

**REQUEST FOR QUOTATION
 THIS IS NOT AN ORDER**

Return Quotes To:

The University of Tennessee
 Purchasing Department
 615 McCallie Ave.
 Chattanooga, TN 37403

Information	
Date:	10/24/2012
RFQ No:	
Collective No:	10042299
Return Quote By:	11/16/2012 1:00 pm EST
Promised Ship Date: (Furnish)	_____
Payment Terms: (Furnish)	_____
FOB UT Dest Unless Otherwise Specified Below	

Buyer:	Charles Scott
Phone:	423-425-4712
Fax:	423-425-5332

Vendor Address

Place the peel off label from New Bid Notice
 Postcard or your company information here.

Item	Quantity	UM	Material/Description	Price Per Unit	Net Amount
------	----------	----	----------------------	----------------	------------

REQUEST FOR PROPOSAL

UTC WILL RECEIVE PROPOSALS:

The University of Tennessee at Chattanooga will receive proposals at the Purchasing Department until the time stated above. Immediately after the proposal closing time, formal proposals (i.e. proposals scheduled for opening prior to 5:00p.m.) will be opened and recorded in the presence of directly interested parties. Faxed proposals will not be accepted.

HAND DELIVER/COURIER DELIVER PROPOSALS TO:

The University of Tennessee at Chattanooga
 Business Services (Purchasing) Department
 103 Administrative Services Building
 400 Palmetto St.
 Chattanooga, TN 37403

MAIL PROPOSALS TO:

The University of Tennessee at Chattanooga
 Purchasing Department
 Dept 4104
 615 McCallie Avenue
 Chattanooga, TN 37403

NOTE: Any potential bidder not otherwise notified by the University of this RFQ/RFP must submit an online INTENT TO BID FORM then enter the company name and address in the Vendor Address space above. The Intent to Bid Form link is found at <http://www.utc.edu/Purchasing> in the Active Requests for Quotation/ Recent Awards section.

NOTICE TO BIDDERS: As an agency of the State of Tennessee there are certain terms and conditions that The University of Tennessee cannot legally accept. BIDS INCLUDING OR REFERENCING TERMS AND CONDITIONS OTHER THAN THOSE REFERENCED BY THE UNIVERSITY IN THIS BID DOCUMENT MAY BE REJECTED.

Include with your proposal any documents, contracts, agreements required by the proposer to complete the transaction. Documents submitted after the award may not be accepted and may be cause for disqualification. Faxed proposals will not be accepted in response to sealed RFQ's

SUBMITTING RFP/RFQ:

1. On the exterior of the envelope containing your bid or proposal include the following information:

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- Collective number
 - Date of opening
 - Time of opening
- (Note: all info found in upper right corner of this document)
- Company name and address
 - Brief Description/Title of the bid or proposal.
 - If required by the RFQ/RFP, supply your TN Contractor License No. and Expiration Date and those of electrical, mechanical, plumbing, geothermal heating and cooling, and masonry subcontractors.

Please quote the following service:

00001	1	YR	Identity Access Management Consulting	_____	_____
-------	---	----	---------------------------------------	-------	-------

Per the referenced documents and the attached specifications.

NOTE: Cost must be submitted in an envelope separating it from the technical portion of the proposal. Any cost data provided in the technical proposal will invalidate the proposal.

SCOPE:

Proposer proposes to furnish all material, labor, equipment, and supervision, and to pay all taxes, penalties, etc., to accomplish the requirement cited herein in compliance with General Proposal Conditions, Special Proposal Conditions, and specifications, included and/or referenced, all of which are made a part hereof.

UTC'S TECHNICAL CONTACT: Michael Dinkins
 (423)425-4507 Michael-Dinkins@utc.edu

UTC'S PURCHASING CONTACT: Charles Scott
 (423) 425-4712 Charles-Scott@utc.edu

QUESTIONS AND INTENT TO BID RESPONSES:

Email all technical questions and the required Intent to Bid Notice to Purchasing@utc.edu (Note the deadlines stated in specifications for questions and intent to bid notice)

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AVAILABILITY/DELIVERY:

Can proposer meet the schedules outlined in this RFP?

___ YES ___ NO.

QUALIFICATIONS OF PROPOSERS:

Proposers must submit with their proposals adequate information to establish their ability to satisfactorily furnish the items on the contract. The University may require of the successful proposer sufficient information to establish financial responsibility; that the proposer has adequate facilities and personnel; plus any other information which may be requested by the University which it deems necessary to establish the successful proposer's ability to perform this work.

AWARD CONSIDERATION:

The University reserves the right to issue any resulting order with the firm whose proposal in the University's judgment most nearly conforms to the University's specifications and will best serve the needs of the University as described herein. The University will consider as factors in the award decision, price, warranty, service, financial capability, compliance with specifications/intent, availability to perform, and other parameters relevant to the University's needs. UTC reserves the right to waive all technicalities in selecting or rejecting any or all proposals which satisfy or fail to satisfy respectively, the University's best interests.

The University further reserves the right to split its requirements for subject items if such represents the best interests of the University.

On occasion, the University may require clarification and explanation from responsive offers during proposal evaluations and analyses. In such events, the University reserves the right to conduct such deliberations and negotiations with any or all proposers to ensure a complete understanding of the University's intent and expectations for the project sought.

ACKNOWLEDGEMENT OF ADDENDUM

In the event that an addendum or bulletin or a supplemental drawing(s) is issued, the proposer must acknowledge receipt of same in his/her proposal.

DECLARATION STATEMENT:

The respondent hereby states that he, his employees, agents, independent contractors and proposed contractors have _____, or have not _____ (please indicate appropriate answer and be specific) been convicted, or either pled guilty or "nolo contendere" to any contract crime. If your response is affirmative, please explain circumstances and the occasion.

Failure to complete this statement shall be cause for your proposal being considered non-responsive to this

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Request for Proposal and subject to rejection.

TENNESSEE LAW:

All vendors must comply with the laws of Tennessee which require such person or entity to be authorized and/or licensed to do business in this state. Applicable statutes may exempt or exclude the successful vendor from requirements that it may be authorized and/or licensed to do business in this state.

Notwithstanding this fact, all matters and disputes arising or to arise under the contract and performance thereof shall be subject to the jurisdiction and process of the courts of the state of Tennessee, including any questions as to liability for taxes, licenses or fees levied by the state or its political subdivisions.

ATTACHMENTS:

Bidder shall be responsible to comply with the referenced or attached documents that are made a part hereof.

1. General Proposal Conditions*
2. Special Proposal Conditions*
3. Specifications (17 pages)

*These documents are found online at <http://www.utc.edu/Administration/Purchasing/>. If you are unable to access these documents, contact UTC Purchasing Department at (423) 425-4461 and hard copies will be provided.

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IF THE BIDDER TAKES EXCEPTION TO ANYTHING IN THE SPECIFICATIONS OR TERMS AND CONDITIONS, THE EXCEPTION MUST BE LISTED BELOW. IF NECESSARY, YOU MAY SUPPLEMENT WITH AN ATTACHEMENT. IF NO EXCEPTIONS ARE TAKEN, WRITE "NONE" IN THE AREA FURNISHED BELOW. IF NO COMMENTS ARE FURNISHED, IT WILL BE ASSUMED THAT NO EXCEPTIONS ARE BEING TAKEN.

CERTIFICATION: MY COMPANY IS CLASSIFIED AS A:

NOTE: It will be assumed that business category is large if no response is furnished.

LARGE BUSINESS _____ SMALL BUSINESS _____ WOMAN OWNED _____ DISABLED VETERAN _____

PLEASE INDICATE BELOW ONLY IF YOUR FIRM IS AT LEAST 51 PERCENT OWNED BY A MEMBER(S) OF THE FOLLOWING GROUPS

AFRICAN AMERICAN _____ HISPANIC AMERICAN _____ ASIAN AMERICAN _____ NATIVE AMERICAN _____

IT IS UNDERSTOOD AND AGREED THAT THIS BID, WHEN CERTIFIED BY AN AUTHORIZED SIGNATURE, SHALL CONSTITUTE AN OFFER WHICH WHEN ACCEPTED IN WRITING BY THE UNIVERSITY'S PURCHASING DEPARTMENT AND SUBJECT TO THE TERMS AND CONDITIONS OF SUCH ACCEPTANCE, WILL CONSTITUTE A VALID AND BINDING CONTRACT BETWEEN THE UNIVERSITY OF TENNESSEE AND THE BIDDER/CONTRACTOR SUBMITTING SUCH OFFERING.

WE OFFER TO SELL TO YOU THE ABOVE MATERIAL(S) OR SERVICES AT THE PRICE AND TERMS SPECIFIED HERON AND IN ACCORDANCE WITH THE UNIVERSITY'S GENERAL AND ANY SPECIAL BID CONDITIONS FURNISHED AND INCORPORATED INTO THIS DOCUMENT. ALL EXCEPTIONS, ALTERNATIVE MATERIALS, OR SPECIFICATIONS IF ANY HAVE BEEN CLEARLY INDICATED. IF YOU HAVE ANY QUESTIONS ABOUT THIS REQUEST FOR QUOTATION, CONTACT THE BUYER AT THE ADDRESS OR TELEPHONE NUMBER SHOWN ABOVE.

WHEN OFFERING A "NO BID", PLEASE INDICATE YOUR REASON(S) BELOW AND RETURN THIS INFORMATION WITH YOUR RESPONSE.

_____ DO NOT HANDLE THIS TYPE EQUIPMENT _____ CANNOT MEET SPECIFICATIONS
 _____ CANNOT MEET REQUIRED DELIVERY _____ MATERIALS NOT AVAILABLE
 _____ OTHER (SPECIFY) _____

IN COMPLIANCE WITH THE REQUIREMENTS OF CHAPTER 878, PUBLIC ACTS OF 2006, THE CONTRACTOR HEREBY ATTESTS THAT THE CONTRACTOR SHALL NOT KNOWINGLY UTILIZE THE SERVICES OF AN ILLEGAL IMMIGRANT IN THE PERFORMANCE OF THIS CONTRACT AND SHALL NOT KNOWINGLY UTILIZE THE SERVICES OF ANY SUBCONTRACTOR WHO WILL UTILIZE THE SERVICES OF AN ILLEGAL IMMIGRANT IN THE PERFORMANCE OF THIS CONTRACT.

ALL FIRMS WISHING TO DO BUSINESS WITH THE UNIVERSITY MUST LIST THEIR FEDERAL TAX ID NO. OR SOCIAL SECURITY NO. (IF INDIVIDUAL) IN THE SPACE PROVIDED:

TAX ID OR SSN: _____

 (Signature)

 (Printed Name and Company Name)

 (Telephone #, Toll free if available)

 (E-Mail Address)

 (Date)

 (Title)

 (FAX #)

 (WEB Site Address)

REQUEST FOR PROPOSAL

GENERAL INFORMATION

Proposal Description

In this Request for Proposals, the University of Tennessee Chattanooga (UTC) wants to contract with a Vendor that can provide expert assistance in the redesign and enhancement of Novell-based identity and access services. We require the assimilation of existing services into the new process and delivery of additional IAM services to support a greater variety of defined user roles at the institution. The new IAM process must provide the flexibility and extensibility required to meet the growing future service requirements of the University of TN Chattanooga.

Qualifications

The University of Tennessee Chattanooga is interested in developing a relationship with a partner who has strong Identity Management Consulting backing with expertise with Novell Identity Management solution in particular. Expertise in the following areas is desired:

- Designing and architecting a large-scale global Identity Management platform
- Ability to work within, or seamlessly transfer information and skills to our on-site Identity Management team.
- Management of complex data flow processes.
- Experience with different supported Operating Systems and how they work with Novell's Identity Management Solution
- Experience with multiple back end databases and how they work with Novell Identity Management Solution.
- eDirectory configuration and replication expertise.
- Experience with Novell Identity Management 3.61 to 4.x upgrades.
- Expertise in Novell Identity Management entitlements, roles and workflows

BACKGROUND INFORMATION

Institutional

The University of Tennessee at Chattanooga (UTC) is located near downtown Chattanooga, Tennessee and is part of the University of Tennessee System. The University has approximately 11,000 students, and 1,500 plus faculty and staff located in 76 campus buildings. The University is projected to expand to 12,500 students over the next three years.

As UTC implements its strategic plan to increase student enrollment to 12,500 students, we must also consider what information technology infrastructure and programs we need to support the recruitment and retention efforts. UTC recognizes that Identity and Access Management (IAM) is the technology that will support the institution to confidently identify the user, allow access to assigned resources, and secure and protect the data in transit between the Application providing the service and the authorized user.

Specific History and Current Information

In the past, UTC considered Identity Management as a subordinate process to be called upon to address specific customer needs as they arose. UTC now recognizes that Identity and Access Management (IAM) technology is central to the authorization process and the assignment and

accessing of university information resources. With an enterprise perspective and new appreciation for the IAM technology, UTC is embarking on a redeployment of its Novell Identity Management system. Currently UTC has a medium-scale, mature Identity Management environment in place today. Our environment is running:

- RedHat Enterprise Linux 64bit
- eDirectory 8.8.7
- BEIS Plugin from Consensus
- Google Driver from Consensus
- We currently have as part of our Novell Academic License Agreement subscription access and use rights to:
 - Novell IdM Meta Directory Engine 4.02;
 - IDM Advanced Edition (IDM Engine, Password Self Service, User Admin, Windows Module, Email Module, Directory Module, Engine Services Module(M-Task, Loopback, Null), Roles Management, Approval workflow system, Self-service resource request;
 - IDM Tools Module (Delimited Text and SOAP drivers);
 - IDM Database Module (JDBC driver (IBM DB2, Informix, Microsoft SQL Server, MySQL, Oracle and Sybase);
 - Access Manager (Not currently being used);
 - Sentinel Log Manager 500 EPS (Will be setup for this project).

At this time UTC has 3 Full-time, experienced systems administrators available to work on this project. We are initially highlighting, but not limiting ourselves to:

- Novell Identity Management vault
- Legacy services processes (e.g. CBORD, Google, Banner, password management)
- Profile Management utilizing Novell UserApplication portal
- Creation of a Sponsor system
- Core resources (e.g. Google, Banner, Luminis, CBORD)
- Authentication (e.g. CAS, LDAP, Active Directory)
- Audit logging

Please refer to *Attachment One, UTC IAM Requirements and Goals* for more background information from our IAM Team discussion.

SCOPE OF WORK AND DELIVERABLES

As part of selecting a supplier with whom we can partner, UTC has identified an initial project for which we desire a quote. We are seeking expert opinion on the data flow processes that we have developed to date and would like to have recommendations for improvements. We would like Vendor review of our overall architecture and assistance in developing and implementing a plan of action for expanded IAM services for the University. UTC expects a firm with proven experience in working with higher education institutions to provide:

1. **Phase One – Build-up Consulting and Technical Support.** Vendor is expected to provide onsite and remote Consulting Services during a “Build-up” phase through June 30, 2013 and assist UTC in reviewing its IAM current system and implementation of an enhanced Novell-based Identity and Access Management service.
 - a. UTC expects the Consultant to conduct an initial Kickoff and Planning meeting with the IAM Team (within 30 days of contract award) in order to review and validate the IAM Team’s assessment currently in progress, gain an understanding of key business drivers and identify IAM and security opportunities. In addition, time will

need to be spent with some of our data center, end user services and web team associates to discuss processes that involve those teams. We require a comprehensive review of UTC's IDM implementation and the establishment and prioritization of a high-level project plan to enhance UTC's Novell Identity Management services. The objective of this effort is to obtain a summary document from an expert Novell IdM partner company that includes the following data:

- System architecture plan.
 - OS and eDirectory enhancements.
 - Problem processes and recommendations.
 - Best path forward for system upgrade project, including a project Plan of Action and Milestones (POAM).
- b. UTC also anticipates additional Consulting and Technical Support services during the January-June 2013 implementation period to achieve UTC's Phase One project goals established in the initial Kickoff and Planning meeting. Consultant should allow for four (4) additional onsite support sessions January-June 2013 and remote support.
2. **Phase Two – Optional Consulting and Technical Support.** Consultant must be able to provide onsite or remote Consulting and Technical Support Services during the optional contract period to achieve goals established in the Phase One Plan of Action and Milestones.
3. **Third Party Requirements.** It is important for UTC to understand what will be required to completely meet the requirements and timeline specified in the following sections. In the initial Phase One Kickoff Meeting or at any point in this project in which system architecture is reviewed, if the Vendor recognizes that UTC does not own a product required to achieve stated goals, the Vendor is expected to supply the name of the product that can meet the need, as well as the interoperability boundaries in which the required product integrates with UTC's system. Also, the Vendor is expected to identify what milestone in the project plan the product will be required to be in service.

PROPOSAL REQUIREMENTS

Executive Summary

Please provide an executive summary of why The University of Tennessee Chattanooga should partner with your firm. The summary should not exceed three pages of text (excluding diagrams) and should address the Qualifications Section of this RFP. The summary should also address any additional points that you think strongly differentiate your services. It must also include an overview of any information you wish to provide in addition to, or expanding upon, the information requested in the supplier profile below.

References

The proposal shall include descriptions of the firm's overall experience in handling projects similar in size to this project. The proposal shall provide summary of most recent projects at least three separate higher education references listing:

- University Name
- Address
- Telephone number
- Contact

Personnel

The Proposer shall identify each member of the consultant's staff who will work on the project, the role each will perform and the hourly rate charged for their services. A resume' that provides background and qualifications of each consultant and onsite technical staff must be provided. UTC requires a single Technical Account Manager/dedicated support individual or Point of Contact; please provide contact information.

UTC reserves the right to determine onsite staffing needs, convert onsite support to remote support, and purchase additional support hours at quoted cost.

Preliminary Work Plan:

Based on the information contained in this RFP, prospective consultants shall prepare a preliminary work plan identifying point by point the specific tasks they have identified as necessary to accomplish the objectives of the University. The plan shall provide a simple step-by-step process the consultant proposes to use for the work.

- Schedule of Consulting Services:** The proposal shall include a preliminary schedule to complete the project. Vendor must reference academic schedule published at www.utc.edu when creating schedule. Services cannot be performed during scheduled closings.
 - Year 1 services for the Phase One - Build-up Consulting and Technical Services ends June 30, 2013. Vendor needs to provide specific number of days for each visit and number of analysts to come with hourly rate to derive fixed price for each visit. UTC requires separate item pricing per hour for offsite telephone/email support.
 - Schedule must include contract options with costs for Consulting Services Year 2 ending June 30, 2014 and Year 3 ending June 30, 2015. UTC prefers vendors quote for "X" number of tickets (or hours) at fixed cost that UTC can expend hours over each period.
- Chronology of Reports:** The proposal shall include a chronology of any project reports that shall be presented to UTC. Vendor must provide a sample report of a similar project in which customer identification information will be removed from the sample report.
- Compensation:** The proposal shall include a fixed price sum for performing the work associated with this project. All travel expenses will be reimbursed at the JTR per diem rates as required by University Policy.

NOTE: Cost must be submitted in an envelope separating it from the technical portion of the proposal. Any cost data provided in the technical proposal will invalidate the proposal.

Below are **example tables** for staffing rates. Submit pricing quotes for your personnel in Year 1 ending 6/30/2013, and contract option years 2 and 3.

2013 STAFF RATES

PERSONNEL	Per Hour	Per 8-hr Day	Per 5-Day Week	Per Year	Remote Per Hr	Remote Per 20 hrs
Project Lead						
Senior Architect						
Senior IAM Engineer						

Summary Table for a typical 5-day engagement:

STAFFING	STAFF COST	TRAVEL COST	TOTAL COST
Senior Architect			
Senior IAM Engineer			

Summary Table for Phase One (KickOff plus 4 additional onsite visits):

STAFFING	STAFF COST	TRAVEL COST	TOTAL COST
Senior Architect			
Senior IAM Engineer			

RFP Submittal Requirements

The Proposed Schedule for Identity Access Management included in this RFP specifies deadlines for several aspects of this process.

1. **Intent to Respond.** Each vendor who intends to submit a proposal for this requirement must notify the UTC Purchasing Department of their intent to submit a proposal by the date indicated in the proposed schedule. Submit notice of intent via e-mail to Purchasing@utc.edu.
2. **Questions.** All questions concerning the specifications of this RFP must be submitted in writing to the e-mail address Purchasing@utc.edu by the deadline specified in the proposed schedule.
3. **Vendor Profile:** Please provide the following information. The information provided will be use strictly as part of the evaluation of the RFP and will not be shared outside the team performing the RFP evaluation. Any questions or concerns regarding this request should be sent to Purchasing@utc.edu

Company Name: _____
 Address: _____
 Telephone: _____ Fax: _____
 Internet Address: _____
 Contact Name: _____

4. **Company Background and Structure**

Ownership: Public _____ or Private _____
 Trading Symbol: _____
 Owned by: _____
 Incorporated in (State): _____
 Structure (Private):
 LLC _____ Subchapter S _____ Partnership _____ Sole Prop. _____
 Company founded in (year): _____
 Number of employees (worldwide): _____
 Number of employees (US): _____

5. **Customers**

Approx. number of customer accounts (worldwide) _____
 Approx. number of customer accounts (US) _____
 Approx. number of customer accounts currently using same services/products as those being
 proposed to our company: _____
 Approx. annual percentage change in customer base: _____

6. Submittal

Each proposer must submit one (1) original and one (1) electronic and five (5) copies of the Proposal to the institution in a sealed package clearly marked and addressed as indicated on the first page of this RFP.

NOTE: Cost information must be in an envelope separating it from the technical portion of the proposal.

PROPOSAL TIMELINE

The following table lists key dates in the RFP process. UTC reserves the right to change these dates in its discretion and will notify suppliers in such case.

Event	Date 2012
University Issues RFP	October 25
Notice of intent to propose from vendors	November 6
Written comments/questions from vendors	November 7
Proposal deadline to respond and opening	November 16
Institution completes Proposal Evaluation and calculates scores	November 21
University posts winning proposer on web and opens RFP files for public inspection	November 28
Award of Contract	December 5

Ownership of Materials

All materials submitted in response to this RFP become the property of The University of Tennessee Chattanooga subject Tennessee Open Records Law. Proposals and supporting materials will not be returned to suppliers.

Proposal Evaluation

Each proposal will be evaluated by committee and scored points in the categories listed on the UTC IAM Consulting Services Evaluation Guide included in this RFP.

Each proposer must enter in the space provided on the Evaluation Guide the page number in their proposal that corresponds to each evaluation section. The final part of the evaluation will be the opening and scoring of the proposals.

Responses will be reviewed by qualified University representatives. Bidders selected after preliminary proposal evaluations may be asked for further information and clarification, and/or to give an oral presentation. Individual interviews may be held with prospective firms, and site visits may be required.

	A	B	C	D
IAM Consulting Services Evaluation				
	PROPOSER NAME			
	EVALUATOR			
	Proposal Page # that meets this Requirement to be added by Proposer	Section A Technical Approach	Max points per line	Points Awarded
1	XX	A.1 The Proposer must address ALL Technical Approach section items and provide, in sequence the information and documentation as required with the associate item reference). A Proposal Evaluation Team , made up of four or more institution employees, will independently evaluate and score the proposal's response to each item. Points Awarded Maximum Section Score 250	XX	XX
2				
3		A.2 The Proposer's understanding of the RFP; i.e. UTC's background, systems interoperability and IAM process challenges, Team efforts to date, Consulting Services needs, and goals.	20	
4				
5		B.3 The Proposer's ability to provide expert onsite and remote IAM Consulting Services assisting UTC including:	20	
6		a.) architectural and process needs assessment/analysis;	25	
7		b.) design of IAM roles, resources and workflows in a Novell environment;	25	
8		c.) developing Profile Management utilizing Novell UserApplication portal;	25	
9		d.) Creation of a Sponsor system	20	
10		e.) replacement of legacy services (e.g. CBORD, Google, Banner, password management);	20	
11		f.) Identification of core resources (e.g. Google, Banner, Luminis, CBORD)	15	
12		g.) Authentication (e.g. CAS, LDAP, Active Directory)	15	
13		h.) addressing Novell Identity Management vault, Novell OS, eDirectory capabilities, and problem processes;	15	
14		i.) Audit logging	15	
15		j.) establishing plan of action to achieve project goals,	15	
16		k.) meeting project timelines.	10	
17		A.4 The Proposer's Phase One onsite consulting schedule ending 6/30/2013.	10	
18				
19		A.5 The Proposer's Phase Two consulting and technical support (for Years 2 and 3)	10	
20				

21		Total Section A Maximum	250	
22				
23				
		Section B Quality & Completeness of proposal to meet RFP Requirements	Max points per line	Points Awarded
24		B.1 Executive Summary on why UTC should choose Proposer	10	
25				
26		B.2 Personnel Resumes	10	
27				
28		B.3 Preliminary Schedule to complete the project.	10	
29				
30		B.4 Review and assessment of IAM Teams' Discovery Documentation and IAM Requirements and Goals.	10	
31				
32		B.5 Providing assistance during Phase One	10	
33				
34		B.6 Interviews with IAM Team, Data Center, Customers, and Web Teams to establish role, resource and IAM Workflow requirements.	10	
35				
36		B.7 Critical Design Review of current IAM implementation, architecture, and workflow.	10	
37				
38		B.8 Modeling and recommendations for new IAM architecture and implementation.	10	
39				
40		B.9 Assisting UTC with IAM Plan of Action and Milestones, and specifying achievable goals for Phase One ending 6/30/2013.	10	
41				
42		B.10 Consulting and Technical Support for Optional Years 2 and 3.	10	
43				
44		Total Section B Maximum	100	
45				
46				
		Section C Demonstrated performance of similar services to at least three institution of higher education	Max points per line	Points Awarded
47	XX	C.1 Provide customer references for three accounts, similar in size and scope of services provided by the Proposer over the past three years as well as a list, if any, of all current contracts with the Institution or other Tennessee institutions of Higher Education. Each Reference must include: The Higher Education Institution and business address, the name, title, and telephone number of the company contact knowledgeable about the project work; and a brief description of the serve provide and the period of services. The cost of services provided.	XX	XX
48				

49		C.2 Evaluation Reference one	34	
50				
51		C.3 Evaluation Reference two	33	
52				
53		C.4 Evaluation Reference three 33	33	
54		Total Section C Maximum	100	
58				
59				
		Section D Vendor Presentation if requested by the University	Max points per line	Points Awarded
60	XX	D.1 Presentation will be requested only of the top finalist if required and will be limited to two hours. Presentation must not be sales presentation, must address the technical requirements and approach vendor will take to respond to all RFP requirements.	XX	XX
61		Total Section D Maximum	100	
62				
63				
64				
		Section E Cost of Services	Max points per line	Points Awarded
65	XX	E.1 The proposed cost and the submitted technical proposal associated with this cost shall remain valid for at least 120 days subsequent to the date of the cost proposal opening and thereafter in accordance with any resulting contract between the Propose and the Institution. All monetary amounts are United States Currency	XX	XX
66				
67		Points will be determined by divided Evaluation Cost Amount being evaluated into the lowest evaluation cost amount from all proposals and multiplying the result by 300 to give score for cost.	300	
68				
69		Total Section F Maximum	300	
70				
71				
		SUMMARY		POINTS AWARDED
		Section A: Technical Approach Maximum	250	
		Section B: Quality and Completeness of proposal to meet RFP requirements Maximum	100	
		Section C: Demonstrated performance of similar services to at least three institutions of higher education maximum	100	
		Section D: Vendor Presentation	100	
		Section E: Cost of services maximum	300	
		Total Points Awarded		

ATTACHMENT ONE

UTC IAM Requirements and Goals

The following describes the University of Tennessee Chattanooga's Identity and Access Management requirements and goals. We recognize that an IAM system is one that is subject to a continual change management process. The success of this project will be measured by properly setting our executive management's expectations and meeting them within the given time constraints. Our IAM Team's goal is to exceed those expectations by incorporating as many of the following IAM features prior to June 30, 2013.

1. Phase One Build-up Requirements: To meet institutional goals we must achieve the following:

- Enhance Novell Identity Management vault
- Replace legacy services on HP3000 (Entity, an in-house custom program)
- Support additional legacy services (e.g. CBORD, Google, Banner, password management)
- Establish Core resources (e.g. Google, Banner, Luminis, CBORD)
- Develop Profile Management utilizing Novell UserApplication portal
- Refine Authentication (e.g. CAS, LDAP, Active Directory)

2. Phase One Build-up Goals: To enhance customer services our IAM Team would like to achieve the following prior to June 30, 2013:

- a. Create a Sponsor system
- b. Audit logging

The following is a set of our IAM Team's comments/questions on our goals without the benefit of expert consultation. During the initial Phase One Kickoff and Planning meeting with the Vendor we will review these with the selected Vendor, and we expect to incorporate these and our consultant's ideas into a Plan of Action and Milestones. Our objective throughout the contract period is to modify, with assistance from the Vendor, our existing Novell Identity Management system and processes so as to implement the best possible IAM system services for the University of Tennessee Chattanooga.

3. Management of Identities, Roles, and Resources

3.1 Identities

UTC must be able to capture a variety of relationships between identities. Our IAM solution must provide native support for identifying the relationships between individuals, or the effort involved in developing this capability. These relationships must include, for example, at least the following:

- Parents of a student
- Supervisor of an employee
- Advisor (derived from Banner SIS) for a student
- Sponsor for a guest

UTC's IAM solution must provide various reports or outputs on the identities stored. This may include, but are not limited to:

- CV/Resume or skills inventory for Faculty and/or employees

- Organizational Chart
- Electronic Directory
- Listing of Employee applicants
- Traditional Transfer and Adult Student Populations

3.1.1 Identity Creation Workflow

- 3.1.1.1 How do we best deal with ephemeral identities, such as student prospects, or job applicants and guest identities?
- 3.1.1.2 We envision having ultimately three sources in the creation of a UTC identity (formatted ABC123): Banner, IRIS (SAP), and Self-Service. Information flow in Banner is bi-directional. We cannot have direct connectivity with the SAP HR system, but we would benefit from IRIS information. The envisioned Self-Service will be uni-directional. What is the minimal set of information required to establish an identity?
- 3.1.1.3 How could we incorporate Self-Service profile management?

3.1.2 Identity Validation

What are the best mechanisms that can be used to help validate an identity? This includes both internal and external processes?

3.1.3 Consistency of Identity across disparate systems

What are the mechanisms that helps achieve consistency of the Identity information across the University's systems, including:

- 3.1.3.1 The authoritative source for identity information for all systems throughout UTC;
- 3.1.3.2 Synchronized identity information across information systems in real time (as updated);
- 3.1.3.3 The prevention and resolution of duplicate identities;
- 3.1.3.4 The tracking of an individual's identity throughout their varying roles at UTC;
- 3.1.3.5 The ability to update, either directly or through another system of record, the identity information of an individual. Then, this information must then propagate appropriately to all necessary systems at UTC.

3.1.4 Administration

- 3.1.4.1 What are UTC's IAM capabilities to set and determine Levels of Assurance, including:
 - In person proofing;
 - Location/department of proofing;
 - Asynchronous proofing for identities.
- 3.1.4.2 We need the capability to identify an individual that may have their identity flagged by Audit, Police, or other investigative units at UTC. Access restrictions may be put in place based on these flags that override typical workflows. In addition, notations should be able to be captured within the system, with access to these notes restricted to certain roles at UTC.
- 3.1.4.3 How does our IAM's capabilities relate to various authentication mechanisms (LDAP, CAS, Active Directory)? Also, how should synchronization of authentication mechanisms across systems occur? The system must have the potential of supporting a variety of authentication mechanisms per identity by role or resource. These

can include both password authentication and two factor authentication (not yet implemented at UTC). If 2FA is to be supported, how and what integration points are available?

3.1.4.4 The solution must allow an individual to self-serve in the creation and maintenance of portions of their identity information.

3.1.5 PII Protections

3.1.5.1 How should the system protect sensitive FERPA-related identity information, such as SSN and Date of Birth, including:

- Any sensitive information used for appropriate government reporting?
- The substitution of sensitive information for a less sensitive identifier in transaction systems?
- The integration with the Data Vault for sensitive information storage?

3.2 Roles

UTC should establish a Role Governance Board with representatives from required functional areas. The Committee reviews and approves recommended roles.

All Role Administration should be handled by the system and allow for delegated administration of role provisioning to the Role Manager(s), including the building of workflow to support role provisioning and de-provisioning. The system must be able to handle multiple roles per identity, as well as dependent roles.

Role management includes work flow in each role change or provisioning. This must include at least the following scenarios:

- A role that is being created by the system must be able to support self-expiration until another action is performed. For example, a Guest must be re-approved by a sponsor; an applicant must renew their application every 6 months; etc.
- A role that is being created by the system must be able to support scheduled role changes. For example, an administrator will be switching departments on July 1, so have the roles automatically switch at that time. A role that includes both a scheduled start time and end date. For example, a contractor that will be starting on July 1, with a scheduled end date of Dec. 31.
- All of these must be able to be overridden by subsequent, authorized changes to an identity's status.

How do we restrict a role and its members to only be viewable by select individuals?

3.2.1 Work flow processing for role change

The IAM solution must be able to provision and de-provision individuals into roles at UTC. We must give consideration to the following requirements:

- By role, allow for the sponsor, individual, supervisor and/or others to be alerted prior to provisioning and/or de-provisioning;
- Allow for an arbitrarily complex work flow to provision individuals into roles;
- Role Manager who is responsible for setting the provisioning and de-provisioning workflow for a particular role.
- Allow the role manager to make exceptions to a role's work flow
- Ensure that the workflow process is timely for all provisions and deprovisions

- Understand that workflow can happen before, during, and after a role's provisioning or de-provisioning

3.2.2 Guest Privileges and Sponsorship

How do we allow for guest access? This must include the following concepts:

- Sponsorship: the guest must be "sponsored" by an existing role at UTC, at least either Faculty, Staff or Student.
- Depending on the sponsor's role, a guest can be sponsored into different types of "Guest". For example, if a Library Staff sponsors, the Guest is also a Library Guest. At no time should a sponsor provision more roles or grant more access than they themselves have access too, nor can they grant a guest access to sensitive data resources without additional workflow.
- Self-provisioning of Identity information. The guest should be able to provide his or her own identity information as part of the guest creation process.

3.2.3 Automatic Provisioning of Additional Roles

How do we address dependent roles, or derivative roles? For example, should an individual have the role of "Network User" only so long as they are in the role of Staff, Faculty, Student or Guest? If they are ever in a state where they are not in any of these roles, they are automatically de-provisioned from the role of "Network User"?

3.3 Resources

3.3.1 Comprehensiveness of Resource Allocation

Whether through automatic or manual workflow, our solution should provide all access management for the University, or the suspension of access. The IAM Team is building an Access Matrix in which the role would be automatically assigned resources. For example:

- Banner Student Information System
- Luminis MocsNet portal
- Blackboard
- Shared Storage solution (Active Directory)
- Network Access provisioning
- CBORD (MocsCard Swipe Access)
- Exchange email and/or MocsMail+ (Google Apps for Education)
- Adding, changing and/or deleting of User IDs for connected resources

3.3.2 Role Based Provisioning

The IAM system should use and enforce, role based provisioning. This provisioning must have at least the following properties:

- Allow for the automatic and immediate provisioning of a resource due to membership in a role or a combination of roles.
- Once a person has been de-provisioned from a role, automatic and immediate de-provisioning of any resources that relied on that role.
- Allow for the systematic provisioning and de-provisioning of roles and associated access throughout an individual's lifecycle at UTC.
- Ensure that a resource is only provisioned to those with appropriate access.

3.3.3 Resource Manager

Resources must have resource managers assigned to them. The resource manager would be responsible for determining what roles or combinations of roles are required. We need to determine the systems capability in enabling the resource manager role.

3.3.4 Data Classification of Resource

Can we have a resource classification system in which we, by a manual or automation process, classify resources by sensitivity? If these resources can be classified, describe additional restrictions that may be placed upon them. Ideally, the solution will support the designation of data at different levels of sensitivity, and allow the UTC Information Security Officer, in coordination with a Sensitive Data Handling Committee, develop additional role restrictions for that resource.

3.3.5 Covered Data Steward

At times, certain offices or persons may require access to certain resources not within their assigned role, and sometimes without a Resource Manager's knowledge or consent. How should we handle this type of exception processing?

4. Work Flow

UTC needs to review its workflow including any exceptions requiring manual management of certain provisioning and de-provisioning of resources. For example:

- Decisions based on identity attributes, or roles previously provisioned.
- Email Generation and/or receipt.
- Web Interface or other end user direct access. Preferably, this would not require a separate client installation.

5. Audit/Reporting

5.1 Reports

In order to effectively audit access across all systems, and whether it has been assigned appropriately, it is important that the following queries/reports be available.

5.1.1 Current State

- 5.1.1.1 All or a selection of attributes/roles that an individual currently has assigned to their identity;;
- 5.1.1.2 All identities that currently possess a particular role or attribute;
- 5.1.1.3 All identities that currently possess both role A and role B;
- 5.1.1.4 All resources that are currently provisioned to a particular role;
- 5.1.1.5 All roles which have a particular resource provisioned to them;
- 5.1.1.6 Who, or what workflow allowed an individual identity to become a particular role?
- 5.1.1.7 What Resources does an individual have access to, and what role has enabled it?
- 5.1.1.8 What individuals have access to a resource, and what role has enabled it?
- 5.1.1.9 What workflow processes currently exist for the provisioning and de-provisioning of a role?

5.1.2 History

- 5.1.2.1 A timeline detailing what roles, and resources an individual has been provisioned and de-provisioned from;

- 5.1.2.2 A timeline detailing what individuals a role has had provisioned and de-provisioned;
- 5.1.2.3 A timeline of what individuals and roles have had access granted or removed from a particular resource;
- 5.1.2.4 What workflow steps (including individuals that authorized) provisioned a particular individual to a role?

6. Logging

How do we export logs to Novell's Sentinel or another log aggregator? At a minimum we should be logging:

- Creation of identities
- Creation of Roles
- Provisioning of an identity to a role
- When certain (flagged) identity attributes are accessed

7. Documentation

The IAM Team, in accordance with the IAM Maturity Model, has full responsibility for ensuring the IAM system is properly documented, including governance, roles, and resources.

8. Technical Requirements

As part of the integration, UTC's system can receive:

- Bulk Data Loads
- Transactional data loads
- Direct Input

9. Security of System

UTC maintains an IDM Vault that provide secure storage and protection of sensitive data elements such as SSN. One area that needs to be fully understood is when a source system generates a less sensitive data element and uses it in place of the sensitive data element for connected systems. We want to make sure this substitution does not adversely impact duplicate resolution.

UTC is subject to regulatory compliance that includes, but not limited to:

- FERPA
- PCI-DSS
- HIPAA

10. Integration Points

The IAM Team needs to be prepared to discuss with a Vendor the following connectors (not a complete list):

- Luminis Portal
- Exchange Email/Calendar
- MocsMail+ (Google Apps for Education)
- Blackboard
- Authentication
 - Active Directory
 - LDAP
 - Central Authentication Services

- Banner Student Information System
- CBORD Odyssey PCS
- IRIS (HR SAP)
- HP3000 Entity
- T2 Parking System

11. General Technical Architecture

For discussion purposes with a vendor, assume 15,000 active users, affiliates (alumni, guests, prospects, etc.)

Be prepared to discuss the hardware (Dell), operating system, Novell applications, drivers, VMware environment (ESXi), storage environment (EMC CX-240), etc.

Ask the Vendor what modeling tools are to be used in determining the appropriate sizing of

12. Statewide Initiatives

Be prepared to discuss with Vendor statewide initiatives such as:

- UT Knoxville Active Directory and LDAP interoperability
- UT efforts with EduROAM
- Federated Systems

Be prepared to discuss a strategy for secure identity information exchange, particularly in the context of inter-institutional transfer, or sharing. This could include the following scenarios

- A student transferring from another university in the University of Tennessee to UTC.
- A student transferring from UTC University to another UT campus.
- In each case, a student's identity information, as well as academic record, should be transferred in a secure manner, ensuring that appropriate business processes are followed.
- A student taking a summer course at University other than their "home" university. Enough identity information (although probably not the full record) should be transferred from their "home" university to allow the student to take the course. The record of their course should be transferred back to their home University.

13. Scenarios

Be prepared to discuss various scenarios with the consultant so that we together have a better understanding of a typical UTC role lifecycle and how workflow and connectors are achieved. An onsite consultant can step through various scenarios with UTC and use topics above for assisting UTC in developing the IAM Plan of Action.

13.1 The Lifecycle of David Tran

Step through David's lifecycle of changing institutional roles, if any; the events, processes, attributes in the directory, and authoritative data sources:

- 13.4.1 David applies to UTC in the Spring and is admitted.
- 13.4.2 David matriculates.
- 13.4.3 He attends Summer Freshman Orientation, gets UTCID, MocsCard, and registers for classes and is assigned residential housing.
- 13.4.4 Arrives on campus in August and starts classes.
- 13.4.5 Becomes a student employee.

- 13.4.6 Moves from residential hall to an apartment off campus.
- 13.4.7 He takes summer classes at UT Knoxville.
- 13.4.8 David changes preferred name from David Tran to David Smith.
- 13.4.9 David moves from his apartment into a house.
- 13.4.10 David's brother abuses David's login privileges and Network Security disables David's account.
- 13.4.11 David graduates and resigns from Student employment.
- 13.4.12 David gets a job in California and becomes an active Alumni.

13.2 Brenda's weekend Guest

Aunt Polly has always wanted to visit UTC for Mom's Weekend, and is coming this year to stay with Brenda, who lives in University Housing. Please follow Aunt Polly through the process.