person training options (for example, on-demand computer-based training (CBT)).

160. Are there training videos provided? What is the medium?

161. What is the Proposer's expectation for the skills its customer's technical resources must possess to be able to support the software? (for example, Java, JavaScript, Unix sysadmin, etc.)

162. Does Proposer set limits on the number of named persons who can initiate calls for support? If so, what is the limit? Is there a cost to add additional named persons (only "yes" or "no" answer is acceptable)?

163. Does Proposer provide for a source code escrow account that an organization can access in case a company is acquired or a product is discontinued?

164. Briefly describe Proposer firm's professional services offerings.

5.7.5   Proposed Licensing Agreements

Proposer must include a copy of each proposed Software License and Annual Maintenance Agreement for all proposed software, including third party software.

5.7.6   In its proposal, Proposer must indicate whether it will consent to include in the Agreement the "Access by Individuals with Disabilities" language that is set forth in **APPENDIX FIVE, Access by Individuals with Disabilities**. If Proposer objects to the inclusion of the "Access by Individuals with Disabilities" language in the Agreement, Proposer must, as part of its proposal, specifically identify and describe in detail all of the reasons for Proposer's objection. NOTE THAT A GENERAL OBJECTION IS NOT AN ACCEPTABLE RESPONSE TO THIS QUESTION.

5.7.7   In its proposal, Proposer must respond to each item listed in **APPENDIX TEN, Electronic and Information Resources ("EIR") Environment Specifications**. **APPENDIX TEN** will establish specifications, representations, warranties and agreements related to the EIR that Proposer is offering to provide to University. Responses to **APPENDIX TEN** will be incorporated into the Agreement and will be binding on Contractor.

SECTION 6

PRICING AND DELIVERY SCHEDULE

Proposal of: _____

(Proposer Company Name)

To: The University of Texas at Austin

Ref.: IAM Software

RFP No.: 721-1420

Ladies and Gentlemen:

Having carefully examined all the specifications and requirements of this RFP and any attachments thereto, the undersigned proposes to furnish the services required pursuant to the above-referenced Request for Proposal upon the terms quoted below. The University will not accept proposals which include assumptions or exceptions to the work identified in this RFP.

6.1   Cost of Ownership (20%)

The combination of **Section 5.7.4** and **Section 6.1** will be factored into the scoring for "Cost of Ownership" which is 20% of the overall weighting.

Pricing provided below should match Proposer's Grand Total Costs (FY2015-FY2019) as indicated in the submitted Cost Schedule worksheets (ref. **APPENDIX SEVEN**).

Proposed Hosting Model: _____

A. Grand Total for Proposed Hosting Model

$ _____

B. Grand Total, Disaster Recovery Costs (applies to SaaS, Hosted, and Hybrid models only)

$ _____

Total 5 yr cost of ownership

$ _____

6.2 Delivery Schedule of Events and Time Periods

Indicate number of calendar days needed to commence the Services from the execution of the services agreement:

_____ Calendar Days

6.3 University's Payment Terms

University's standard payment terms for services are "Net 30 days." Proposer agrees that University will be entitled to withhold _____ percent (_____%) of the total payment due under the Agreement until after University's acceptance of the final work product. Indicate below the prompt payment discount that Proposer will provide to University:

Prompt Payment Discount: _____%_____days/net 30 days.

Contractor understands and agrees that payments under the Agreement may be subject to the withholding requirements of Section 3402(t) of the Internal Revenue Code.

Respectfully submitted,

Proposer: _____

By: _____
(Authorized Signature for Proposer)

Name: _____

Title: _____

Date: _____

APPENDIX ONE

PROPOSAL REQUIREMENTS

TABLE OF CONTENTS

SECTION 1

GENERAL INFORMATION

1.1   **Purpose**

University is soliciting competitive sealed proposals from Proposers having suitable qualifications and experience providing services in accordance with the terms, conditions and requirements set forth in this RFP. This RFP provides sufficient information for interested parties to prepare and submit proposals for consideration by University.

By submitting a proposal, Proposer certifies that it understands this RFP and has full knowledge of the scope, nature, quality, and quantity of the services to be performed, the detailed requirements of the services to be provided, and the conditions under which such services are to be performed. Proposer also certifies that it understands that all costs relating to preparing a response to this RFP will be the sole responsibility of the Proposer.

PROPOSER IS CAUTIONED TO READ THE INFORMATION CONTAINED IN THIS RFP CAREFULLY AND TO SUBMIT A COMPLETE RESPONSE TO ALL REQUIREMENTS AND QUESTIONS AS DIRECTED.

1.2   **Inquiries and Interpretations**

University may in its sole discretion respond in writing to written inquiries concerning this RFP and mail its response as an Addendum to all parties recorded by University as having received a copy of this RFP. Only University's responses that are made by formal written Addenda will be binding on University. Any verbal responses, written interpretations or clarifications other than Addenda to this RFP will be without legal effect. All Addenda issued by University prior to the Submittal Deadline will be and are hereby incorporated as a part of this RFP for all purposes.

Proposers are required to acknowledge receipt of each Addendum as specified in this Section. The Proposer must acknowledge all Addenda by completing, signing and returning the Addenda Checklist (ref. **Section 4** of **APPENDIX ONE**). The Addenda Checklist must be received by University prior to the Submittal Deadline and should accompany the Proposer's proposal.

Any interested party that receives this RFP by means other than directly from University is responsible for notifying University that it has received an RFP package, and should provide its name, address, telephone number and FAX number to University, so that if University issues Addenda to this RFP or provides written answers to questions, that information can be provided to such party.

1.3   **Public Information**

Proposer is hereby notified that University strictly adheres to all statutes, court decisions and the opinions of the Texas Attorney General with respect to disclosure of public information.

University may seek to protect from disclosure all information submitted in response to this RFP until such time as a final agreement is executed.

Upon execution of a final agreement, University will consider all information, documentation, and other materials requested to be submitted in response to this RFP, to be of a non-confidential and non-proprietary nature and, therefore, subject to public disclosure under the *Texas Public Information Act* (*Government Code*, Chapter 552.001, et seq.). Proposer will be advised of a request for public information that implicates their materials and will have the opportunity to raise any objections to disclosure to the Texas Attorney General. Certain information may be protected from release under Sections 552.101, 552.110, 552.113, and 552.131, *Government Code*.

1.4   **Type of Agreement**

Contractor, if any, will be required to enter into a contract with University in a form substantially similar to the Agreement between University and Contractor (the "**Agreement**") attached to this RFP as **APPENDIX TWO** and incorporated for all purposes.

1.5   **Proposal Evaluation Process**

University will select Contractor by using the competitive sealed proposal process described in this Section. All proposals submitted by the Submittal Deadline accompanied by the number of completed and signed originals that are required by this RFP will be opened publicly to identify the name of each Proposer submitting a proposal. Any proposals that are not submitted by the Submittal Date or that are not accompanied by the number of completed and signed originals that are required by this RFP will be rejected by University as non-responsive due to material failure to comply with advertised specifications. After the opening of the proposals and upon completion of the initial review and evaluation of the proposals, University may invite one or more selected Proposers to participate in oral presentations. University will use commercially reasonable efforts to avoid public disclosure of the contents of a proposal prior to selection of Contractor.

University may make the selection of Contractor on the basis of the proposals initially submitted, without discussion, clarification or modification. In the alternative, University may make the selection of Contractor on the basis of negotiation with any of the Proposers. In conducting such negotiations, University will use commercially reasonable efforts to avoid disclosing the contents of competing proposals.

At University's sole option and discretion, University may discuss and negotiate all elements of the proposals submitted by selected Proposers within a specified competitive range. For purposes of negotiation, University may establish, after an initial review of the proposals, a competitive range of acceptable or potentially acceptable proposals composed of the highest rated proposal(s). In that event, University will defer further action on proposals not included within the competitive range pending the selection of Contractor; provided, however, University reserves the right to include additional proposals in the competitive range if deemed to be in the best interests of University.

After submission of a proposal but before final selection of Contractor is made, University may permit a Proposer to revise its proposal in order to obtain the Proposer's best and final offer. In that event, representations made by Proposer in its revised proposal, including price and fee quotes, will be binding on Proposer. University will provide each Proposer within the competitive range with an equal opportunity for discussion and revision of its proposal. University is not obligated to select the Proposer offering the most attractive economic terms if that Proposer is not the most advantageous to University overall, as determined by University.

University reserves the right to (a) enter into an agreement for all or any portion of the requirements and specifications set forth in this RFP with one or more Proposers, (b) reject any and all proposals and re-solicit proposals, or (c) reject any and all proposals and temporarily or permanently abandon this selection process, if deemed to be in the best interests of University. Proposer is hereby notified that University will maintain in its files concerning this RFP a written record of the basis upon which a selection, if any, is made by University.

1.6   Proposer's Acceptance of Evaluation Methodology

By submitting a proposal, Proposer acknowledges (1) Proposer's acceptance of [a] the Proposal Evaluation Process (ref. **Section 1.5** of **APPENDIX ONE**), [b] the Criteria for Selection (ref. **2.3** of this RFP), [c] the Specifications and Additional Questions (ref. **Section 5** of this RFP), [d] the terms and conditions of the Agreement (ref. **APPENDIX TWO**), and [e] all other requirements and specifications set forth in this RFP; and (2) Proposer's recognition that some subjective judgments must be made by University during this RFP process.

1.7   Solicitation for Proposal and Proposal Preparation Costs

Proposer understands and agrees that (1) this RFP is a solicitation for proposals and University has made no representation written or oral that one or more agreements with University will be awarded under this RFP; (2) University issues this RFP predicated on University's anticipated requirements for the Services, and University has made no representation, written or oral, that any particular scope of services will actually be required by University; and (3) Proposer will bear, as its sole risk and responsibility, any cost that arises from Proposer's preparation of a proposal in response to this RFP.

1.8   Proposal Requirements and General Instructions

1.8.1   Proposer should carefully read the information contained herein and submit a complete proposal in response to all requirements and questions as directed.

1.8.2   Proposals and any other information submitted by Proposer in response to this RFP will become the property of University.

1.8.3   University will not provide compensation to Proposer for any expenses incurred by the Proposer for proposal preparation or for demonstrations or oral presentations that may be made by Proposer. Proposer submits its proposal at its own risk and expense.

1.8.4   Proposals that (i) are qualified with conditional clauses; (ii) alter, modify, or revise this RFP in any way; or (iii) contain irregularities of any kind, are subject to disqualification by University, at University's sole discretion.

1.8.5   Proposals should be prepared simply and economically, providing a straightforward, concise description of Proposer's ability to meet the requirements and specifications of this RFP. Emphasis should be on completeness, clarity of content, and responsiveness to the requirements and specifications of this RFP.

1.8.6   University makes no warranty or guarantee that an award will be made as a result of this RFP. University reserves the right to accept or reject any or all proposals, waive any formalities, procedural requirements, or minor technical inconsistencies, and delete any requirement or specification from this RFP or the Agreement when deemed to be in University's best interest. University reserves the right to seek clarification from any Proposer concerning any item contained in its proposal prior to final selection. Such clarification may be provided by telephone conference or personal meeting with or writing to University, at University's sole discretion. Representations made by Proposer within its proposal will be binding on Proposer.

1.8.7   Any proposal that fails to comply with the requirements contained in this RFP may be rejected by University, in University's sole discretion.

1.9   Preparation and Submittal Instructions

1.9.1   Specifications and Additional Questions

Proposals must include responses to the questions in Specifications and Additional Questions (ref. **Section 5** of this RFP). Proposer should reference the item number and repeat the question in its response. In cases where a question does not apply or if unable to respond, Proposer should refer to the item number, repeat the question, and indicate N/A (Not Applicable) or N/R (No Response), as appropriate. Proposer should explain the reason when responding N/A or N/R.

1.9.2   Execution of Offer

Proposer must complete, sign and return the attached Execution of Offer (ref. **Section 2** of **APPENDIX ONE**) as part of its proposal. The Execution of Offer must be signed by a representative of Proposer duly authorized to bind the Proposer to its proposal. Any proposal received without a completed and signed Execution of Offer may be rejected by University, in its sole discretion.

1.9.3   Pricing and Delivery Schedule

Proposer must complete and return the Pricing and Delivery Schedule (ref. **Section 6** of this RFP), as part of its proposal. In the Pricing and Delivery Schedule, the Proposer should describe in detail (a) the total fees for the entire scope of the Services; and (b) the method by which the fees are calculated. The fees must be inclusive of all associated costs for delivery, labor, insurance, taxes, overhead, and profit.

University will not recognize or accept any charges or fees to perform the Services that are not specifically stated in the Pricing and Delivery Schedule.

In the Pricing and Delivery Schedule, Proposer should describe each significant phase in the process of providing the Services to University, and the time period within which Proposer proposes to be able to complete each such phase.

1.9.4   Proposer's General Questionnaire

Proposals must include responses to the questions in Proposer's General Questionnaire (ref. **Section 3** of **APPENDIX ONE).** Proposer should reference the item number and repeat the question in its response. In cases where a question does not apply or if unable to respond, Proposer should refer to the item number, repeat the question, and indicate N/A (Not Applicable) or N/R (No Response), as appropriate. Proposer should explain the reason when responding N/A or N/R.

1.9.5   Addenda Checklist

Proposer should acknowledge all Addenda to this RFP (if any) by completing, signing and returning the Addenda Checklist (ref. **Section 4** of **APPENDIX ONE**) as part of its proposal. Any proposal received without a completed and signed Addenda Checklist may be rejected by University, in its sole discretion.

1.9.6   Submission

Proposer should submit all proposal materials enclosed in a sealed envelope, box, or container. The RFP No. (ref. **Section 1.3** of this RFP) and the Submittal Deadline (ref. **Section 2.1** of this RFP) should be clearly shown in the lower left-hand corner on the top surface of the container. In addition, the name and the return address of the Proposer should be clearly visible.

Upon Proposer's request and at Proposer's expense, University will return to a Proposer its proposal received after the Submittal Deadline if the proposal is properly identified. University will not under any circumstances consider a proposal that is received after the Submittal Deadline.

University will not accept proposals submitted by telephone, proposals submitted by Facsimile ("**FAX**") transmission, or proposals submitted by electronic transmission (i.e., e-mail) in response to this RFP.

Except as otherwise provided in this RFP, no proposal may be changed, amended, or modified after it has been submitted to University. However, a proposal may be withdrawn and resubmitted at any time prior to the Submittal Deadline. No proposal may be withdrawn after the Submittal Deadline without University's consent, which will be based on Proposer's submittal of a written explanation and documentation evidencing a reason acceptable to University, in University's sole discretion.

By signing the Execution of Offer (ref. **Section 2** of **APPENDIX ONE**) and submitting a proposal, Proposer certifies that any terms, conditions, or documents attached to or referenced in its proposal are applicable to this procurement only to the extent that they (a) do not conflict with the laws of the State of Texas or this RFP and (b) do not place any requirements on University that are not set forth in this RFP or in the Appendices to this RFP. Proposer further certifies that the submission of a proposal is Proposer's good faith intent to enter into the Agreement with University as specified herein and that such intent is not contingent upon University's acceptance or execution of any terms, conditions, or other documents attached to or referenced in Proposer's proposal.

1.9.7   Page Size, Binders, and Dividers

Proposals must be typed on letter-size (8-1/2" x 11") paper, and must be submitted in a binder. Preprinted material should be referenced in the proposal and included as labeled attachments. Sections within a proposal should be divided by tabs for ease of reference.

1.9.8   Table of Contents

Proposals must include a Table of Contents with page number references. The Table of Contents must contain sufficient detail and be organized according to the same format as presented in this RFP, to allow easy reference to the sections of the proposal as well as to any separate attachments (which should be identified in the main Table of Contents). If a Proposer includes supplemental information or non-required attachments with its proposal, this material should be clearly identified in the Table of Contents and organized as a separate section of the proposal.

1.9.9   Pagination

All pages of the proposal should be numbered sequentially in Arabic numerals (1, 2, 3, etc.). Attachments should be numbered or referenced separately.

SECTION 2

EXECUTION OF OFFER

THIS <u>EXECUTION OF OFFER</u> MUST BE COMPLETED, SIGNED AND RETURNED WITH PROPOSER'S PROPOSAL. FAILURE TO COMPLETE, SIGN AND RETURN THIS EXECUTION OF OFFER WITH THE PROPOSER'S PROPOSAL MAY RESULT IN THE REJECTION OF THE PROPOSAL.

2.1 By signature hereon, Proposer represents and warrants the following:

2.1.1 Proposer acknowledges and agrees that (1) this RFP is a solicitation for a proposal and is not a contract or an offer to contract; (2) the submission of a proposal by Proposer in response to this RFP will not create a contract between University and Proposer; (3) University has made no representation or warranty, written or oral, that one or more contracts with University will be awarded under this RFP; and (4) Proposer will bear, as its sole risk and responsibility, any cost arising from Proposer's preparation of a response to this RFP.

2.1.2 Proposer is a reputable company that is lawfully and regularly engaged in providing the Services.

2.1.3 Proposer has the necessary experience, knowledge, abilities, skills, and resources to perform the Services.

2.1.4 Proposer is aware of, is fully informed about, and is in full compliance with all applicable federal, state and local laws, rules, regulations and ordinances.

2.1.5 Proposer understands (i) the requirements and specifications set forth in this RFP and (ii) the terms and conditions set forth in the Agreement under which Proposer will be required to operate.

2.1.6 If selected by University, Proposer will not delegate any of its duties or responsibilities under this RFP or the Agreement to any sub-contractor, except as expressly provided in the Agreement.

2.1.7 If selected by University, Proposer will maintain any insurance coverage as required by the Agreement during the term thereof.

2.1.8 All statements, information and representations prepared and submitted in response to this RFP are current, complete, true and accurate. Proposer acknowledges that University will rely on such statements, information and representations in selecting Contractor. If selected by University, Proposer will notify University immediately of any material change in any matters with regard to which Proposer has made a statement or representation or provided information.

2.1.9 PROPOSER WILL DEFEND WITH COUNSEL APPROVED BY UNIVERSITY, INDEMNIFY, AND HOLD HARMLESS UNIVERSITY, THE UNIVERSITY OF TEXAS SYSTEM, THE STATE OF TEXAS, AND ALL OF THEIR REGENTS, OFFICERS, AGENTS AND EMPLOYEES, FROM AND AGAINST ALL ACTIONS, SUITS, DEMANDS, COSTS, DAMAGES, LIABILITIES AND OTHER CLAIMS OF ANY NATURE, KIND OR DESCRIPTION, INCLUDING REASONABLE ATTORNEYS' FEES INCURRED IN INVESTIGATING, DEFENDING OR SETTLING ANY OF THE FOREGOING, ARISING OUT OF, CONNECTED WITH, OR RESULTING FROM ANY NEGLIGENT ACTS OR OMISSIONS OR WILLFUL MISCONDUCT OF PROPOSER OR ANY AGENT, EMPLOYEE, SUBCONTRACTOR, OR SUPPLIER OF PROPOSER IN THE EXECUTION OR PERFORMANCE OF ANY CONTRACT OR AGREEMENT RESULTING FROM THIS RFP.

2.1.10 Pursuant to Sections 2107.008 and 2252.903, *Government Code*, any payments owing to Proposer under any contract or agreement resulting from this RFP may be applied directly to any debt or delinquency that Proposer owes the State of Texas or any agency of the State of Texas regardless of when it arises, until such debt or delinquency is paid in full.

2.2 By signature hereon, Proposer offers and agrees to furnish the Services to University and comply with all terms, conditions, requirements and specifications set forth in this RFP.

2.3 By signature hereon, Proposer affirms that it has not given or offered to give, nor does Proposer intend to give at any time hereafter, any economic opportunity, future employment, gift, loan, gratuity, special discount, trip, favor or service to a public servant in connection with its submitted proposal. Failure to sign this <u>Execution of Offer</u>, or signing with a false statement, may void the submitted proposal or any resulting contracts, and the Proposer may be removed from all proposal lists at University.

2.4 By signature hereon, Proposer certifies that it is not currently delinquent in the payment of any taxes due under Chapter 171, *Tax Code*, or that Proposer is exempt from the payment of those taxes, or that Proposer is an out-of-state taxable entity that is not subject to those taxes, whichever is applicable. A false certification will be deemed a material breach of any resulting contract or agreement and, at University's option, may result in termination of any resulting contract or agreement.

2.5 By signature hereon, Proposer hereby certifies that neither Proposer nor any firm, corporation, partnership or institution represented by Proposer, or anyone acting for such firm, corporation or institution, has violated the antitrust laws of the State of Texas, codified in Section 15.01, et seq., *Business and Commerce Code*, or the Federal antitrust laws, nor communicated directly or indirectly the proposal made to any competitor or any other person engaged in such line of business.

2.6   By signature hereon, Proposer certifies that the individual signing this document and the documents made a part of this RFP, is authorized to sign such documents on behalf of Proposer and to bind Proposer under any agreements and other contractual arrangements that may result from the submission of Proposer's proposal.

2.7   By signature hereon, Proposer certifies as follows:

"Under Section 231.006, *Family Code,* relating to child support, Proposer certifies that the individual or business entity named in the Proposer's proposal is not ineligible to receive the specified contract award and acknowledges that any agreements or other contractual arrangements resulting from this RFP may be terminated if this certification is inaccurate."

2.8   By signature hereon, Proposer certifies that (i) no relationship, whether by blood, marriage, business association, capital funding agreement or by any other such kinship or connection exists between the owner of any Proposer that is a sole proprietorship, the officers or directors of any Proposer that is a corporation, the partners of any Proposer that is a partnership, the joint venturers of any Proposer that is a joint venture or the members or managers of any Proposer that is a limited liability company, on one hand, and an employee of any component of The University of Texas System, on the other hand, other than the relationships which have been previously disclosed to University in writing; (ii) Proposer has not been an employee of any component institution of The University of Texas System within the immediate twelve (12) months prior to the Submittal Deadline; and (iii) no person who, in the past four (4) years served as an executive of a state agency was involved with or has any interest in Proposer's proposal or any contract resulting from this RFP (ref. Section 669.003, *Government Code*). All disclosures by Proposer in connection with this certification will be subject to administrative review and approval before University enters into a contract or agreement with Proposer.

2.9   By signature hereon, Proposer certifies its compliance with all federal laws and regulations pertaining to Equal Employment Opportunities and Affirmative Action.

2.10   By signature hereon, Proposer represents and warrants that all products and services offered to University in response to this RFP meet or exceed the safety standards established and promulgated under the Federal Occupational Safety and Health Law (Public Law 91-596) and the *Texas Hazard Communication Act*, Chapter 502, *Health and Safety Code*, and all related regulations in effect or proposed as of the date of this RFP.

2.11   Proposer will and has disclosed, as part of its proposal, any exceptions to the certifications stated in this Execution of Offer. All such disclosures will be subject to administrative review and approval prior to the time University makes an award or enters into any contract or agreement with Proposer.

2.12   If Proposer will sell or lease computer equipment to the University under any agreements or other contractual arrangements that may result from the submission of Proposer's proposal then, pursuant to Section 361.965(c), *Health & Safety Code*, Proposer certifies that it is in compliance with the Manufacturer Responsibility and Consumer Convenience Computer Equipment Collection and Recovery Act set forth in Chapter 361, Subchapter Y, *Health & Safety Code* and the rules adopted by the Texas Commission on Environmental Quality under that Act as set forth in Title 30, Chapter 328, Subchapter I, *Texas Administrative Code*. Section 361.952(2), *Health & Safety Code,* states that, for purposes of the Manufacturer Responsibility and Consumer Convenience Computer Equipment Collection and Recovery Act*,* the term "computer equipment" means a desktop or notebook computer and includes a computer monitor or other display device that does not contain a tuner.

2.13   Proposer should complete the following information:

If Proposer is a Corporation, then State of Incorporation: _____

If Proposer is a Corporation then Proposer's Corporate Charter Number: _____

RFP No.: 721-1420 IAM Software

Submitted and Certified By:

_____

(Proposer Institution's Name)

_____

(Signature of Duly Authorized Representative)

_____

(Printed Name/Title)

_____

(Date Signed)

_____

(Proposer's Street Address)

_____

(City, State, Zip Code)

_____

(Telephone Number)

_____

(FAX Number)

_____

(Email Address)

SECTION 3

PROPOSER'S GENERAL QUESTIONNAIRE

NOTICE: With few exceptions, individuals are entitled on request to be informed about the information that governmental bodies of the State of Texas collect about such individuals. Under Sections 552.021 and 552.023, Government Code, individuals are entitled to receive and review such information. Under Section 559.004, Government Code, individuals are entitled to have governmental bodies of the State of Texas correct information about such individuals that is incorrect.

Proposals must include responses to the questions contained in this Proposer's General Questionnaire. Proposer should reference the item number and repeat the question in its response. In cases where a question does not apply or if unable to respond, Proposer should refer to the item number, repeat the question, and indicate N/A (Not Applicable) or N/R (No Response), as appropriate. Proposer will explain the reason when responding N/A or N/R.

3.1   Proposer Profile

3.1.1   Legal name of Proposer Company:

_____

Address of principal place of business:

_____

_____

_____

Address of office that would be providing service under the Agreement:

_____

_____

_____

Number of years in Business: _____

State of incorporation: _____

Number of Employees: _____

Annual Revenues Volume: _____

Name of Parent Corporation, if any _____
NOTE: If Proposer is a subsidiary, University prefers to enter into a contract or agreement with the Parent Corporation or to receive assurances of performance from the Parent Corporation.

3.1.2   State whether Proposer will provide a copy of its financial statements for the past two (2) years, if requested by University.

3.1.3   Proposer will provide a financial rating of the Proposer entity and any related documentation (such as a Dunn and Bradstreet analysis) that indicates the financial stability of Proposer.

3.1.4   Is Proposer currently for sale or involved in any transaction to expand or to become acquired by another business entity? If yes, Proposer will explain the expected impact, both in organizational and directional terms.

3.1.5   Proposer will provide any details of all past or pending litigation or claims filed against Proposer that would affect its performance under an Agreement with University (if any).

3.1.6   Is Proposer currently in default on any loan agreement or financing agreement with any bank, financial institution, or other entity? If yes, Proposer will specify the pertinent date(s), details, circumstances, and describe the current prospects for resolution.

3.1.7   Proposer will provide a customer reference list of no less than three (3) organizations with which Proposer currently has contracts and/or to which Proposer has previously provided services (within the past five (5) years) of a type and scope similar to those required by University's RFP. Proposer will include in its customer reference list the customer's company name, contact person, telephone number, project description, length of business relationship, and background of services provided by Proposer.

3.1.8   Does any relationship exist (whether by family kinship, business association, capital funding agreement, or any other such relationship) between Proposer and any employee of University? If yes, Proposer will explain.

3.1.9   Proposer will provide the name and Social Security Number for each person having at least 25% ownership interest in Proposer. This disclosure is mandatory pursuant to Section 231.006, *Family Code*, and will be used for the purpose of determining whether an owner of Proposer with an ownership interest of at least 25% is more than 30 days delinquent in paying child support. Further disclosure of this information is governed by the *Texas Public Information Act*, Chapter 552, *Government Code*, and other applicable law.

3.2   Approach to Project Services

3.2.1   Proposer will provide a statement of the Proposer's service approach and will describe any unique benefits to University from doing business with Proposer. Proposer will briefly describe its approach for each of the required services identified in **Section 5.3** Scope of Work of this RFP.

3.2.2   Proposer will provide an estimate of the earliest starting date for services following execution of an Agreement.

3.2.3   Proposer will submit a work plan with key dates and milestones. The work plan should include:

3.2.3.1   Identification of tasks to be performed;

3.2.3.2   Time frames to perform the identified tasks;

3.2.3.3   Project management methodology;

3.2.3.4   Implementation strategy; and

3.2.3.5   The expected time frame in which the services would be implemented.

3.2.4   Proposer will describe the types of reports or other written documents Proposer will provide (if any) and the frequency of reporting, if more frequent than required in the RFP. Proposer will include samples of reports and documents if appropriate.

3.3   General Requirements

3.3.1   Proposer will provide summary resumes for its proposed key personnel who will be providing services under the Agreement with University, including their specific experiences with similar service projects, and number of years of employment with Proposer.

3.3.2   Proposer will describe any difficulties it anticipates in performing its duties under the Agreement with University and how Proposer plans to manage these difficulties. Proposer will describe the assistance it will require from University.

3.4   Service Support

Proposer will describe its service support philosophy, how it is implemented, and how Proposer measures its success in maintaining this philosophy.

3.5   Quality Assurance

Proposer will describe its quality assurance program, its quality requirements, and how they are measured.

3.6   Miscellaneous

3.6.1   Proposer will provide a list of any additional services or benefits not otherwise identified in this RFP that Proposer would propose to provide to University. Additional services or benefits must be directly related to the goods and services solicited under this RFP.

3.6.2   Proposer will provide details describing any unique or special services or benefits offered or advantages to be gained by University from doing business with Proposer. Additional services or benefits must be directly related to the goods and services solicited under this RFP.

3.6.3   Does Proposer have a contingency plan or disaster recovery plan in the event of a disaster? If so, then Proposer will provide a copy of the plan.

SECTION 4

ADDENDA CHECKLIST

Proposal of: _____
                    (Proposer Company Name)

To: The University of Texas at Austin

Ref.: IAM Software

RFP No.: 721-1420

Ladies and Gentlemen:

The undersigned Proposer hereby acknowledges receipt of the following Addenda to the captioned RFP (initial if applicable). **Note: If there was only 1 Addendum, initial just the first blank after No. 1, <u>not</u> all 5 blanks below.**

No. 1 _____   No. 2 _____   No. 3 _____   No. 4 _____   No. 5 _____

Respectfully submitted,

Proposer: _____

By: _____
        (Authorized Signature for Proposer)

Name: _____

Title: _____

Date: _____

APPENDIX TWO

SAMPLE AGREEMENT

(SEE SEPARATE ATTACHMENT)

APPENDIX THREE

INSTRUCTIONS for APPENDIX FOUR

Responding to Requirements

Two (2) primary columns (or fields) must be used by the Proposer to respond to detailed requirements in the Requirements Matrix spreadsheet: Solution Support and Extent of Effort. All requirements must have a response in both columns in order to be considered responsive. Proposer shall meet all requirements noted as "Critical", either out-of-the box, with configuration, with customization, or in a future release. The Requirements Matrix spreadsheet also provides a "Vendor Comments" column (or field) to provide comments to clarify the response to each requirement.

The "Solution Support" column identifies how and whether the proposed software supports the requirement. The Proposer's response options are defined in the following table:

Solution Support Responses	Response Definition
Meets OOTB or with configuration	This requirement is met by the base product(s) out-of-the-box (OOTB) or can be met by configuring the base product. In this context, "configuring" means that coding is not required. **Responses of "Meets OOTB or with configuration" in the Support column shall financially obligate the Contractor to provide the functionality through the normal and expected configuration of the IAM Software by a trained, functionally-oriented support person. In addition, for any delays in project schedule that result from requirements represented in APPENDIX FOUR as "Meets OOTB or with configuration," which upon additional discovery are determined not to be "Meets OOTB or with configuration," the Contractor shall be responsible for Contractor and University resource costs associated with delivering required functionality and any delay in the project schedule.**
Meets with customization	This requirement can be met by customized changes to the base product or customized software development apart from the base product's design.
Meets in future release	This requirement will be met in a future release of the software within the next 24 months. Only functionality that has been identified on a roadmap that is officially published and is accessible on the Internet shall be considered when addressing this requirement. A brief identifier/description of the referenced roadmap (including the URL) should be included in the "Vendor Comments" field.

Solution Support Responses	Response Definition
Does Not Meet Requirement	Solution does not meet the requirement, and cannot do so through customization.

The "Extent of Effort" column identifies the amount of time needed to perform any configuration or customization required to enable the proposed software to provide the level of support noted in the "Solution Support" column. The Proposer's response options are defined in the following table:

Extent of Effort Responses	Response Definition
Trivial	No more than 8 work hours of work effort required.
Low	9 to 60 hours of work effort required.
Medium	61 to 160 hours of work effort required.
High	More than 160 hours of work effort required.

APPENDIX FOUR

IAM REQUIREMENTS MATRIX

(EXCEL WORKSHEETS / SEE SEPARATE ATTACHMENT)

APPENDIX FIVE

ACCESS BY INDIVIDUALS WITH DISABILITIES

Access by Individuals with Disabilities. Contractor represents and warrants ("EIR Accessibility Warranty") that the electronic and information resources and all associated information, documentation, and support that it provides to University under this Agreement (collectively, the "EIRs") comply with the applicable requirements set forth in Title 1, Chapter 213, *Texas Administrative Code,* and Title 1, Chapter 206, Rule §206.70 of the *Texas Administrative Code* (as authorized by Chapter 2054, Subchapter M, *Government Code.*) To the extent Contractor becomes aware that the EIRs, or any portion thereof, do not comply with the EIR Accessibility Warranty, then Contractor represents and warrants that it will, at no cost to University, either (1) perform all necessary remediation to make the EIRs satisfy the EIR Accessibility Warranty or (2) replace the EIRs with new EIRs that satisfy the EIR Accessibility Warranty. In the event that Contractor fails or is unable to do so, then University may terminate this Agreement and Contractor will refund to University all amounts University has paid under this Agreement within thirty (30) days after the termination date.

APPENDIX SIX

INSTRUCTIONS FOR COST SCHEDULES

As stated previously in the RFP, Proposers may submit proposals under four (4) acceptable production operating models as follows:

- Software-only model, in which the University is responsible for deploying and operating the solution on its own the hardware and in its own datacenter(s); or
- Software as a Service (SaaS), in which software and hardware are hosted in the cloud through the use of a subscription model; or
- Hosted, in which the hardware and software are maintained off-site by the software provider or a third party; or
- Hybrid, in which the hosting model differs for components of the proposal or the software is operated in a hybrid manner (for example, software that is hosted on-premise but managed by an external software provider).

The format and sections of the submitted Cost Schedules shall conform to the structure outlined below. All Cost Schedules should be submitted in the provided Microsoft Excel spreadsheet template (**APPENDIX SEVEN**). Adherence to this format is necessary in order to permit effective evaluation of proposals. The combination of **Section 5.6.4** and **APPENDIX SEVEN** will be factored into the scoring for "Cost of Ownership" which is 20% of the overall weighting.

The financial evaluation will focus on the total cost of ownership (TCO) to the University. TCO will include the firm costs associated with the proposed operating model, such as software license and maintenance fees, subscription fees, and required hosting costs, as well as estimated additional costs to implement and operate the solution. TCO will be considered over a five (5) year time horizon.

Proposers must clearly document cost-related assumptions on the Assumptions tab of **APPENDIX SEVEN**. Proposers should exercise caution to ensure that cost-related assumptions are consistent with the provisions and requirements of this RFP.

Cost Proposal Structure Outline

Cost Proposal Content Checklist	Description
WORKSHEET TAB 1 – Instructions	Overall instructions on completing the costs and payment schedules for the RFP.
WORKSHEET TAB 2 – Software-only Cost Schedule	Cost schedule which contains costs for implementing Proposer's solutions in a Software-only (on-premise) operating model.
WORKSHEET TAB 3 – Hosted Cost Schedule	Cost schedule which contains costs for implementing Proposer's solutions in a Hosted operating model.
WORKSHEET TAB 4 – SaaS Cost	Cost schedule, which contains costs for implementing Proposer's solutions in a

Cost Proposal Content Checklist	Description
Schedule	SaaS operating model.
WORKSHEET TAB 5 – Hybrid Cost Schedule	Cost schedule, which contains consts for implementing Proposer's solutions in a Hybrid operating model.
WORKSHEET TAB 6 – Disaster Recovery Cost Schedule	Cost schedule which contains costs for implementing Proposer's solutions in a disaster recovery configuration applicable to selected operating model(s). Applies only to Hosted, SaaS, or Hybrid proposals.
WORKSHEET TAB 7 – Payment Schedule	Payment schedule detailing frequency and amounts of payments for proposed solution.
WORKSHEET TAB 8 – Assumptions	Assumptions made by Proposer for completing the cost and payment schedules.

Cost Schedule Instructions

WORKSHEET TAB 1 – Instructions

This tab contains additional instructions for completing cost and payment schedules.

WORKSHEET TAB 2 – Software-only Cost Schedule

Proposers bidding a Software-only operating model should complete this schedule. Hybrid solutions with one or more Software-only components will also complete this worksheet tab. The schedule is comprised of six (6) sections. Specific instructions for each section are provided below.

Section 1 – Software Licensing Costs - This section should list the licensed software product being proposed on the line describing the functionality addressed by that software component. A fixed price for all software to be acquired should be provided. In addition to the software name, each module included in the proposed software should be listed along with the other requested information. If multiple software licensed products are required to address a single functional grouping, then the functional grouping should be repeated for each software component being proposed. An addendum to the Cost Schedule should be included to provide pricing assumptions and information necessary for University personnel to thoroughly understand the proposed pricing. For each license metric being proposed, a clear description must be provided as part of the addendum. If additional software is required to meet the functional requirements in the requirements matrix referenced in **APPENDIX FOUR** of the RFP, such software licensing and annual maintenance costs must be presented as well. The dollar amounts in this section should be considered a firm commitment to provide the software products detailed in **Section 5.6.2** (Software Module Inventory).

Section 2 – Software Annual Maintenance Costs - This section should list the software annual maintenance cost for each software component proposed. An addendum to the Cost Schedule should be included to provide information necessary for University personnel to thoroughly understand the proposed pricing. If the software annual maintenance cost proposed in any fiscal year is for a period of less than 12 months, then the line #, software product, fiscal year, and number of months proposed for that fiscal year, annual cost and proposed cost should be disclosed on the addendum. The dollar amounts in this section should be considered a firm commitment to provide the software products detailed in **Section 5.6.2** (Software Module Inventory).

Section 3 – System Environment Costs Estimate - This section should list estimated costs for deploying and operating the system environments (such as server hardware and operating system software) listed in **Section 5.4** and **Section 5.5** of the RFP. Use the Assumptions tab of this workbook to provide information necessary for University personnel to thoroughly understand these estimated costs. Define the number of hardware, database, and directory instances recommended for your product and solution in each of the environments defined. The dollar amounts in this section should be considered estimates only for the purposes of the University determining a cost of ownership for the proposed solution.

Section 4 – Implementation Staff Costs Estimate - This section should list the types of staff resources and estimated staff hours required to implement the proposed solution. Estimates should be provided in person hours and dollar amounts based on a market-driven hourly rate. The dollar amounts in this section should be considered estimates for the purposes of the University determining a cost of ownership for the proposed solution.

Section 5 – Sustainment Staff Costs Estimate - This section should list the types of staff resources and estimated staff hours required to operate and sustain the proposed solution after it is implemented, including periodic upgrades. Estimates should be provided in person hours and dollar amounts based on a market-driven hourly rate. The dollar amounts in this section should be considered estimates for the purposes of the University determining a cost of ownership for the proposed solution.

Section 6 – Other Costs Estimate – Use this section to list all other costs likely to be incurred for the proposed IAM product and associated solutions, including training, conferences, and other costs related to the proposed solution. For the conferences assume 4 attendees and include conference fees only. For the training, use averages seen at your clients with deployments of similar scale and complexity. The dollar amounts in this section should be considered estimates for the purposes of the University determining a cost of ownership for the proposed solution.

Summary Presentation of Total Cost for Software-only (on-premise) Proposal - This section provides a recap of the Total Costs for Sections 1-6 and provides a Grand Total of all firm and estimated costs. The summary should auto-calculate but please verify that your entries from the above sections carried down properly.

WORKSHEET TAB 3 – Hosted Cost Schedule

Proposers bidding a Hosted-operating model as described above should complete this schedule. The schedule is comprised of eight (8) sections. Hybrid solutions with one or more

Hosted components will also complete this worksheet tab. Specific instructions for each section are provided below.

Section 1 – Software Licensing Cost - This section should list the licensed software product and hosted components being proposed on the line describing the functionality addressed by that software component. A fixed price for all software to be acquired should be provided. In addition to the software name, each module included in the proposed software should be listed along with the other requested information. If multiple software licensed products are required to address a single functional grouping, then the functional grouping should be repeated for each software component being proposed. An addendum to the Cost Schedule should be included to provide pricing assumptions and information necessary for University personnel to thoroughly understand the proposed pricing.   For each license metric being proposed, a clear description must be provided as part of the addendum. If additional software is required to meet the functional requirements in the requirements matrix referenced in **APPENDIX FOUR** of the RFP, such software licensing and annual maintenance costs must be presented as well. <u>The dollar amounts in this section should be considered a firm commitment to provide the software products detailed in **Section 5.6.2** (Software Module Inventory).</u>

Section 2 – Software Annual Maintenance Cost - This section should list the software annual maintenance cost for each software component proposed. An addendum to the Cost Schedule should be included to provide information necessary for University personnel to thoroughly understand the proposed pricing.   If the software annual maintenance cost proposed in any fiscal year is for a period of less than 12 months, then the line #, software product, fiscal year, and number of months proposed for that fiscal year, annual cost and proposed cost should be disclosed on the addendum. <u>The dollar amounts in this section should be considered a firm commitment to provide the software products detailed in **Section 5.6.2** (Software Module Inventory).</u>

Section 3 – System Environment Hosting Cost - This section should list Non-Production and Production Hosting cost components and system environments including the basis for the costs consistent with **Section 5.4 Non-Production Environments** and **Section 5.5 Production Environments**. Use the Assumptions tab of this workbook to provide information necessary for University personnel to thoroughly understand the proposed pricing. <u>The dollar amounts in this section should be considered a firm commitment to provide the hosting services described in this section.</u>

Section 4 – Required Hosting Provider System Provisioning Costs - This section must list the hosting provider hours and dollar amount costs for required for provisioning the proposed system environments (this does not include costs to configure and implement the proposed software solution, which should be listed in **Section 5** on this worksheet tab). Ongoing hosting provider costs to support the IAM solution after implementation should be included in **Section 3** on this worksheet tab. <u>The dollar amounts in this section should be considered a firm commitment to implement the environments in **Section 3** above on this worksheet tab.</u>

Section 5 – Implementation Staff Costs Estimate - This section should list the types of staff resources and estimated staff hours required to configure and implement the proposed solution. Estimates should be provided in person hours and dollar amounts

based on a market-driven hourly rate. <u>The dollar amounts in this section should be considered estimates for the purposes of the University determining a cost of ownership for the proposed solution.</u>

Section 6 – Sustainment Staff Costs Estimate - This section should list the types of staff resources and estimated staff hours required to operate and sustain the proposed solution after it is implemented, including periodic upgrades. Estimates should be provided in person hours and dollar amounts based on a market-driven hourly rate. <u>The dollar amounts in this section should be considered estimates for the purposes of the University determining a cost of ownership for the proposed solution.</u>

Section 7 – Other Costs Estimate - Use this section to list all other costs likely to be incurred for the proposed IAM product and associated solutions, including training, conferences, and other costs related to the proposed solution. For the conferences assume 4 attendees and include conference fees only. For the training, use averages seen at your clients with deployments of similar scale and complexity. <u>The dollar amounts in this section should be considered estimates for the purposes of the University determining a cost of ownership for the proposed solution.</u>

Summary Presentation of Total Cost for Hosted Proposals - This section provides a recap of the Total Costs for Sections 1-7 and provides a Grand Total of all proposed cost. The summary should auto-calculate but please verify that your entries from the above sections carried down properly.

WORKSHEET TAB 4 – SaaS Cost Schedule

Proposers bidding a SaaS operating model as described above should complete this schedule. Hybrid solutions with one or more SaaS components will also complete this worksheet tab. The schedule is comprised of four (4) sections. Specific instructions for each section are provided below.

Section 1 – SaaS Subscription Costs - Proposers must provide the proposed subscription service costs by year for all functionality delivered through a SaaS operating model and as detailed in **Section 5.6.2** (Software Module Inventory). This schedule should reflect all costs including the Non-Production hosting and Production hosting services consistent with **Section 5.4** and **Section 5.5** in the RFP. <u>All required implementation fees that must be paid to the SaaS provider to implement the proposed solution must be included in this section.</u> These costs may be reflected as part of the bundled SaaS software subscription service for the functional grouping reflected in the first three rows or listed on a separate row as a discrete cost categories. An addendum to the SaaS Cost Schedule should be included to provide information necessary for the University personnel to thoroughly understand the proposed pricing. <u>The dollar amounts in this section should be considered a firm commitment to provide the solution detailed in **Section 5.6.2** (Software Module Inventory).</u>

Section 2 – Implementation Staff Costs Estimate - This section should list the types of staff resources and estimated staff hours required to implement the proposed solution. Estimates should be provided in person hours and dollar amounts based on a market-driven hourly rate. <u>The dollar amounts in this section should be considered estimates for the purposes of the University determining a cost of ownership for the proposed solution.</u>

Section 3 – Sustainment Staff Costs Estimate - This section should list the types of staff resources and estimated staff hours required to operate and sustain the proposed solution after it is implemented, including periodic upgrades. Estimates should be provided in person hours and dollar amounts based on a market-driven hourly rate. <u>The dollar amounts in this section should be considered estimates for the purposes of the University determining a cost of ownership for the proposed solution.</u>

Section 4 – Other Costs Estimate - Use this section to list all other costs likely to be incurred for the proposed IAM product and associated solutions, including training, conferences, and other costs related to the proposed solution. For the conferences assume 4 attendees and include conference fees only. For the training, use averages seen at your clients with deployments of similar scale and complexity. <u>The dollar amounts in this section should be considered estimates for the purposes of the University determining a cost of ownership for the proposed solution.</u>

Summary Presentation of Total Cost for SaaS Proposals - This section provides a recap of the Total Costs for Sections 1-4 and provides a Grand Total of all proposed cost. The summary should auto-calculate but please verify that your entries from the above sections carried down properly.

WORKSHEET TAB 5 – Hybrid Cost Schedule

Proposers must complete the sections that are applicable to their Hybrid solution. For example, if the Hybrid proposal includes any SaaS components, the SaaS Subscription Cost section must be completed.

Section 1 – Software Licensing Cost (required for Software-only and Hosted components) - This section should list the licensed software product and hosted components being proposed on the line describing the functionality addressed by that software component. A fixed price for all software to be acquired should be provided. In addition to the software name, each module included in the proposed software should be listed along with the other requested information. If multiple software licensed products are required to address a single functional grouping, then the functional grouping should be repeated for each software component being proposed. An addendum to the Cost Schedule should be included to provide pricing assumptions and information necessary for University personnel to thoroughly understand the proposed pricing. For each license metric being proposed, a clear description must be provided as part of the addendum. If additional software is required to meet the functional requirements in the requirements matrix referenced in **APPENDIX FOUR** of the RFP, such software licensing and annual maintenance costs must be presented as well. <u>The dollar amounts in this section should be considered a firm commitment to provide the software products detailed in **Section 5.6.2** (Software Module Inventory).</u>

Section 2 – Software Annual Maintenance Cost (required for Software-only and Hosted components) - This section should list the software annual maintenance cost for each software component proposed. An addendum to the Cost Schedule should be included to provide information necessary for University personnel to thoroughly understand the proposed pricing. If the software annual maintenance cost proposed in any fiscal year is for a period of less than 12 months, then the line #, software product, fiscal year, and number of months proposed for that fiscal year, annual cost and proposed cost should be disclosed on the addendum. <u>The dollar amounts in this section</u>

should be considered a firm commitment to provide the software products detailed in **Section 5.6.2** (Software Module Inventory).

Section 3 – SaaS Subscription Costs (required for SaaS components) - Proposers must provide the proposed subscription service costs by year for all functionality delivered through a SaaS operating model and as detailed in **Section 5.6.2** (Software Module Inventory). This schedule should reflect all costs including the Non-Production hosting and Production hosting services consistent with **Section 5.4** and **Section 5.5** in the RFP. All required implementation fees that must be paid to the SaaS provider to implement the proposed solution must be included in this section. These costs may be reflected as part of the bundled SaaS software subscription service for the functional grouping reflected in the first three rows or listed on a separate row as a discrete cost categories. An addendum to the SaaS Cost Schedule should be included to provide information necessary for the University personnel to thoroughly understand the proposed pricing. The dollar amounts in this section should be considered a firm commitment to provide the solution detailed in **Section 5.6.2** (Software Module Inventory).

Section 4 – System Environment Hosting Cost (required for Hosted components) - This section should list Non-Production and Production Hosting cost components and system environments including the basis for the costs consistent with **Section 5.4 Non-Production Environments** and **Section 5.5 Production Environments**. Use the Assumptions tab of this workbook to provide information necessary for University personnel to thoroughly understand the proposed pricing. The dollar amounts in this section should be considered a firm commitment to provide the hosting services described in this section.

Section 5 – Required Hosting Provider System Provisioning Costs (required for Hosted components) - This section must list the hosting provider hours and dollar amount costs for required for provisioning the proposed system environments (this does not include costs to configure and implement the proposed software solution, which should be listed in **Section 7** on this worksheet tab). Ongoing hosting provider costs to support the IAM solution after implementation should be included in **Section 4** on this worksheet tab. The dollar amounts in this section should be considered a firm commitment to implement the environments in **Section 4** above on this worksheet tab.

Section 6 – System Environment Costs Estimate (required for Software-only components) - This section should list estimated costs for deploying and operating the system environments (such as server hardware and operating system software) listed in **Section 5.4** and **Section 5.5** of the RFP. Use the Assumptions tab of this workbook to provide information necessary for University personnel to thoroughly understand these estimated costs. Define the number of hardware, database, and directory instances recommended for your product and solution in each of the environments defined. The dollar amounts in this section should be considered estimates only for the purposes of the University determining a cost of ownership for the proposed solution.

Section 7 – Implementation Staff Costs Estimate (required for all components) - This section should list the types of staff resources and estimated staff hours required to configure and implement the proposed solution. Estimates should be provided in person hours and dollar amounts based on a market-driven hourly rate. The dollar amounts in

this section should be considered estimates for the purposes of the University determining a cost of ownership for the proposed solution.

Section 8 – Sustainment Staff Costs Estimate (required for all components) - This section should list the types of staff resources and estimated staff hours required to operate and sustain the proposed solution after it is implemented, including periodic upgrades. Estimates should be provided in person hours and dollar amounts based on a market-driven hourly rate. The dollar amounts in this section should be considered estimates for the purposes of the University determining a cost of ownership for the proposed solution.

Section 9 – Other Costs Estimate (required for all components) - Use this section to list all other costs likely to be incurred for the proposed IAM product and associated solutions, including training, conferences, and other costs related to the proposed solution. For the conferences assume 4 attendees and include conference fees only. For the training, use averages seen at your clients with deployments of similar scale and complexity. The dollar amounts in this section should be considered estimates for the purposes of the University determining a cost of ownership for the proposed solution.

Summary Presentation of Total Cost for Hosted Proposals - This section provides a recap of the Total Costs for Sections 1-9 and provides a Grand Total of all proposed cost. The summary should auto-calculate but please verify that your entries from the above sections carried down properly.

WORKSHEET TAB 6 – Disaster Recovery Cost Schedule (applies only to Hosted, SaaS, and Hybrid proposals)

Provide the disaster recovery cost by year per the delivery model(s) indicated in **APPENDIX EIGHT**. These costs may be reflected as a part of a bundled disaster recovery service or broken out in various categories included in the Proposer's Disaster Recovery model. If costs for disaster recovery are already included in another part of Proposers cost schedule, use "included" in the appropriate boxes. An addendum to the Disaster Recovery Cost Schedule should be included to provide information necessary for University personnel to thoroughly understand the proposed pricing. Additional rows may be added as necessary.

WORKSHEET TAB 7 – Payment Schedule

Proposers should complete the Payment Schedule table to indicate the estimated timing and payment amount for all payments related to the proposed solution. The total payments on the payment schedule should match the Firm Costs Subtotal from the Software-only, Hosted, SaaS, and Hybrid Cost Schedule tabs. (No payment schedule information should be provided for the Estimated Costs from the cost schedule tabs.) Additional rows may be added to the Payment Schedule table as needed.

WORKSHEET TAB 8 – Assumptions

The assumptions tab should be used to document any assumptions that would not be obvious when reviewing the cost schedule relevant to your proposal.

APPENDIX SEVEN

COST SCHEDULE TEMPLATES

(EXCEL WORKSHEETS / SEE SEPARATE ATTACHMENT)

APPENDIX EIGHT

DISASTER RECOVERY OPTIONS

(REQUIRED FOR SAAS, HOSTED, AND HYBRID PROPOSALS ONLY)

Proposer should provide, as a separate attachment, information regarding various disaster recovery ("**DR**") model options for Hosted and SaaS operating models that Proposer offers. Information should include, but not be limited to: multi-tenancy DR considerations, recovery point objective, recovery time objective, performance impact, accuracy of application data and outputs, geographic separation (for traditional DR), etc. Proposer should indicate the specific operating model proposed (i.e. Hosted, SaaS, or Hybrid).

Guidance For Operating Models

In preparation for Proposer's attachment, Proposer should take into account the disaster recovery capabilities presented as core capabilities of the product(s) and solutions proposed versus external DR components and related services. Proposer should delineate between core product functionality and additional external components required to complete the DR model proposal.

Operating Models

Software as a Service (SaaS) – Proposer must provide information applicable to Proposer's multi-tenancy model, DR components, SaaS DR considerations (i.e. Virtual Machines, Data Replication, Security), and levels of subscriptions provided. Proposer should highlight the recommended DR model and associated costs defined in Proposer's cost schedule.

Hosted – Proposer must provide information applicable to Proposer's hosted DR technology components in use, DR testing models available, DR options available, and levels of support provided. Proposer should highlight the recommended DR technology components, DR model, and associated costs defined in Proposer's cost schedule.

Hybrid - Proposer must provide information applicable to Proposer's Hybrid DR technology components in use, Hybrid DR testing models available, Hybrid DR options available, and levels of support provided. Proposer should highlight the recommended DR technology components, DR model, and associated costs defined in Proposer's cost schedule.

Guidance For Cost & Payment Schedules

For pricing purposes, in Proposer's Cost Schedules (ref. **APPENDIX SIX** and **APPENDIX SEVEN**) Proposer will assume a 24-hour DR model will be used. University will review proposals submitted and various DR models and pricing before making a final decision on the actual DR model to be used.

Proposer must list all DR categories and associated cost in "WORKSHEET TAB 5 – Disaster Recovery Cost Schedule" tab of the cost schedule worksheet referenced in **APPENDIX SEVEN**.

APPENDIX NINE

UNIVERSITY IAM USER BASE AND IAM TECHNICAL ENVIRONMENT

The University's central IAM group supports identity management for the entire university community. The University's digital identifier is called the UT EID (UT Electronic Identifier). The EID is used by most departments and colleges to manage their business processes and in the systems that support those processes.

University IAM User Base

For the purposes of this proposal, use the following estimates of people who use the University's systems and assume an annual growth rate of 10% in the total number of EIDs:

- Total EIDs (including Person and Non-Person EIDs): 7.2 million
- Total Person EIDs: 6.1 million
- Total Person EIDs with active authentication accounts: 280,000

Note: "Person EIDs with active authentication accounts" refers to person identities that have had authentication activity in the last 15 months. After 15 months of non-use, the authentication account is locked and is considered "inactive." End users can reactivate an inactive account (either via self-service or by contacting the help desk).

Official university census counts from Fall 2012:

- Total enrolled students: 52,186
- Total Faculty: 3,081
- Total Employees (includes student-employees and faculty): 24,183 (12,208 full-time, 11,975 part-time)

Person EIDs are organized into 3 classes: Member, Affiliate, and Guest:

- Member person identities: 70,000
    - o Members are current students/faculty/staff, and official visitors.

- Affiliate person identities: 860,000
    - o Affiliates are future students/faculty/staff, former students/faculty/staff, university affiliates (for example, contractors), library patrons, and certain extension participants.

- Guest person identities: 5.2 million
    - o Guests include prospective students/faculty/staff, donors, and many other loosely affiliated groups.
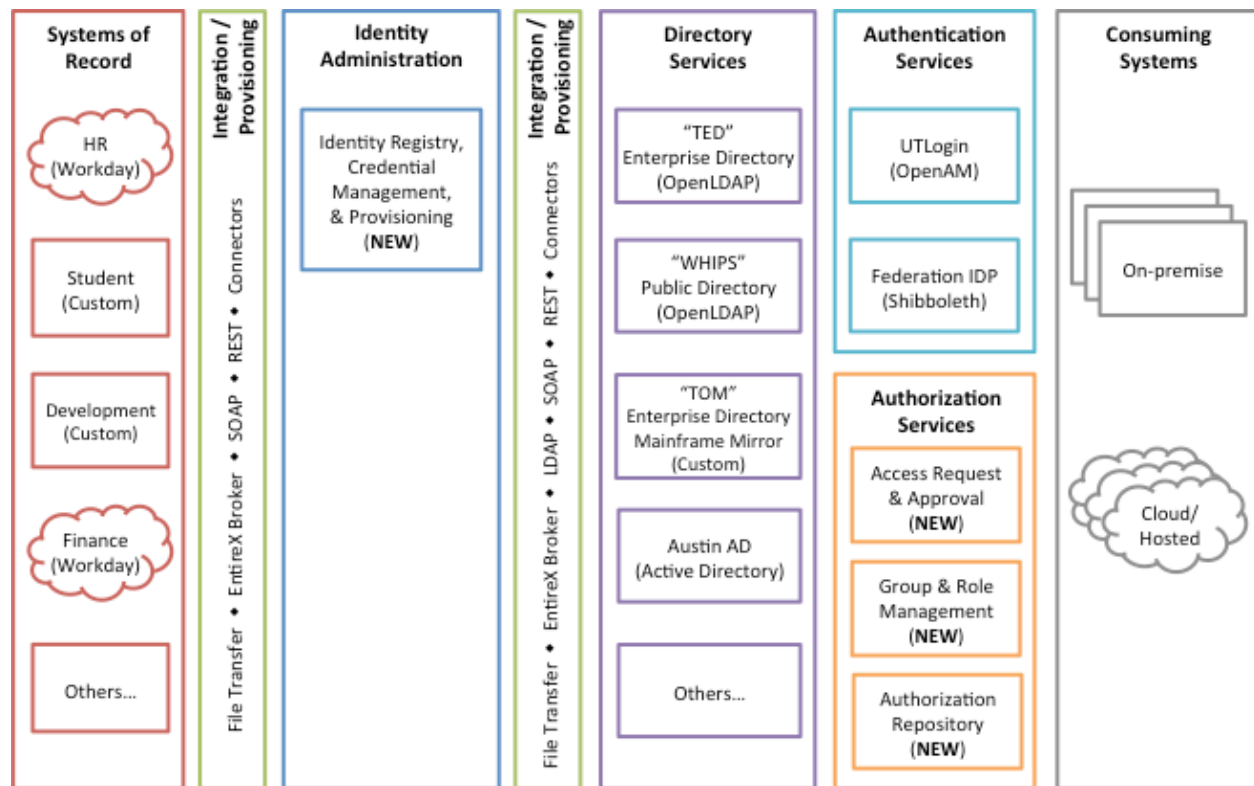
Current & Future IAM Technical Environment

The following diagrams summarize the major components of the University's IAM technical environment in both their current state and their anticipated state in two years.

Current IAM Technical Environment (mid FY 2013-2014)
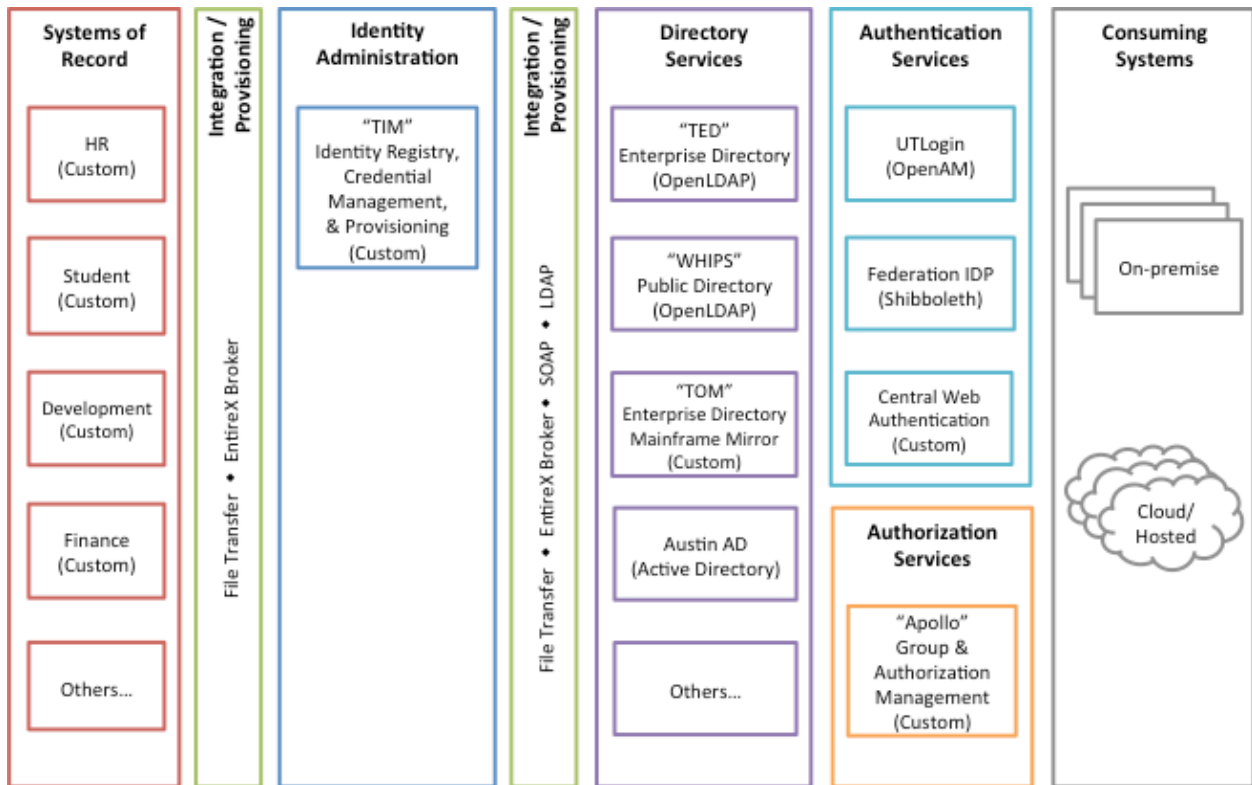
Future IAM Technical Environment (mid FY 2015-2016)

Systems of Record

Currently, the University's major systems of record are custom-built and run within a mainframe environment (with a custom-developed web front-end). The University is in the process of implementing its Administrative Systems Master Plan, which includes the replacement of all major systems of record. The University recently selected Workday, a cloud-based ERP provider, to provide its next generation HR/Payroll and Financial systems and implementation of those systems is expected to begin later in 2014. Selection of replacements for the University's Student Administration, Development (donor management), and other administrative systems will be forthcoming. The University's mainframe computing environment is scheduled for retirement in 2020.

Upstream Integration

Integration between the current Identity Administration system (called the uTexas Identity Manager or "TIM") and the upstream systems of record is accomplished through the use of Software AG's EntireX message broker (also referred to as "Broker") as well as through batch file transfers. In the future IAM environment, upstream integration will occur via a variety of technologies, including RESTful and SOAP-based web services, dedicated connectors, EntireX Broker, and batch file transfers. The replacement of the current upstream integration connections is in scope for this RFP.

Identity Administration

The University's current Identity Administration system, TIM, is a custom-developed Java-based system and uses an Oracle RDBMS data store. TIM includes identity creation and management, credential (password) management, and downstream provisioning functionality. It also includes both self-service and administrative web interfaces. The replacement of TIM and its functionality is in scope for this RFP.

Downstream Integration

Integration between TIM and its downstream target systems is accomplished through a mix of technologies, including LDAP, SOAP, EntireX Broker, and batch file transfers. In the future IAM environment, downstream integration will occur via RESTful and SOAP-based web services, dedicated connectors, LDAP, EntireX Broker, and batch file transfers. The replacement of the current downstream integration connections is in scope for this RFP.

Directory Services

The University maintains a number of centrally managed directory services, including TED, WHIPS, TOM, and Austin AD.

The University's enterprise directory service (called the uTexas Enterprise Directory or "TED") is based on OpenLDAP and contains a consolidated view of all identities managed by TIM, including a rich set of attributes sourced from the University's systems of record. TED contains only the current state of identity attributes (attribute history is maintained in TIM, or in the source system of record). TED is a read-only repository and all updates to TED are orchestrated by TIM.

The University's public directory service (called the "White Pages" or "WHIPS") is based on OpenLDAP and contains a view of public directory information for the University's current students, faculty, and staff. WHIPS is a read-only repository and the data in WHIPS is derived from TED.

To provide the University's mainframe systems with high-performance access to identity information, a mirror of the data in TED is maintained within the mainframe environment in a system called TOM ("TED on the Mainframe"). TOM is a custom-developed system based on Software AG's NATURAL and ADABAS. TOM is a read-only repository and all updates to TOM are orchestrated by TIM. TOM will be retired when the mainframe environment is decommissioned, but must be maintained until then.

The University also maintains a campus Active Directory service, called "Austin Active Directory" or "AAD." TIM provides identity-related information to AAD via web services calls.

Identity data is provided to other campus directory services through batch file transfers.

Replacement of these directory services is not in scope for this RFP. However, the replacement of the data integration points between the new Identity Administration system and the directory services systems is in scope.

Authentication Services

The University is currently in the process of transitioning from its legacy custom-developed web single sign-on (SSO) system, called Central Web Authentication (CWA), to a new SSO system called UTLogin, which based on OpenAM. This transition process is scheduled to be completed in June 2014, at which time CWA will be retired.

The University makes extensive use of SAML-based federated authentication for systems that are hosted off-campus. Shibboleth is used to provide SAML IDP services.

Replacement of these authentication services is not in scope for this RFP.

Authorization Services

The University currently maintains a system called Apollo that provides group and authorization management services for some campus administrative systems. Apollo is mainframe-based and will be retired when the mainframe environment is decommissioned. The University does not currently have central Role-based Access Control capabilities. Group management and role-based authorization management functionality are in scope for this RFP.

Access request and approval processes for University systems, as well as access recertification processes, currently vary by system. The University does not currently have a consolidated Authorization Repository where information about "who has access to what" can be viewed. Access Request and Approval, Access Recertification, and Authorization Repository functionality are in scope for this RFP.

Consuming Systems

The University's systems that consume identity data and services are numerous and diverse. These consuming systems are a mix of custom-developed, open source, and vendor products; run on a variety of technical platforms; and operate in a variety of hosting configurations (including on-premise, remotely hosted, and SaaS).

APPENDIX TEN

ELECTRONIC AND INFORMATION RESOURCES ENVIRONMENT SPECIFICATIONS

The specifications, representations, warranties and agreements set forth in Proposer's responses to this **APPENDIX TEN** will be incorporated into the Agreement.

Basic Specifications

1. If the EIR will be hosted by University, please describe the overall environment requirements for the EIR (size the requirements to support the number of concurrent users, the number of licenses and the input/output generated by the application as requested in the application requirements).
    A. Hardware: If Proposer will provide hardware, does the hardware have multiple hard drives utilizing a redundant RAID configuration for fault tolerance? Are redundant servers included as well?
    B. Operating System and Version:
    C. Web Server: Is a web server required? If so, what web application is required (Apache or IIS)? What version? Are add-ins required?
    D. Application Server:
    E. Database:
    F. Other Requirements: Are any other hardware or software components required?
    G. Assumptions: List any assumptions made as part of the identification of these environment requirements.
    H. Storage: What are the space/storage requirements of this implementation?
    I. Users: What is the maximum number of users this configuration will support?
    J. Clustering: How does the EIR handle clustering over multiple servers?
    K. Virtual Server Environment: Can the EIR be run in a virtual server environment?

2. If the EIR will be hosted by Proposer, describe in detail what the hosted solution includes, and address, specifically, the following issues:
    1. Describe the audit standards of the physical security of the facility; and
    2. Indicate whether Proposer is willing to allow an audit by University or its representative.

3. If the user and administrative interfaces for the EIR are web-based, do the interfaces support Firefox on Mac as well as Windows and Safari on the Macintosh?

4. If the EIR requires special client software, what are the environment requirements for that client software?

5. Manpower Requirements: Who will operate and maintain the EIR? Will additional University full time employees (FTEs) be required? Will special training on the EIR be required by Proposer's technical staff? What is the estimated cost of required training.

6. Upgrades and Patches: Describe Proposer's strategy regarding EIR upgrades and patches for both the server and, if applicable, the client software. Included Proposer's typical release schedule, recommended processes, estimated outage and plans for next version/major upgrade.

Security

1. Has the EIR been tested for application security vulnerabilities? For example, has the EIR been evaluated against the Open Web Application Security Project ("**OWASP**") Top 10 list that includes flaws like cross site scripting and SQL injection? If so, please provide the scan results and specify the tool used. University will not take final delivery of the EIR if University determines there are serious vulnerabilities within the EIR.

2. Which party, Proposer or University, will be responsible for maintaining critical EIR application security updates?

3. If the EIR is hosted, indicate whether Proposer's will permit University to conduct a penetration test on University's instance of the EIR.

4. If confidential data, including HIPAA or FERPA data, is stored in the EIR, will the data be encrypted at rest and in transmittal?

Integration

5. Is the EIR authentication Security Assertion Markup Language ("**SAML**") compliant? Has Proposer ever implemented the EIR with Shibboleth authentication? If not, does the EIR integrate with Active Directory? Does the EIR support SSL connections to this directory service?

6. Does the EIR rely on Active Directory for group management and authorization or does the EIR maintain a local authorization/group database?

7. What logging capabilities does the EIR have? If this is a hosted EIR solution, will University have access to implement logging with University's standard logging and monitoring tools, RSA's Envision?

8. Does the EIR have an application programming interface ("**API**") that enables us to incorporate it with other applications run by the University? If so, is the API .Net based? Web Services-based? Other?

9. Will University have access to the EIR source code? If so, will the EIR license permit University to make modifications to the source code? Will University's modifications be protected in future upgrades?

10. Will Proposer place the EIR source code in escrow with an escrow agent so that if Proposer is no longer in business or Proposer has discontinued support, the EIR source code will be available to University.

Accessibility Information

Please complete the Voluntary Product Accessibility Template ("**VPAT**") found at http://www.itic.org/public-policy/accessibility and submit the VPAT with Proposer's proposal.