



TRAVIS COUNTY PURCHASING OFFICE

Cyd V. Grimes, C.P.M., Purchasing Agent

314 W. 11th Street, • Room 400 • Austin, Texas 78701 • (512) 854-9700 • Fax (512) 854-9185

January 05, 2010

Dear Proposers:

You are invited to submit proposals in accordance with the attached specifications packet, Request For Proposal (RFP) #P100003-GM, for an **Identity and Access Management Solution** for the Travis County Information and Telecommunications Systems Department, Austin, Texas. All proposals must be submitted with an **Original and five (5) copies plus one (1) electronic copy on CD or DVD** (preferably in Microsoft® Word/Excel) to the Travis County Purchasing Agent, 314 W. 11th Street, Suite 400, Austin, Texas 78701, no later than **2:00 p.m., Monday, February 1, 2010.**

An **optional** pre-proposal conference is scheduled for 10:00 a.m., Wednesday, January 20, 2010 at Travis County's administrative offices in the Ned Grainger Building, 314 W 11th Street, Commissioners Court Room, Austin, Texas.

FOR ANY INFORMATION RELATED TO THIS RFP, THE PROPOSER MAY ONLY CONTACT CYD GRIMES, PURCHASING AGENT; BONNIE FLOYD, ASSISTANT PURCHASING AGENT; OR GEORGE MONNAT, PURCHASING AGENT ASSISTANT IV. CONTACT WITH ANY OTHER PERSON ASSOCIATED WITH THIS RFP MAY RESULT IN DISQUALIFICATION OF THE PROPOSAL.

NOTE: During this procurement process, potential proposers SHALL NOT contact individual members of the Travis County Commissioners Court regarding this solicitation. Any such contact may result in disqualification of the proposal

All proposals shall be submitted to the Travis County Purchasing Agent in a sealed envelope marked:

**REQUEST FOR PROPOSAL
IDENTITY AND ACCESS MANAGEMENT SOLUTION
RFP # P100003-GM**

DO NOT OPEN IN MAILROOM

Your consideration of this request is appreciated.

Sincerely,
TRAVIS COUNTY PURCHASING OFFICE

Cyd V. Grimes, C.P.M.
Purchasing Agent

CVG:GM
Atch

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**TRAVIS COUNTY
REQUEST FOR PROPOSAL (RFP)
IDENTITY and ACCESS MANAGEMENT
RFP # P100003-GM**

PART I - GENERAL REQUIREMENTS

PART I, SECTION A - GENERAL INFORMATION

1.0 PURPOSE:

The purpose of this Request for Proposal ("RFP") is to solicit competitive proposals for the purchase and implementation of an Identity and Access Management ("IAM") Solution for the Travis County Information and Telecommunications Systems Department ("ITS").

2.0 INCURRED EXPENSES:

There is no expressed or implied obligation for Travis County to reimburse Proposers for any expense incurred in preparing proposals in response to this request, and Travis County will not reimburse anyone for these expenses. Travis County will consider proposals from all responsible Proposers.

3.0 SUBMISSION OF PROPOSAL:

3.1 To be considered, an **Original and five copies plus one electronic copy on CD or DVD** (preferably in Microsoft® Word/Excel) must be received by **Monday, February 1, 2010 at 2:00 p.m.**, in the office of the Purchasing Agent. All proposals must to be addressed to:

**Cyd Grimes, C.P.M.
Travis County Purchasing Agent
314 West 11th Street, Room 400
Austin, Texas 78701**

3.2 The envelope in which the proposal is enclosed must be marked:

**SEALED PROPOSAL
IDENTITY AND ACCESS MANAGEMENT SOLUTION
RFP # P100003-GM**

DO NOT OPEN IN MAILROOM

3.3 Proposals submitted by electronic transmission will not be considered; however, proposals may be modified by electronic transmission if the notice is received prior to the time and date set for the proposal opening and specific proposal prices are not exposed by the modification.

4.0 PRE-PROPOSAL CONFERENCE/SITE SURVEY:

An **optional** pre-proposal conference visit is scheduled for all prospective Proposers as follows:

DATE: January 20, 2010 TIME: 10:00 a.m.

PLACE: Travis County
311 W 11th Street, Commissioners Court Room, 1st Floor
Austin, Texas 78701

- (a) **BY SUBMITTING A PROPOSAL, THE OFFEROR WARRANTS THAT HE/SHE IS FULLY SATISFIED THAT THESE SPECIFICATIONS, AS AMENDED IF APPLICABLE, ACCURATELY DESCRIBE OR INDICATE THAT ALL CONDITIONS, SITE OR OTHERWISE, HAVE BEEN TAKEN INTO ACCOUNT IN DETERMINING THE OFFERED PRICE(S). THERE WILL BE NO INCREASE IN THE CONTRACT PRICE BASED UPON AN OFFEROR'S MISUNDERSTANDING OR LACK OF KNOWLEDGE ABOUT THE INTENT OF THIS SOLICITATION.**
- (b) Proposers are encouraged to attend the pre-proposal conference and make their attendance a matter of record by completing a sign-in roster identifying the prospective Proposer, name, and title of the attending representative.
- (c) The purpose of the pre-proposal conference is to ensure:
 - (i) Proposers have a clear understanding of County needs and gain familiarity with the County locations;
 - (ii) the accuracy of specifications, descriptions, and solicitation terms, conditions, and documents;
 - (iii) Proposers have an opportunity to identify any problems that might hinder or prevent the County from obtaining the proper services or equipment/supplies at a fair and reasonable price, as well as any issues that may inhibit a fair and accurate solicitation or restrict competition.
- (d) Proposers having questions concerning the RFP document shall submit them in writing to the County Purchasing Agent at the address shown on Page 1 of this solicitation. Questions shall be submitted not later than one week preceding the date set for the pre-proposal conference so that appropriate information may be researched and made available during the pre-proposal conference to all concerned.

Any changes resulting from the pre-proposal conference that affect specifications or the scope of work, or that may require an extension to the bid opening date, will be reduced to writing in the form of an amendment to this solicitation. Such amendment will be distributed to all prospective Proposers.

5.0 LATE PROPOSALS OR MODIFICATIONS:

Proposals and modifications received after the time set for the proposal submission will not be considered.

6.0 WITHDRAWAL OF PROPOSALS:

A proposal may not be withdrawn by the Proposer without the permission of Travis County for a period of one hundred and twenty (120) calendar days following the date designated for the receipt of proposals, and Proposers agree to this by submitting a proposal.

7.0 POINTS OF CONTACT:

Information regarding the purchasing process, the contents of this RFP, or questions concerning the technical requirements in Part II may be obtained from George Monnat, Purchasing Agent Assistant IV, Travis County Purchasing Office, Ned Granger Building, Suite 400, Austin, Texas, at telephone (512) 854-9778 or george.monnat@co.travis.tx.us. Reference the RFP number indicated at the top of this page.

8.0 CLARIFICATION OR OBJECTION TO PROPOSAL SPECIFICATION:

If any person contemplating submitting a proposal for this contract is in doubt as to the true meaning of the specifications or other documents or any part thereof, he may submit to the Purchasing Agent on or before TEN (10) DAYS PRIOR to scheduled opening a request for clarification. All such requests shall be made in writing and the person submitting the request will be responsible for its prompt delivery. Any interpretation of the RFP will be made only by RFP Amendment duly issued. A copy of such RFP Amendment will be mailed or delivered to each person receiving a solicitation.

9.0 GENERAL CONDITIONS:

Proposer shall thoroughly examine the specific requirements, schedules, instructions and all other contract documents. Proposals must set forth accurate and complete information as required by this RFP (including attachments). No plea of ignorance by the Proposer of conditions that exist or that may hereafter exist as a result of failure or omission on the part of the Proposer to make the necessary examinations and investigations, or failure to fulfill in every detail the requirements of the contract documents, will be accepted as a basis for varying the requirements of Travis County or the compensation to the Proposer.

By submitting a proposal, the Proposer warrants that he/she is fully satisfied that these specifications, as amended if applicable, accurately describe or indicate that all conditions, site or otherwise, have been taken into account in determining the offered price(s). There will be no increase in the contract price based upon Proposer's misunderstanding or lack of knowledge about the intent of this solicitation.

10.0 ETHICS POLICY:

10.1 County has adopted an Ethics Policy that controls the way in which County contracts with vendors who have entered into certain transactions with persons who are influential in selecting vendors for a particular contract and in determining the terms and conditions of the contract. The persons that the County considers to be influential in this contract are called Key Contracting Persons and are listed in the Exhibit A to the Affidavit at the end of Part I. The transactions that are covered by the Ethics Policy are those that involve the following:

10.1.1 paying or receiving in any calendar year any money or valuable thing which is worth more than \$250 in the aggregate in exchange for personal services or for the purchase of any property or property interest, either real or personal, either legal or equitable; or

10.1.2 loaning or receiving a loan of money; or goods or otherwise creating or having in existence any legal obligation or debt with a value of more than \$250 in the aggregate in a calendar year;

- 10.1.3 but do not include any retail transaction for goods or services sold to a Key Contracting Person at a posted, published, or marked price available to the public.

This policy requires a Proposer to inform Travis County of covered transactions with the Key Contracting Persons that have occurred in the year before they submit their proposals and to swear and submit the affidavit at the end of this section with their proposal. This policy also requires the selected Proposer to inform County of covered transactions with the Key Contracting Persons that occur at any time during the contract. If the selected Proposer does not comply with these information requirements, the selected Proposer must continue to perform the contract and forfeit all of the benefits of the contract as provided in 23.0 of the General Provisions in Part IV.

11.0 HUB PROCUREMENT PROGRAM:

- 11.1 Pursuant to the Travis County Historically Underutilized Business (HUB) Procurement Program, the Travis County Commissioners Court adopted goals for Certified HUB Subcontractor participation with an Overall 3.5% Minority-Owned Business Enterprise (MBE) goal and an Overall 6.2% Women-Owned Business Enterprise (WBE) goal (*Sub-goals: .3% African-American, 2.5% Hispanic, .7% Native/Asian-American*) to be observed by the County in its award of contracts and subcontracts to certified HUBs.
- 11.2 It is the policy of Travis County that HUBs shall have the maximum opportunity to participate in the performance of county contracts and subcontracts. Contractors shall make a "good faith effort" to take all necessary and reasonable steps to ensure HUBs maximum opportunity to participate as subcontractors. Failure by a contractor or subcontractor to carry out the County HUB Procurement Program shall constitute a breach of contract, and after notification of such breach by the Purchasing Agent may result in termination of this contract.
- 11.3 For purposes of HUB participation, Travis County shall count the dollar amount of all firm fixed price/fixed quantity contracts, or the dollar amount of Purchase Orders placed against "Estimated" or "Not to Exceed" contracts.
- 11.4 The following section identifies the specific procedures to be followed with respect to this solicitation for proposals in compliance with the HUB Procurement Program.
- 11.5 **SECTION 1 - HUB PURCHASES**

11.5.1 To be eligible under this program, HUB Proposers and subcontractors must:

11.5.1.1 Be certified as HUB, M/WBE or DBE source by:

- (A) City of Austin Municipal Government,
- (B) Texas Unified Certification Program, or
- (C) Texas Procurement and Support Services (TPASS) program of the Comptroller of Public Accounts

11.5.1.2 Have on file in the Travis County Purchasing Office a proper Bidder's Application.

11.5.1.3 Identify the certifying agency and Item/Service for which is certified.

11.5.1.4 Obtain county approval of all proposed HUB subcontractors through the Purchasing Agent.

11.5.1.5 Complete the HUB Declaration form in this RFP package.

11.5.2 Any third party may challenge a firm's HUB status before or after certification. Such action shall be in writing and submitted to the Purchasing Agent, including all relevant information available. If no merit to the challenge is found, the challenging party will be notified by the Purchasing Agent in writing and the matter will be considered closed. If merit is found, the firm in question will be notified by the Purchasing Agent of the challenge, who made it, and a summary of the allegations. The challenged firm shall be required to submit, within a reasonable period of time, information in support of the firm's HUB status. The Purchasing Agent shall make an evaluation and notify the parties of a proposed determination, citing the basis for the decision, and providing an opportunity for an informal hearing to interested parties and affording an opportunity for a written or personal response. The Purchasing Agent shall make a recommendation to the Commissioners Court for a final determination. The Purchasing Agent shall inform all interested parties of the Commissioners Court's determination and its reasons. A firm's HUB status shall remain accurately certified during the challenging procedure and shall not be changed unless or until a successful challenge is finalized. (See also Par. 8.0, "CLARIFICATION OR OBJECTION TO PROPOSAL REQUIREMENTS" in Part I, General Requirements Section of this RFP.).

PART I, SECTION B -REQUIRED DOCUMENTATION

- 1.0 The following documentation must be submitted with the proposal. Paragraph 2.0 describes documentation that will be used in the evaluation of the Proposer's proposal. Paragraph 3.0 lists other documents that must be submitted. **Please note this Section B may not address all documentation required by this RFP. The Proposer is cautioned to read the entire RFP to determine all requirements. TRAVIS COUNTY RESERVES THE RIGHT TO REJECT A PROPOSAL THAT DOES NOT CONTAIN ALL INFORMATION REQUIRED BY THIS RFP.**
- 2.0 To achieve a uniform review process and to obtain a maximum degree of comparability, Travis County requires that proposals be submitted with a **master (marked "Original") and five copies (marked "Copy") plus one electronic copy on CD or DVD** (preferably in Microsoft® Word/Excel). They are to include the following:
- 2.1 Title Page
- Title page must show the RFP subject; the Proposer's name; the name, address, and telephone number of a contact person; and the date of the proposal.
- 2.2 Transmittal Letter
- Submit a signed letter briefly addressing the Proposer's understanding of the work to be done, the commitment to do the work detailed within this RFP and a statement explaining why the Proposer believes itself to be best qualified to do the required work.
- 2.3 Detailed Proposal
- The detailed proposal must address the ability to provide materials and services for an IAM solution as set forth in Parts II through IV of this RFP. See especially Part I, Section C, Evaluation Factors for information required.
- 2.4 Proposer References
- The Proposer must furnish at least five references of organizations with approximately 4000 users needing credentials to access various internal enterprise applications and approximately 1000 external users accessing various restricted internal applications and approximately 1000 various external casual users accessing web based applications for which the Proposer has provided similar goods or services within the last three years. (The County's preference is that those references would consist of at least one state and/or local government reference and two like organizations with the degrees of users indicated.) These references must include (a) a description of the services and location of the contract and (b) the name, address and telephone number of at least one person that represents the Proposers customer (see Reference Verification Report). Travis County may contact or visit any of the listed customers to evaluate the services proposed in response to this RFP.
- 2.5 Description of Proposer
- The description must include products or services the Proposer is authorized to carry, the number of employees both inside and outside of Travis County, and a description and location of service facilities.

2.6 Proposer Representative

Include the name of the designated individual(s), along with respective telephone numbers, who will be responsible for answering technical, functional, and contractual questions with respect to the proposal.

3.0 Proposer must submit the following documents with the proposal:

3.1 * Ethics Affidavit (including Attachments 1 and Exhibit A to Attachment 1)

3.2* HUB Declaration

3.3* List of Certified HUB Subcontractors

3.4* Reference Verification Report

3.5 Attachment A – Pricing Schedule

3.6 Insurance documentation within ten (10) calendar days after award; and, before beginning work

3.7 Attachment C - Proposer Response - Technical Requirements Questionnaire

3.8 All other information required in this RFP

* These documents are included as attachments to this Part I, Section B.

NOTE: FAILURE TO PROVIDE ALL INFORMATION REQUESTED MAY RESULT IN DISQUALIFICATION OF THE PROPOSAL.

ATTACHMENT 1
ETHICS AFFIDAVIT

STATE OF TEXAS }
COUNTY OF TRAVIS }

Date: _____
Name of Affiant: _____
Title of Affiant: _____
Business Name of Proposer: _____
County of Proposer: _____

Affiant on oath swears that the following statements are true:

- 1. Affiant is authorized by Proposer to make this affidavit for Proposer.
- 2. Affiant is fully aware of the facts stated in this affidavit.
- 3. Affiant can read the English language.
- 4. Proposer has received the list of Key Contracting Persons associated with this solicitation which is attached to this affidavit as Exhibit "A".
- 5. Affiant has personally read Exhibit "A" to this Affidavit.
- 6. Affiant has no knowledge of any Key Contracting Person on Exhibit "A" with whom Proposer is doing business or has done business during the 365 day period immediately before the date of this affidavit whose name is not disclosed in the disclosure form below.

Signature of Affiant

Address

SUBSCRIBED AND SWORN TO before me by _____ on _____, 2009.

Notary Public, State of

Typed or printed name of notary

My commission expires: _____

EXHIBIT A to ATTACHMENT 1
LIST OF KEY CONTRACTING PERSONS
January 6, 2010

Position Held	Name of Individual Holding Office/Position	Name of Business Individual is Associated
County Judge....	Samuel T. Biscoe	
County Judge (Spouse) ...	Donalyn Thompson-Biscoe.....	MHMR
Executive Assistant	Cheryl Brown	
Executive Assistant	Nicole Grant	
Executive Assistant	Melissa Velasquez	
Executive Assistant	Josie Z. Zavala	
Commissioner, Precinct 1	Ron Davis	
Commissioner, Precinct 1 (Spouse).....	Annie Davis.....	Seton Hospital
Executive Assistant	Chris Fanuel	
Executive Assistant	Felicitas Chavez	
Commissioner, Precinct 2	Sarah Eckhardt	
Commissioner, Precinct 2 (Spouse).....	Kurt Sauer	Daffer McDonald, LLP
Executive Assistant	Loretta Farb	
Executive Assistant	Joe Hon*	
Executive Assistant	Peter Einhorn	
Commissioner, Precinct 3	Karen Huber	
Commissioner, Precinct 3 (Spouse).....	Leonard Huber....	Retired
Executive Assistant	Garry Brown	
Executive Assistant	Kelly Darby	
Commissioner, Precinct 4	Margaret Gomez	
Executive Assistant	Edith Moreida	
Executive Assistant	Norma Guerra	
Special Assistant to Comm. Court	Christian Smith*	
County Treasurer	Dolores Ortega-Carter	
County Auditor	Susan Spataro	
Executive Manager, Administrative	Vacant	
Executive Manager, Budget & Planning.....	Rodney Rhoades	
Exec Manager, Emergency Services.....	Danny Hobby	
Exec. Manager, Health/Human Services.....	Sherri E. Fleming	
Executive Manager, TNR	Joseph Gieselman	
Executive Manager, Criminal Justice Planning.....	Roger Jeffries	
Travis County Attorney	David Escamilla	
First Assistant County Attorney ..	Steve Capelle*	
Executive Assistant, Civil Division	Jim Collins	
Director, Transactions Division ...	John Hille	
Attorney, Transactions Division... ..	Tamara Armstrong	
Attorney, Transactions Division... ..	Daniel Bradford	
Attorney, Transactions Division... ..	Mary Etta Gerhardt	
Attorney, Transactions Division... ..	Barbara Wilson	
Attorney, Transactions Division... ..	Jim Connolly	
Attorney, Transactions Division... ..	Tenley Aldredge	
Attorney, Transactions Division... ..	Julie Joe	
Attorney, Transactions Division... ..	Christopher Gilmore	
Attorney, Transactions Division... ..	Beth Devery*	
Attorney, Transactions Division... ..	Sarah Churchill	
Purchasing Agent	Cyd Grimes, C.P.M.	
Assistant Purchasing Agent	Marvin Brice, CPPB	
Assistant Purchasing Agent.....	Bonnie Floyd, CPPO, CPPB, CTPM	
Purchasing Agent Assistant IV.....	Diana Gonzalez	
Purchasing Agent Assistant IV.....	Lee Perry	
Purchasing Agent Assistant IV.....	Jason Walker	
Purchasing Agent Assistant IV.....	Richard Villareal	
Purchasing Agent Assistant IV.....	Oralia Jones, CPPB	
Purchasing Agent Assistant IV.....	Lori Clyde, CPPB	

Purchasing Agent Assistant IV..... Scott Wilson
 Purchasing Agent Assistant IV..... Jorge Talavera, CPPB
 Purchasing Agent Assistant IV..... George R. Monnat, C.P.M., A.P.P.*
 Purchasing Agent Assistant III..... Vania Ramaekers, CPPB
 Purchasing Agent Assistant III..... David Walch*
 Purchasing Agent Assistant III..... Michael Long, CPPB
 Purchasing Agent Assistant III..... Vacant
 Purchasing Agent Assistant III..... Rosalinda Garcia
 Purchasing Agent Assistant III..... Loren Breland
 Purchasing Agent Assistant II..... Donald E. Rollack
 Purchasing Agent Assistant II..... Nancy Barchus, CPPB
 HUB Coordinator Sylvia Lopez
 HUB Specialist... Betty Chapa
 HUB Specialist... Jerome Guerrero
 Purchasing Business Analyst Scott Worthington
 CIO, Information & Telecomms Systems (“ITS”). Joseph Harlow, Jr.
 Operations Div Mgr, System Networks, ITS Walter LaGrone
 Information Security Manager, ITS Patrick (“Shannon”) Clyde
 Project Manager I, ITS..... Tanya Acevedo
 System Architect I, ITS John Stark
 Systems Engineer III, ITS. Patrick Kutac
 Business Analyst III, Sheriffs Office. Heather Farrell
 IT Department Div Manager, County Clerk’s Office ..Robert Trautman
 Business Consultant I, District Attorney’s Office Kenneth Evans
 Chief Assistant County Auditor, II, Auditor’s Office..Christina Adair
 Database Architect, Auditor’s Office Matthew Jezewski
 Project Manager III, Auditor’s Office Lawrence Koch
 Financial Auditor/Analyst VI..... Viktoria Hagedorn
 Project Manager, Consulting..... Cathy A. Hood.... Burton Group

FORMER EMPLOYEES

Position Held	Name of Individual Holding Office/Position	Date of Expiration
First Assistant County Attorney	Randy Leavitt.....	01/23/10
Attorney, Transactions Division.....	Stacy Wilson	07/06/10
Executive Manager, Administrative	Alicia Perez.....	09/01/10
Purchasing Agent Assistant III.....	Rebecca Gardner	12/28/10

* - Identifies employees who have been in that position less than a year.

HISTORICALLY UNDERUTILIZED BUSINESS (HUB) DECLARATION

The primary objective of the Travis County HUB Program is to ensure Historically Underutilized Businesses receive a fair and equal opportunity for participation in the County's procurement process. This fact holds true for Services (Professional & Non-professional), Commodities, and Construction contracts and any subcontracts thereto. The program strongly encourages Prime Contractors to provide subcontracting opportunities to **Certified HUB Contractors/Vendors**.

It is the policy of the Travis County Purchasing Office to ensure a good faith effort is made to assist Certified HUB vendors and contractors in receiving contracts in accordance with the HUB Program policies and the Minority and Woman-Owned Business goals adopted by the Travis County Commissioners Court. Our goals for HUB contractor/vendor participation, as well as HUB subcontractor participation, in the area of **COMMODITIES** are as follows:

Overall MBE Goal: 3.5%; Sub-goals: 0.3% African-American, 2.5% Hispanic, .7% Native/Asian American, **Overall WBE Goal: 6.2%**

To be considered as a "Certified HUB Contractor/Vendor" the contractor/vendor must have been certified by, and hold a current and valid certification, with any of the three agencies listed below. Please attach copy of certificate.

Vendor/Contractor: _____

Certified as a HUB or an MBE/WBE/DBE source: ☐ Yes ☐ No HUB Status (Gender & Ethnicity): _____

If yes, by whom: ☐ St. of Tx. Comptroller of Public Accounts ☐ City of Austin ☐ Texas Unified Certification Program

SUGGESTED DATABASE DIRECTORIES TO VIEW WHEN SOLICITING HUB SUBCONTRACTORS
State: <http://www.cpa.state.tx.us/procurment/cmb/cmbhub.html>; City: www.ci.austin.tx.us/smb/#howdoes; TUCP:
www.dot.state.tx.us/business/tucpinfo.htm

LIST OF CERTIFIED HUB SUBCONTRACTORS
(DUPLICATE AS NECESSARY)

What percentage of the Bid or Proposal is to be subcontracted with Certified HUB sources: _____% (List HUB Subcontractor information below).

HUB Subcontractor Name: _____ HUB Status (Gender & Ethnicity): _____

Certifying Agency (Check all applicable): ☐ St. of Tx. Comptroller of Public Accts. ☐ City of Austin ☐ Texas Unified Certification Program

Address: _____ City: _____ State: _____ Zip: _____

Contact Person: _____ Title: _____ Phone No.: () _____

Subcontract Amount: \$ _____ Description of Work to be Performed: _____

HUB Subcontractor Name: _____ HUB Status (Gender & Ethnicity): _____

Certifying Agency (Check all applicable): ☐ St. of Tx. Comptroller of Public Accts. ☐ City of Austin ☐ Texas Unified Certification Program

Address: _____ City: _____ State: _____ Zip: _____

Contact Person: _____ Title: _____ Phone No.: () _____

Subcontract Amount: \$ _____ Description of Work to be Performed: _____

HUB Subcontractor Name: _____ HUB Status (Gender & Ethnicity): _____

Certifying Agency (Check all applicable): ☐ St. of Tx. Comptroller of Public Accts. ☐ City of Austin ☐ Texas Unified Certification Program

Address: _____ City: _____ State: _____ Zip: _____

Contact Person: _____ Title: _____ Phone No.: () _____

Subcontract Amount: \$ _____ Description of Work to be Performed: _____

REFERENCES VERIFICATION REPORT
(Must be submitted with proposal)

The References Verification Report is to be completed by Proposers submitting a proposal for providing an Identity and Access Management Solution and is a required part of the proposal package. Please respond to all fields listed on the form. Additional pages may be added if more space is required. At the County's discretion, an incomplete form may be justification for rejection of a proposal. The information provided may be verified prior to award.

1.1 Company Name: _____

Address: _____

City/State/Zip: _____

Phone: _____ Fax: _____

Contact Person: _____

Title: _____

Description of Scope of Work: _____

Location of Service: _____

Date of Service: _____

1.2 Company Name: _____

Address: _____

City/State/Zip: _____

Phone: _____ Fax: _____

Contact Person: _____

Title: _____

Description of Scope of Work: _____

Location of Service: _____

Date of Service: _____

REFERENCES VERIFICATION REPORT continued**(Must be submitted with proposal)**

1.3 Company Name: _____
Address: _____
City/State/Zip: _____
Phone: _____ Fax: _____
Contact Person: _____
Title: _____
Description of Scope of Work: _____

Location of Service: _____
Date of Service: _____

1.4 Company Name: _____
Address: _____
City/State/Zip: _____
Phone: _____ Fax: _____
Contact Person: _____
Title: _____
Description of Scope of Work: _____

Location of Service: _____
Date of Service: _____

REFERENCES VERIFICATION REPORT continued

(Must be submitted with proposal)

1.5 Company Name: _____
 Address: _____
 City/State/Zip: _____
 Phone: _____ Fax: _____
 Contact Person: _____
 Title: _____
 Description of Scope of Work: _____

 Location of Service: _____
 Date of Service: _____

PART I, SECTION C - ADDITIONAL INFORMATION**1.0 OBJECTIVE:**

Travis County is seeking a qualified vendor to provide and maintain an Identity and Access Management Solution for Travis County located in Austin, Texas.

2.0 PRE-AWARD SURVEY:

After proposal opening and prior to award, County reserves the right to make a pre-award survey of Proposer's facilities and equipment to be used in the performance of this work. Proposer agrees to allow all reasonable requests for inspection of such facilities with two (2) business days advance notice. Failure to allow an inspection shall be cause for rejection of proposal as non-responsive. County reserves the right to reject facilities or equipment as unacceptable for performance as a result of the pre-award survey.

3.0 PROPOSAL DISCLOSURE:

Proposals will be opened so as to avoid disclosure of the contents to competing Proposers. Proposals will be kept secret during the process of negotiation. However, all proposals will be open for public inspection after award. If identified by the Proposer, County will make reasonable efforts to protect information that qualifies as trade secrets and/or confidential information under the Texas Public Information Act.

4.0 SELECTION CRITERIA/EVALUATION FACTORS:

Travis County will consider several evaluation factors, of which price is only one of many. Proposers may offer/propose solutions which meet the "spirit" of the listed requirements, but should note that only the proposed solution/service that meets or most closely meets all of the specifications will be recommended for award.

The selection process will be based on the responses to this RFP, and any interviews required in order to verify the ability of Proposer to provide the services/products proposed in response to this document, along with reference checks. Evaluation factors and associated point values are listed in order of importance in Table 1, below.

Table 1 **EVALUATION FACTORS** **WEIGHT**

Quality of Proposed Product Solution – Product solutions for: • Account Management – Creating, deleting, and removing user accounts; enforcing naming policies on new account creation • Attribute Synchronization -- Ensuring that attributes on an account are accurate and consistent across applications, registries, and repositories • Identity Life Cycle Management – ○ Ensuring that attributes on an account are accurate and consistent across applications, registries, and repositories ○ Configuring group and role membership and entitlements; setting up data for rules processing and workflow engine to gain appropriate approvals prior to provisioning activities • Access Management –Ability of Proposer to customize the product solution for Access management • SSO – Enabling sign-on to multiple applications based on a single authentication event, including across federated domains • Credential Management – Credential issuance, password synchronization, password reset, token provisioning, token expiry and replacement and workflow management • Identity Federation – Federation scenarios beyond browser-based, inter-site SSO—for example, web applications, federation	50
Quality of Proposer Credentials and Demonstrated Ability to Implement Customized Solution – Ability of Proposer to customize and implement the product solution for: • Account Management • Identity Synchronization • Permission Management • Access Management • SSO • Credential Lifecycle Management • Identity Federation	20
Implementation Plan, Methodology, and Approach	10
Price	15
Capability of Agreeing/Complying with County’s Terms and Conditions and Technical, Functional, and Security Requirements	5
Total	100%

NOTE: Travis County may invite Proposers from a final list to present a demonstration of the product and to provide a high-level implementation plan. (The plan should show an understanding of the requirements within this RFP and a timeline, with tasks for implementation.)

5.0 METHOD OF AWARD:

- 5.1 The award of the contract shall be made to the responsible Proposer whose proposal is determined to be the best evaluated offer resulting from negotiation, taking into consideration the relative importance of price and other evaluation factors set forth herein.
- 5.2 Prompt payment discounts will not be considered in determining low proposals and making awards.
- 5.3 In considering the proposals, Travis County reserves the right to select one or more responsible Proposers.
- 5.4 Travis County reserves the right to award only a portion of the services and/or materials requested in the RFP; or, to procure select materials from alternative sourcing.

PART I, SECTION D - NEGOTIATIONS

1.0 NEGOTIATIONS:

- 1.1 The Purchasing Agent shall supervise all negotiations.
- 1.2 Discussions may be conducted only with responsible Proposers who submit proposals determined to be reasonably susceptible of being selected for award. All Proposers will be accorded fair and equal treatment with respect to any opportunity for discussion and revision of proposals. Revisions to proposals may be permitted after submission and before award for the purpose of obtaining best and final offers.
- 1.3 Proposers may be required to submit additional data during the process of any negotiations.
- 1.4 Travis County reserves the right to negotiate the price and any other term with the Proposers.
- 1.5 Any oral negotiations must be confirmed in writing prior to award.

2.0 DEVIATIONS:

Requirements stated in this RFP shall become part of the contract resulting from this RFP unless the Proposer requests a deviation. Any requests for deviations from these requirements must be specifically defined by the Proposer in the proposal. If accepted, the deviation shall become part of the contract. Travis County reserves the right to modify the requirements of this RFP.

3.0 REJECTION OF PROPOSALS:

County expressly reserves the right to:

- 3.1 waive any defect, irregularity or informality in any proposal;
- 3.2 reject or cancel any proposal or parts of any proposal;
- 3.3 award contracts to one or more Proposers; or
- 3.4 procure the services in whole or in part by other means.

4.0 PROTESTS:

Protests before award must be submitted in writing to the Purchasing Agent not later than six (6) calendar days after proposal opening, and protests after award must be submitted within ten (10) calendar days after award by Commissioners Court. The Purchasing Agent shall rule on the protest in writing within ten (10) calendar days from date of receipt. Any appeal of the Purchasing Agent's decision must be made within ten (10) calendar days after receipt thereof and submitted to the Purchasing Agent, who shall present the matter for final resolution to the Commissioners Court. Appellant shall be notified of the time and place the appeal is to be heard by Commissioners Court and afforded an opportunity to present evidence in support of the appeal.

PART I, SECTION E – BACKGROUND INFORMATION

1.0 INTRODUCTION:

Travis County is requesting proposals for implementing and customizing a complete Identity and Access Management (IAM) solution that includes the software, hardware and services to implement the new suite of products while possibly integrating and building upon existing IAM solution.

It is the County's goal to implement this Identity and Access Management (IAM) solution through the purchase of new product, customizing the purchased product to support the County's requirements while possibly integrating and leveraging existing IAM solution.

The planned implementation of the Identify and Access Management includes the following components and functions:

- 1.1 User account provisioning, account management and account de-provisioning
- 1.2 User authorization based on provisioning and de-provisioning of user entitlements
- 1.3 Access management capabilities supporting authentication and access control for Travis County's various network-based services and applications through the use of business policy and identity attributes
- 1.4 Activity logging facilities that address auditing and compliance needs
- 1.5 Directory services and directory repositories that store user-identity-related information
- 1.6 Role Engineering Engine to include discovery, management, and attestation
- 1.7 Entitlement Engine to address all stages of the entitlement lifecycle
- 1.8 Web based Self-Service application that includes registration and password change/reset functionality
- 1.9 Workflow engine for Identity related events
- 1.10 Single-Sign on technology to manage all credentials of a given user across many technology platforms including web and non-web based applications
- 1.11 Identity Federation

This RFP requests proposals for the software systems and integration services to aid in the planning, design, building, testing, and implementation phases of this project.

2.0 CURRENT SITUATION:

Travis County currently maintains identify information for over 4,500 individuals with these individuals primarily being employees. This figure is expected to grow rapidly, however, as identity information from other communities with whom Travis County has a business relationship (such as contractors, volunteers, suppliers, vendors, consultants, citizens, and members of other government entities) are further incorporated into the IT landscape. The identity information is used to control access to County information assets managed within a complex and heterogeneous IT environment and to ensure consistency of identity data across systems and platforms.

Travis County currently manages the majority of this identity information and associated

privilege assignments within local system repositories, directory service repositories, and a central identity vault that is integral to an incumbent identity management solution.

The incumbent identity management solution is currently used to provision identity information to directory service solutions which in turn are used for authentication to file services, electronic mail and calendaring, operating systems, remote network access, Web-based applications, and the Web access control solution.

The County is deploying a Security Information and Event Management solution that will integrate with security and operations solutions throughout the enterprise, including the Identity and Access Management solutions. These integrated solutions are intended to play a key role in enforcing security and governmental regulatory compliance for the county.

Travis County has developed a comprehensive Identity and Access Management framework and crafted a blueprint for implanting the elements of the framework required to address key business drivers. This IAM framework includes advanced identity and access management features that are not currently utilized or available within the existing IAM deployment.

Additional detail about the existing Travis County environment can be provided under the terms of the confidentiality and non-disclosure agreements that accompany this RFP.

3.0 **PROPOSED PROJECT APPROACH:**

The County has identified what it sees as key phases to take place during this project and asks the Proposer to outline its own recommended phases and approach using the following as guidelines:

Phase 1: Gather requirements and recommend the business processes to be automated

Phase 2: Design the enterprise IAM solution

Phase 3: Implement the IAM solution

4.0 **PROJECT DEFINITIONS:**

AD	Microsoft Active Directory® - Microsoft's directory services
Directory Services	Mapping between names and values. It allows the look up of values to a given a name, similar to a dictionary.
API	Application Programming Interface - is an interface in computer science that defines the ways by which an application program may request services from libraries and/or operating systems
Attribute	A discrete piece of information about a person. Also commonly referred to as a "field"
Authoritative Source	The system of record for a given attribute.
BEFIT	Currently underway project to replace existing HR/Financials systems
Connected System	A system, database, or service that exchanges data as part of the Identity Management infrastructure
De-provisioning	The revocation of services or privileges

Entitlement	A privilege or collection of privileges that are grouped together to denote all provisioning/de-provisioning activities that are necessary to grant a specific capability to the user.
JDBC	Java Database Connectivity - JDBC is an API for the Java programming language that defines how a client may access a database.
IAM	Identity and Access Management - Identity management or <i>ID management</i> is a broad administrative area that deals with identifying individuals in a system (such as a country, a network or an organization) and controlling the access to the resources in that system by placing restrictions on the established identities.
ID	Identity or identities – see IAM above
Identity Assertion	The process that ultimately allows a user represented in an Identity Provider to access the application or service provided by the Service provider in an Identity Federation
Identity Contract	The policies and methods that are agreed upon by all members of an Identity Federation
Identity Federation	Multiple computing and/or network providers agreeing upon standards of operation in a collective fashion so that users in one domain can access resources in another without the need for the service hosting entity to maintain information about the user.
Identity Provider	The source of authentication and other user information in an Identity Federation
IdM	Identity Management – see IAM
IVR	Interactive Voice Response - interactive technology that allows a computer to detect voice and keypad inputs
ITS	Travis County Information and Telecommunications Systems Department
GUI	Graphic User Interface
LDAP	Lightweight Directory Access Protocol - is an application protocol for querying and modifying directory services running over TCP/IP.
NOS	Network operating system
ODBC	Open Database Connectivity - provides a standard software API method for using database management systems (DBMS).
POC	Proof of Concept - a term used in system development to prove the viability of a potential system
Roles	A template that can be used to grant privileges to individuals that have the same business need
Provisioning	The granting of services or privileges
SDLC	Software Development Lifecycle Process – methodology for software development.
Self-Service	Process that allows an end-user to securely make direct requests for software and services.
Service Desk	First-tier support team for users

Service Lifecycle	Holistic approach which looks at service opportunities proactively as a lifecycle rather than a single event or series of discrete events, combining all service-based operations into a single, albeit complex, set of workflows and connected business processes.
Service Provider	The component of a Identity Federation that contains the service or application that is being made available to the federated identities
SSO	Single Sign-On – allows users to authenticate once and then have access privileges to other systems/processes based on the credentials of the first “sign-on”.
TCAMS	Travis County Appointment Management System
TCGuid	A unique identifier that is applied to identities that Travis County maintains across enterprise and connected systems. This value remains persistent regardless of changes at the ID layer.
Workflow	Multi-tiered approval process that addresses routing to illicit approvals before provisioning resources, privileges, or entitlements
“Where Am I From”	The functionality provided by an Identity Federation solution that identifies which Identity Provider should be used for a given user during an Identity Assertion

5.0 PROPOSER TECHNICAL EVALUATION:

The following sections contain information and criteria that will be used to assess the Proposer’s (software and system integrator/ consultancy services) capabilities and experience in deploying IAM solutions.

Wherever possible, provide examples and supporting data within the Attachment C Proposer Response - Technical Requirements Questionnaire. Travis County considers this section extremely important and care should be taken to give an accurate, comprehensively supported response.

5.1 Functional Requirements for IAM Solution

This set of tables in **Attachment C** requires the Proposer to describe its experience with the following technology categories:

- *Directory Services*
- *Data Integration*
- *Resource Provisioning*
- *Preferred Platform*
- *Preferred Web Server / Application Server Support*
- *Web Access Management*
- *Password Management*
- *Single Sign-on*
- *Role Engineering*
- *Entitlements*
- *User Self-Service applications*
- *Workflow*
- *Federation*

5.2 **Proposer Profile and Experience**

- *Proposer Profile* - Each of the questions/requirements in Attachment C are to be answered as called for. Any additional information believed to be relevant with respect to the question's topic may be included in the answer.
- *Proposer Resources* - The Proposer shall be experienced in and capable of focusing on customer service, project management, account management as well as having the critical overall skills, with depth of experience in local government. The Proposer will focus on exceeding service metrics while providing Travis County with a stable and reliable operating environment and highest user satisfaction. The Proposer's management team will have demonstrated analytical skills and be able to deal with the increasingly complex and diverse information-driven needs of the environment at Travis County. They will be highly experienced in leading and defining process, operational practices, continuous improvement, trends identification and change implementation. In the proposal:
 - Supply resumes of key personnel and backup personnel who will be assigned to deliver the services, please also provide the project organizational chart. IT IS HIGHLY DESIRABLE THAT ALL OR SOME OF THE PROPOSER'S PROJECT TEAM BE PRESENT AT ORAL PRESENTATION (IF SELECTED). Travis County is making decisions based on quality of the credentials of the presented project team and the ability to implement project. We fully expect that the team represented in the RFP will be the team (with agreed upon substitutions for unforeseen circumstances) responsible for implementing this project.
 - Provide a single point of contact that will be responsible overall for this project. Name the individual, describe their role and provide their resume.
 - List trainers (provided by the company), capable of training in the newly formed IdM environment, and their certifications.
 - List any other features of the proposed resources that distinguish and set apart the Proposer in the Identity and Access Management services marketplace.
- If the Proposer intends to use subcontractors to perform any portion of the work required, you must include a description of which portion(s) of the work will be subcontracted out, the names and address of potential Subcontractors and the expected amount of money each will receive under the Contract.
- The Contractor may not use the services of other Contractors/Subcontractors not named in the Contractor's proposal without prior written permission of the Travis County. If at any time during the term of the resulting contract, a contractor adds or changes any subcontractor, he or she shall promptly notify, in writing, the Travis County Contract Representative of the names and addresses and the expected amount of money each new or replaced subcontractor will receive.

5.3 Proposer Implementation Plan and Schedule

- Proposers must provide a sample implementation plan and schedule (see Attachment C)
- The implementation plan is to include the decision-making protocol for the key project milestones.
- The Proposer must clearly demonstrate in its Proposal that it has the ability to implement the services on the estimated start date; and, include a high-level work breakdown structure, project schedule and timeline, milestones, and accompanying written explanation for project implementation.
- The Proposers shall provide a sample demonstration of the functionality required 'within a virtual environment' which will display the features and functionality of the respective products.

5.4 Proposer Implementation Schedule – An implementation schedule is to be prepared as a guideline only. It does not include all milestones or decision points. It will be subject to change based on the solutions proposed by the Proposer, although Travis County is interested in accomplishing the implementation of the Identity and Access Management services strategy beginning 2010.

5.5 Proposer Demonstration Requirement – The Proposer must clearly demonstrate a working proof of concept ("POC") configured with example workflows. This POC environment should reflect the Proposers experience and knowledge of IdM and show example integration points and functionality that mirrors Travis County's requirements. Travis County the ability to access this environment to get hands-on experience on the technologies available on the POC.

This example POC for the entire Proposal shall be demonstrated during Proposer on-site presentations, using generic applications that are representative of the typical business application, and shall be made clear that the environment is available to designated County employees to become further familiar with.

The Proposer shall show examples and describe implementation toolsets, ease of connector deployment and data clean-up methodologies as part of the on-site presentation.

5.7 Proposer Testing Methodology -- Travis County requires a number of environments in which to fully vet the software development lifecycle process (SDLC) of the IAM components. The below environments are representative of the types of function and activity that will be performed throughout the SDLC.

- a) Development Environment
- b) QA Testing Environment
- c) Pre-Production
- d) Production

The Development / Testing Environment will primarily be used by the Proposer; however, the Proposer must provide access to the Development / Testing

environment for appropriate Travis County staff, as required. Short-listed Proposers must provide a fully functional Demonstration environment, which the successful Proposer must maintain for the duration of the implementation of the new Identity and Access Management services.

The QA testing environment shall allow development code/components to be further tested with other components within the architecture i.e., system integration testing. Other types of testing such as functional and load testing may be performed in this environment. The QA environment is sized such that suitable “stress and performance” testing can be performed.

The Pre-Production environment shall allow code that is “ready for production” a final functional testing in a “mirror-like” image of the actual production environment. The Pre-Production environment shall be functionally representative of the production environment.

NOTE: PARTS II, III, AND IV, ALONG WITH THE PROPOSER'S PROPOSAL, AND ANY DEVIATION TO WHICH TRAVIS COUNTY HAS AGREED, IN WRITING, WILL BECOME THE CONTRACT.

PART II - SPECIFIC REQUIREMENTS

1.0 IAM PROJECT BUSINESS OBJECTIVES:

The business objectives the Travis County IAM project intends the Contractor to address are as follows:

- Automated account creation, suspension, and deletion across systems and applications based on changes in the relationships a given individual has with the organization with these Identity Management activities to be governed by Roles and Entitlements
- Comprehensive logging and auditing of users' rights and privileges to include comprehensive approval data (who approved, when, how, etc)
- Synchronization of identity information to various repositories/ directories based on an "authoritative source" model
- Synchronization of IDs and passwords across platforms and applications
- Comprehensive Single-Sign On capability to allow one set of credentials to be used in any application regardless of underlying security and address all password change events in an automated fashion
- Web Access Management to allow users to access web applications hosted on the internal network securely from a remote location
- Self service capabilities, e.g., resetting passwords and requesting new services through a web interface that utilizes multiple-tier routing and approval workflow with the ability to spawn new requests as appropriate automatically based upon the nature of the original request
- A centralized store for provisioning processes and policies that govern how to conduct business securely
- Management of accounts with elevated privileges to ensure necessary approvals were granted before use and that all activities were recorded for forensic auditing purposes.
- Identity Federation capabilities to facilitate electronic partnerships across organizational boundaries

2.0 DESIRED OUTCOMES:

Identity and Access Management (IAM) is part of a larger fabric of Service Lifecycle related technologies that work together to regulate users' access to enterprise resources. Promising greater administrative efficiency, increased user productivity and improved information security, this composite of technologies includes a broad range of products from web single sign-on, to directory services and enterprise provisioning.

- 2.1 Identity and Access Management Environment** -- At the highest level, the Identity and Access Management (IAM) environment exists to provide a framework under which users access enterprise resources. Users are internal employees, contractors, external constituents or business partners. Resources include any

enterprise asset or service required by users in order to do their jobs. Resources are typically the applications, databases and directories that make up the information assets of the enterprise. Users gain access to resources either directly through proprietary client interfaces or via web-based applications.

2.2 Access Management Layer -- The Access Management layer of the IAM environment provides run-time control of access to resources. In other words, in real time while users actively use applications, the Access Management Layer permits or denies access to resources and individual operations within those resources. Products within the Access Management layer include authentication and authorization solutions such as:

- Web Single Sign-on
- Web Access Management
- Directory Services
- Federation Services

2.3 Identity Management Layer -- Products that fall into the Identity Management layer offer the following general capabilities: provisioning, approval workflow, delegated administration, user account and password self-service, auditing and reporting. The Identity Management layer reconciles that a single user has accounts on multiple information systems within the enterprise and each account has unique entitlements associated with it, depending on the system's capabilities and the user's relationship to the enterprise. Finally, the Identity Management layer supports, enforces and automates the business processes that govern the organization and distribution of identities and entitlements in the extended enterprise.

2.4 Identity Management Components -- Key capabilities of the Identity Business Process Services component include but are not restricted to:

- § Delegated administration
- § Automated approval processes and task management
- § Integrated workflow
- § Security policy enforcement through roles and entitlements
- § Status monitoring, tracking and event notification
- § Reporting
- § Audit trail & Activity logging
- § Identity Federation
- § User Self-Service
- § Reduction in number of credentials a user must maintain

PART III - SPECIAL PROVISIONS

- 1.0. **TERM OF CONTRACT:** The resulting contract will be effective upon award by Commissioners Court and shall continue for the life of the implementation and utilization of the system.
- 2.0. **TERM OF WARRANTY:** Proposer shall provide the maximum warranty offered by the manufacturer (not less than one (1) year). Warranty shall begin after installation is complete, the system is fully tested and operational, and accepted by County. During the warranty period the Contractor is responsible for labor, materials, and other costs associated with required warranty repair.
- 3.0. **MAINTENANCE FEES:** Travis County expects that any maintenance fees charged on a regular basis be held firm for an agreed upon period; and, that any future increases not held firm be directly tied to an agreed upon price escalation clause. In no event will the County agree to an increase greater than 3% per annum.
- 4.0. **PROJECT DELIVERY/ACCEPTANCE:** Delivery and acceptance shall not be deemed to be complete until products and services have been fully received by Travis County. "Fully received" is defined as installed and fully operational and/or delivered in compliance with an accepted delivery schedule.
- 5.0. **PURCHASE ORDER:** Contractor will not release any items or perform any services until a purchase order number is assigned by the designated representative of the County Purchasing Office. Contractor will reference contract and purchase order on all invoices submitted to the Travis County Auditor. Upon issuance of a purchase order, the contract administrator will call the Contractor with the items needed to be supplied. The Contractor must respond by supplying the items at the time required. Failure to act in this manner may result in termination of this contract.
- 6.0. **CONTRACT ADMINISTRATOR:** For purposes of monitoring performance, establishing requirements, approving and coordinating schedules, users, and equipment, the county department named below shall act as contract administrator on behalf of Travis County:
- Travis County Information & Telecommunications Systems
Tanya Acevedo
314 W. 11th, 5th floor
Austin, Texas 78701
(512) 854-8685
- 7.0. **IMPLIED SERVICES:** If any services, functions or responsibilities not specifically described in this Contract are required for the proper performance and provision of the Services, they shall be deemed to be implied by and included within the scope of the Services to the same extent and in the same manner as if specifically described in this Contract. Except as otherwise expressly provided in the Contract, Contractor shall be responsible for providing the facilities, personnel and other resources as necessary to provide the Services.

PART IV - GENERAL PROVISIONS**1.0 GENERAL DEFINITIONS:**

- 1.1 "Auditor" means the Travis County Auditor or her designee.
- 1.2 "Commissioners Court" means Travis County Commissioners Court.
- 1.3 "County Building" means any County owned buildings and does not include buildings leased by County.
- 1.4 "Is doing business" and "has done business" mean:
 - 1.4.1 Paying or receiving in any calendar year any money or other valuable thing which is worth more than \$250 in the aggregate in exchange for personal services or for purchase of any property or property interest, either real or personal, either legal or equitable; or
 - 1.4.2 Loaning or receiving a loan of money; or goods or otherwise creating or having in existence any legal obligation or debt with a value of more than \$250 in the aggregate in a calendar year;
 - 1.4.3 but does not include any retail transaction for goods or services sold to a Key Contracting Person at a posted, published, or marked price available to the general public.
- 1.5 "Key Contracting Person" means any person or business listed in Exhibit A to Affidavit.
- 1.6 "Purchasing Agent" means the Travis County Purchasing Agent.
- 1.7 "County" means Travis County, Texas, a political subdivision of the State of Texas.
- 1.8 "Historically Underutilized Business" or "HUB" means any entity or association formed to make a profit in which one (1) or more persons who are educationally or economically disadvantaged because of their identification as members of one of the following groups: African Americans, Hispanic Americans, Asian Pacific Americans, Native Americans or Women of any ethnicity have the following rights:
 - 1.8.1 own at least fifty-one percent (51%) of all classes of shares or other equitable securities and have incidents of ownership, including an interest in profit and loss, equivalent to the percentage of capital, equipment or expertise contributed to the business where ownership is measured as though the community property interest of a spouse is the separate property of that spouse, if both spouses certify in writing that the non-participating spouse relinquishes control over his or her spouse, and his or her community property, and not as if it is subject to the community property interest of the other spouse; and

- 1.8.2 have a proportionate interest and demonstrated active participation in the control, operation and management of the business's affairs; where control means having recognized ultimate control over all day-to-day decisions affecting the business, and is be known to, and at least tacitly acknowledged in day-to-day operations by employees of the business and by those with whom business is conducted, and holding a title commensurate with that control.

2.0 GENERAL CONDITIONS:

Contractor represents that he has thoroughly examined the drawings, specifications, schedule, instructions and all other contract documents. Contractor has made all investigations necessary to be thoroughly informed regarding plant and facilities for delivery of material, equipment and/or services as required by the proposal conditions.

3.0 CONTRACTOR CERTIFICATIONS:

- 3.1 Contractor certifies that he is a duly qualified, capable, and otherwise bondable business entity, that he is not in receivership or contemplates same, and has not filed for bankruptcy. He further certifies that the company, corporation or partnership is not currently delinquent with respect to payment of property taxes within County.
- 3.2 Contractor warrants that all applicable copyrights and licenses which may exist on materials used in this contract have been adhered to and further warrants that County shall not be liable for any infringement of those rights and any rights granted to County shall apply for the duration of the contract. Contractor shall indemnify County, its officers, agents and employees from all claims, losses, damages, causes of action and liability of every kind including expenses of litigation, and court costs and attorney fees for damages to any person or property arising in connection with any alleged or actual infringement of existing licenses or copyrights applicable to materials used in this contract.

4.0 DISPUTES AND APPEALS:

The Purchasing Agent acts as the County representative in the issuance and administration of this contract in relation to disputes. Any document, notice, or correspondence not issued by or to the Purchasing Agent or other authorized County person, in relation to disputes is void unless otherwise stated in this contract. If the Contractor does not agree with any document, notice, or correspondence issued by the Purchasing Agent, or other authorized County person, the Contractor must submit a written notice to the Purchasing Agent within ten (10) calendar days after receipt of the document, notice, or correspondence, outlining the exact point of disagreement in detail. If the matter is not resolved to the Contractor's satisfaction, Contractor may submit a written Notice of Appeal to the Commissioners Court, through the Purchasing Agent, if the Notice is submitted within ten (10) calendar days after receipt of the unsatisfactory reply. Contractor then has the right to be heard by Commissioners Court.

5.0 FUNDING:

Funds for payment on this Contract have been provided through the County budget approved by Commissioners Court for this fiscal year only. State of Texas statutes prohibit the obligations and expenditure of public funds beyond the fiscal year for which a budget has been approved. However, the cost of items or services covered by this Contract is considered a recurring requirement and is included as a standard and routine expense of County to be included in each proposed budget within the foreseeable future. County Commissioners expect this to be an integral part of future budgets to be approved during the period of this Contract except for unanticipated needs or events which may prevent such payments against this Contract. However, County cannot guarantee the availability of funds, and enters into this Contract only to the extent such funds are made available. The fiscal year for County extends from October 1st of each calendar year to September 30th of the next calendar year.

6.0 FUNDING OUT:

Despite anything to the contrary in this Contract, if, during budget planning and adoption, Commissioners Court fails to provide funding for this Contract for the following fiscal year of County, County may terminate this Contract after giving Contractor thirty (30) days written notice that this Contract is terminated due to the failure to fund it.

7.0 INVOICING/PAYMENTS:

7.1 Contractor shall provide County with an Internal Revenue Form W-9, Request for Taxpayer Identification Number and Certification, that is completed in compliance with the Internal Revenue Code and its rules and regulations before any Contract funds are payable.

7.2 Payment shall be made by check or warrant by County upon satisfactory delivery and acceptance of products and services and submission of an invoice to the address below:

County Auditor
P.O. Box 1748
Austin, Texas 78767

7.3 As a minimum, invoices shall include: (i) name, address, and telephone number of Contractor and similar information in the event payment is to be made to a different address; (ii) County Contract or Purchase Order number; (iii) identification of products or services as outlined in this Contract; (iv) quantity or quantities, applicable unit prices, total prices, and total amount; and (v) any additional payment information called for by this Contract. County will not pay invoices that are in excess of the amount authorized by the Purchase Order.

7.4 Payment shall be deemed to have been made on the date of mailing of the check or warrant. For purposes of payment discounts, time will begin upon satisfactory delivery of products and services and/or submission of acceptable invoice, whichever is last. Partial payments will not be made unless specifically requested and approved by County prior to Contract award.

7.5 Accrual and payment of interest on overdue payments shall be governed by TEX.

GOV'T CODE ANN., ch. 2251.

8.0 RESERVED:

9.0 DISCOUNTS:

Prompt payment discounts will not be considered in determining low proposals and making awards. In connection with any discount offered, time will be computed from the date of receipt of supplies or services or from the date a correct invoice is received, whichever is the later date. Payment is deemed to have been made on the date of mailing of the check, or warrant.

10.0 OFFICIALS NOT TO BENEFIT:

If a member of the Commissioners Court belongs to a cooperative association, the county may purchase equipment or supplies from the association only if no member of the Commissioners Court will receive a pecuniary benefit from the purchase, other than as reflected in an increase in dividends distributed generally to members of the association.

11.0 COVENANT AGAINST CONTINGENT FEES:

The Contractor warrants that no persons or selling agency has been retained to solicit this Contract upon an understanding for a commission, percentage, brokerage, or contingent fee, excepting bona fide employees or bona fide established commercial selling agencies maintained by the Contractor to secure business. For breach or violation of this warranty, County shall have the right to terminate this Contract without liability, or in its discretion to, as applicable, add to or deduct from the Contract price for consideration, or otherwise recover, the full mount of such commission, percentage, brokerage, or contingent fee.

12.0 ASSIGNMENT:

12.1 Assignment. The parties to this Contract shall not assign any of the rights or obligation under this Contract without the prior written consent of the other party. No official, employee, representative or agent of County has the authority to approve any assignment under this Contract unless that specific authority is expressly granted by Commissioners Court.

12.2 Successors Bound. The terms, provisions, covenants, obligations and conditions of this Contract are binding upon and inure to the benefit of the successors in interest and the assigns of the parties to this Contract if the assignment or transfer is made in compliance with the provisions of this Contract.

12.3 Name Change. If a change of name is required, the Purchasing Agent shall be notified immediately. No change in the obligation of or to Contractor will be recognized until it is approved by Commissioners Court.

13.0 FORCE MAJEURE:

If the performance by either party of any of its obligations under this Contract is interrupted

or delayed due to an act of God or the common enemy or as the result of war, riot, civil commotion, sovereign conduct, or the act or conduct of any person or persons not a party to this Contract, then it shall be excused from performance for such period of time as is reasonably necessary to remedy the effects thereof.

14.0 TERMINATION FOR DEFAULT:

Failure by either County or Contractor in performing any provisions of this Contract shall constitute a breach of Contract. Either party may require corrective action within ten (10) calendar days after date of receipt of written notice citing the exact nature of the other's breach. Failure to take corrective action or failure to provide a satisfactory written reply excusing such failure within the ten (10) calendar days shall constitute a default. The defaulting party shall be given a twenty (20) calendar day period within which to show cause why this Contract should not be terminated for default. Commissioner's Court may take whatever action as its interest may appear, resulting from such notice. All notices for corrective action, breach, default or show cause, shall be issued by the Purchasing Agent or County Attorney only and all replies shall be made in writing to the Purchasing Agent at the address provided herein. Notices issued by or to anyone other than the Purchasing Agent or County Attorney shall be null and void, and shall be considered as not having been issued or received. County reserves the right to enforce the performance of this Contract in any manner prescribed by law in case of default and may contract with another party with or without competition or further notification to the Contractor. As a minimum, Contractor shall be required to pay any difference in the cost of securing the products or services covered by this Contract, or compensate for any loss or damage to the County derived hereunder should it become necessary to contract with another source because of his default, plus reasonable administrative costs and attorney's fees. In the event of Termination for Default, County, its agents or representatives, shall not be liable for loss of any profits anticipated to be made hereunder.

15.0 TERMINATION FOR CONVENIENCE:

County reserves the right to terminate this Contract upon thirty (30) calendar days written notice for any reason deemed by Commissioners Court to serve the public interest, or resulting from any governmental law, ordinance, regulation, or court order. Termination for Convenience shall not be made when termination is authorized under any other provisions of this Contract, and termination for convenience shall not be taken with the intention of awarding the same or similar contract requirements to another source. In the event of such termination the County shall pay the Contractor those costs directly attributable to work done or supplies obtained in preparation for completion or compliance with this Contract prior to termination; provided, however, that no costs shall be paid which are recoverable in the normal course of doing business in which the Contractor is engaged. In addition, no costs which can be mitigated through the sale of supplies or inventories shall be paid. If County pays for the cost of supplies or materials obtained for use under this Contract, said supplies or materials shall become the property of County and shall be delivered to the FOB point shown herein, or as designated by the Purchasing Agent. County shall not be liable for loss of any profits anticipated to be made hereunder.

16.0 CHANGES:

- 16.1 Unless specifically provided otherwise in this Contract, any change to the terms of this Contract or any attachments to it shall be made by written change order signed by both parties. The Purchasing Agent may at any time, by written document, make changes within the general scope of this Contract in any one of the following:

16.1.1 Description of services;

16.1.2 Place of delivery;

16.1.3 Any aspect of contract to correct errors of a general administrative a nature or other mistakes, the correction of which does not affect the scope of the contract and does not result in expense to the Contractor.

- 16.2 It is acknowledged by Contractor that no officer, agent, employee or representative of County has any authority to change the scope of this Contract or any attachments to it unless expressly granted that authority by the Commissioners Court.

- 16.3 If any change under 16.1 causes an increase or decrease in the cost, or time required for performance of any part of the work under this Contract, the Commissioners Court shall make an equitable adjustment in the contract price, the delivery schedule, or both, and modify this Contract. The Contractor must submit any "proposal for adjustment" within thirty (30) calendar days after the date of receipt of the written order.

- 16.4 Contractor shall submit all requests for alterations, additions or deletions of the terms of this Contract or any attachment to it to the Purchasing Agent. The Purchasing Agent shall present Contractor's requests to Commissioners Court for consideration.

17.0 COUNTY ACCESS:

Contractor shall maintain and make available all books, documents, and other evidence pertinent to the costs and expenses of this Contract for inspection, audit or reproduction by any authorized representative of County to the extent this detail will properly reflect these costs and expense. These include all costs; both direct and indirect costs, cost of labor, material, equipment, supplies, and services, and all other costs and expenses of whatever nature for which reimbursement is claimed under this Contract. All required records shall be maintained until an audit is completed and all required questions arising therefrom are resolved, or three (3) years after completion of the Contract term, whichever occurs first; however, the records shall be retained beyond the third year if an audit is in progress or the findings of a completed audit have not been resolved satisfactorily.

18.0 SUBCONTRACTS:

- 18.1 Contractor shall not enter into any subcontracts for any service or activity relating to the performance of this contract without the prior written approval or the prior written waiver of this right of approval from County. It is acknowledged by Contractor that no officer, agent, employee or representative of County has the authority to grant such approval or waiver unless expressly granted that specific authority by the Commissioners Court.

18.2 If a subcontract is approved, Contractor must make a "good faith effort" to take all necessary and reasonable steps to ensure HUBs maximum opportunity to be subcontractors under this Contract. Contractor must obtain County approval of all proposed HUB subcontractors through the Purchasing Agent. Failure by Contractor to make a good faith effort to employ HUBs as subcontractors constitutes a breach of this Contract and may result in termination of this Contract.

19.0 MONITORING:

County reserves the right to perform periodic on-site monitoring of Contractor's compliance with the terms of this Contract, and of the adequacy and timeliness of Contractor's performance under this Contract. After each monitoring visit, County shall provide Contractor with a written report of the monitor's findings. If the report notes deficiencies in Contractor's performances under the terms of this Contract, it shall include requirements and deadlines for the correction of those deficiencies by Contractor. Contractor shall take action specified in the monitoring report prior to the deadlines specified.

20.0 ASSIGNMENT OF CONTRACT OR MORTGAGE:

20.1 Assignment. The parties to this Contract shall not assign any of the rights or obligation under this Contract without the prior written consent of the other party. No official, employee, representative or agent of County has the authority to approve any assignment under this Contract unless that specific authority is expressly granted by Commissioners Court.

20.2 Successors Bound. The terms, provisions, covenants, obligations and conditions of this Contract are binding upon and inure to the benefit of the successors in interest and the assigns of the parties to this Contract if the assignment or transfer is made in compliance with the provisions of this Contract.

20.3 Name Change. If a change of name is required, the Purchasing Agent shall be notified immediately. No change in the obligation of or to Contractor will be recognized until it is approved by Commissioners Court.

21.0 CIVIL RIGHTS/ADA COMPLIANCE:

Contractor shall provide all services and activities required by this Contract in a manner that would comply with the Civil Rights Act of 1964, as amended, the Rehabilitation Act of 1973, Public Law 93-1122, Section 504, and with the provisions of the Americans With Disabilities Act of 1990, Public Law 101-336 [S.933] if Contractor were an entity bound to comply with these laws. Contractor shall not discriminate against any employee or applicant for employment based on race, religion, color, sex, national origin, age or handicapped condition.

22.0 GRATUITIES:

County may terminate this Contract if it is found that gratuities of any kind including entertainment, or gifts were offered or given by the Contractor or any agent or representative of the Contractor, to any County Official or employee with a view toward securing

favorable treatment with respect of this Contract. If this Contract is terminated by the County pursuant to this provision, County shall be entitled, in addition to any other rights and remedies, to recover from the Contractor at least three times the cost incurred by Contractor in providing the gratuities.

23.0 FORFEITURE OF CONTRACT:

23.1 Contractor must forfeit all benefits of the Contract and County must retain all performance by Contractor and recover all consideration or the value of all consideration, paid to Contractor pursuant to this contract if:

23.1.1 Contractor was doing business at the time of submitting its proposal or had done business during the 365 day period immediately prior to the date of which its proposal was due with one or more Key Contracting Persons if Contractor has not disclosed the name of any such Key Contracting Person in its proposal which is expressly incorporated in this Contract; or

23.1.2 Contractor does business with a Key Contracting Person after the date on which the proposal that resulted in this Contract and prior to full performance of the Contract and fails to disclose the name of that Key Contracting Person in writing to each member of the Commissioners Court and to the County Clerk within ten (10) days commencing business with that Key Contracting Person.

24.0 NOTICES:

24.1 Any notice required or permitted to be given under this contract by one party to the other shall be in writing and shall be given and deemed to have been given immediately if delivered in person to the address set forth in this section for the party to whom the notice is given, or on the third day following mailing if placed in the United States Mail, postage prepaid, by registered or certified mail with return receipt requested, addressed to the party at the address set forth in this section.

24.2 The address of County for all purposes under this contract shall be:

Cyd Grimes, C.P.M.
Purchasing Agent
P.O. Box 1748
Austin, Texas 78767-1748

With copies to (registered or certified mail with return receipt not required):

Honorable David Escamilla (or his successor in office)
Travis County Attorney
P.O. Box 1748
Austin, Texas 78767-1748

And, to:

Honorable Samuel T. Biscoe (or his successor in office)
County Judge
P.O. Box 1748

Austin, Texas 78767-1748

- 24.3 The address of the Contractor for all purposes under this contract and for all notices hereunder shall be the address shown in the Notice of Award.
- 24.4 Each party may change the address for notice to it by giving notice of the change in compliance with 24.0.

25.0 CONSTRUCTION OF CONTRACT:

- 25.1 Law and Venue. This Contract is governed by the laws of the United States of America and Texas and all obligations under this contract are performable in Travis County, Texas. Venue for any dispute arising out of this Contract will lie in the appropriate court of Travis County, Texas.
- 25.2 Severability. If any portion or portions of this Contract are ruled invalid, illegal, or unenforceable in any respect, by a court of competent jurisdiction, the remainder of it shall remain valid and binding.
- 25.3 Headings. Headings and titles at the beginning of the various provisions of this Contract have been included only to make it easier to locate the subject matter covered by that part, section or subsection and are not to be used in construing this Contract.
- 25.4 Computation of Time. When any period of time is stated in this Contract, the time shall be computed to exclude the first day and include the last day of period. If the last day of any period falls on a Saturday, Sunday, or a day that Travis County has declared a holiday for its employees, these days shall be omitted from the computation. All hours stated in this Contract are stated in Central Standard Time from 2:00 o'clock a.m. on the first Sunday November until 2:00 o'clock a.m. on the second Sunday of March and in Central Daylight Saving Time from 2:00 o'clock a.m. on the second Sunday March until 2:00 o'clock a.m. on the first Sunday of November.
- 25.5 Gender and Number. Words of any gender in this Contract shall be construed to include any other gender and words in either number shall be construed to include the other unless the context in the Contract clearly requires otherwise.

26.0 ENTIRE CONTRACT:

All oral and written agreements between Contractor and County relating to the subject matter of this Contract that were made prior to the execution of this Contract have been reduced to writing and are contained in this Contract.

27.0 CONTRACTOR LIABILITY, INDEMNIFICATION AND CLAIMS NOTIFICATION:

Contractor shall indemnify County, its officers, agents, and employees, from and against any and all third party claims, losses, damages, causes of action, suits, and liability of every kind whether meritorious or not and, including all expenses of litigation, court costs, and

reasonable attorney's fees, arising in connection with the services provided by Contractor under this Contract. It is the expressed intention of the parties to this contract, both Contractor and County, that the indemnity provided for in this paragraph is indemnity by Contractor to indemnify and protect County from the consequences of Contractor's actions.

28.0 **ORDER OF PRECEDENCE:**

In the event of inconsistency between provisions of this Contract, the inconsistency shall be resolved by giving precedence in the following descending order:

The Schedule of Items/Services;
Terms and Conditions of Request of Services;
General Provisions;
Other provisions, whether incorporated by reference or otherwise; and,
The Specifications.

29.0 **ADDITIONAL GENERAL PROVISIONS:**

- 29.1 County may assign any of its obligations under this Contract.
- 29.2 Contractor must comply with all Federal and State laws and regulations, City and County ordinances, orders, and regulations, relating in any way to this Contract.
- 29.3 Contractor must secure all permits and licenses, pay all charges and fees, and give all notices necessary for lawful operations.
- 29.4 Contractor must pay all taxes and license fees imposed by the Federal and the State Governments and their agencies and political subdivisions upon the property and business of Contractor.
- 29.5 Despite anything to the contrary in this Contract, if the Contractor is delinquent in payment of property taxes at the time of providing services, Contractor hereby assigns the portion of the amount owing to it under this contract that is equal to the amount Contractor is delinquent in property tax payments to the Travis County Tax Assessor-Collector for the payment of the delinquent taxes.

- 30.0 **DESIGNATED COUNTY HOLIDAYS 2010:** No deliveries will be accepted on designated holidays, unless specific prior arrangements have been made. Below is the approved holiday schedule. Future schedules are expected to be similar.

HOLIDAY

2010

New Year's Day	Friday	Jan.....01,.....	2010
Martin Luther King, Jr. Day..	Monday	Jan.....18,.....	2010
President's Day	Monday	Feb15,.....	2010
Memorial Day	Monday	May31,.....	2010
Independence Day	Monday	Jul.....05,.....	2010
Labor Day	Monday	Sep06,.....	2010
Veteran's Day	Thursday.....	Nov11,.....	2010

Thanksgiving Day Thursday..... Nov25,..... 2010
 Friday after Thanksgiving..... Friday Nov26..... 2010
 Christmas Season Thursday..... Dec.....23,..... 2010
 Christmas Season Friday Dec.....24,..... 2010

31.0 **MEDIATION:**

When mediation is acceptable to both parties in resolving a dispute arising under this Agreement, the parties agree to use a mutually agreed upon mediator, or a person appointed by a court of competent jurisdiction, for mediation as described in section 154.023 of the Texas Civil Practice and Remedies Code. Unless both parties are satisfied with the result of the mediation, the mediation will not constitute a final and binding resolution of the dispute.

All communications within the scope of the mediation shall remain confidential as described in section 154.073 of the Texas Civil Practice and Remedies Code, unless both parties agree, in writing, to waive the confidentiality.

32.0 **CONFLICT OF INTEREST QUESTIONNAIRE:**

If required under Chapter 176 Texas Local Government Code, Contractor shall file a completed Conflict of Interest Questionnaire in accordance with the requirements of that Chapter. Within the applicable, authorized time period prescribed in Chapter 176, Contractor shall file the completed Conflict of Interest Questionnaire with the Travis County Clerk, Recording Division, 5501 Airport Blvd., Austin, Texas 78751. Contractor shall file an updated, completed questionnaire with the Travis County Clerk not later than the seventh (7th) business day after the date of an event that would make a statement in the questionnaire incomplete or inaccurate. The Contractor should note that the law requires that the County provide access to a filed Questionnaire on the official Travis County Internet website. However, the law does not require that the County release information which is excepted from disclosure under the Texas Public Information Act. As between County and Contractor, Contractor shall be solely responsible for the preparation of its Conflict of Interest Questionnaire, the accuracy and completeness of the content contained therein and ensuring compliance with all applicable requirements of Chapter 176, Local Government Code.

33.0 **NON-WAIVER OF DEFAULT:**

33.1 The waiver of a breach of any term or condition of this Contract is not a waiver of a subsequent breach of that term or condition, or a breach or subsequent breach of any other term of condition. No official, agent, employee, or representative of County may waive any breach of any term of condition of this Contract unless expressly granted that specific authority by Commissioner Court.

33.2 All rights of County under this Contract are specifically reserved and any payment, act or omission shall not impair or prejudice any remedy or right to County under it. Any right or remedy in this Contract shall not preclude the exercise of any other right or remedy under this Contract or under any law, nor shall any action taken in

the exercise of any right or remedy be deemed a waiver of any other rights or remedies.

34.0 CERTIFICATION OF ELIGIBILITY:

Contractor certifies that at the time of submission of its offer, it was not on the Federal Government's list of suspended, ineligible, or debarred contractors and that it has not been placed on this list between the time that its offer was submitted and the time of execution of this contract. If the Contractor is placed on the list during the term of this contract, Contractor shall notify the Travis County Purchasing Agent. False certification or failure to notify may result in terminating this Contract for default.

35.0 INSURANCE AND LIABILITY:

During the period of this Contract, contractor shall maintain at his expense, insurance with limits not less than those prescribed below. With respect to required insurance, Contractor shall:

- (i) Name County as additional insured, as its interests may appear.
- (ii) Provide County a waiver of subrogation.
- (iii) Provide County with a thirty (30) calendar days advance written notice of cancellation or material change to said insurance.
- (iv) Provide the County Purchasing Agent at the address shown on Page 1 of this contract, a Certificate of Insurance evidencing required coverages within ten (10) calendar days after receipt of Notice of Award and within ten (10) calendar days of each renewal of the insurance. **Also, please assure your certificate contains the contract number as indicated on the Contract Award form when issued by Travis County.**
- (v) Submit an original certificate of insurance reflecting coverage as follows:

Automobile Liability:

Bodily Injury (Each person)	\$250,000.00
Bodily Injury (Each accident).....	\$500,000.00
Property Damage	\$100,000.00

General Liability (Including Contractual Liability):

Bodily Injury	\$500,000.00
Property Damage	\$100,000.00

Excess Liability:

Umbrella Form.....\$5,000,000.00

Worker's Compensation:..... Statutory (State of Texas)

Professional Liability Insurance (Software Engineer E & O)

If coverage is written on a claims made policy, the retroactive date shall be prior to the date services begin under this Contract or the effective date of this Contract, whichever comes first. Coverage shall include a three- (3) year extended reporting period from the date this Contract expires or is terminated. Certificate of Insurance shall clarify coverage is claims made and shall contain both the retroactive date of coverage and the extended reporting period date.

1. Minimum Limit:

\$1,000,000 per occurrence, \$3,000,000 policy aggregate

2. Policy shall include personal injury and coverage for identity theft

3. The policy shall include the following endorsements in favor of County

a. Thirty (30) Day Notice of Cancellation

36.0 SECURITY COMPLIANCE:

36.1 Network, Computer, and Information Security Compliance:

The goods and/or services solicited through this request must be and remain in compliance with applicable Texas law.

The goods and/or services solicited through this request must be and remain in compliance with all Travis County network, computer, software, and information security policies, standards, specifications, guidelines, processes and procedures already developed or deployed or subsequently developed or deployed and used by or for the Travis County Department of Information and Telecommunications Services (“ITS”) and/or a department, office or division of any elected or appointed Travis County official (collectively, the “Travis County Security Requirements” or the “Security Requirements”). The documents comprising the Security Requirements may be obtained upon request from ITS and upon execution of a Travis County Non-Disclosure and Confidentiality Agreement (see *Attachment B*).

36.2 Initial Compliance: Proposer’s goods and/or services shall comply with the Security Requirements including but not limited to the Travis County Asset Management Policy, Lifecycle Management Standard, Configuration Management Standard, Change Control Standard, and System Development Lifecycle Standard. The Proposer’s goods and/or services must operate with and be compatible with any and all network security, computer security, software security, and/or information

security safeguards, including security hardware, software, appliances deployed by County (the “Security Safeguards”).

36.3 Certification of Compliance: Proposer must perform a self-conducted compliance review of Proposer’s goods and/or services and provide to the County, as part of the formal response, written certification in the form of a completed, signed, and dated compliance review checklist, attesting that Proposer’s goods and/or services are compliant with the Security Requirements. An authorized official of the Proposer’s company must sign and date the compliance review checklist.

36.4 Exceptions to Compliance Prior to Contract Award:
If the Proposer’s goods and/or services are not in full compliance, the Proposer may choose to provide a response to this request, noting the specific exceptions to compliance, the reasons for non-compliance, Proposer’s future intention to achieve compliance or reasons why compliance is not necessary or desirable, and/or other comments that the County should take into consideration when evaluating the Proposer’s response.

36.5 Ongoing Compliance Until Contract Award:
Proposer’s goods and/or services must comply with any and all modifications and/or additions to the Security Requirements and/or Security Safeguards that may occur between the time the Proposer’s response was submitted and the evaluation of responses and Contract award. The Proposer’s initial response, including any maintenance and support services, must take into consideration ongoing compliance with the Security Requirements and the Security Safeguards.

If Proposer’s goods and/or services become non-compliant after the Proposer has submitted a response, either through no fault of the County or in the event the County revises the Security Requirements and/or makes a change to the Security Safeguards and such revision causes the Proposer’s goods and/or services to be non-compliant, the County shall have the option of accepting the non-compliance or requiring Proposer to make any necessary modifications or alterations to bring Proposer’s goods and services into compliance before completing the evaluation of the Proposer’s response and award of the Contract.

If County exercises its right to require compliance pursuant to the foregoing, Proposer may 1.) withdraw Offer’s response, or 2.) shall be responsible for bringing the goods and/or services into compliance and shall be responsible for all costs incurred by Proposer in order to become compliant.

36.6 Ongoing Compliance Upon Execution of Contract:
Contractor’s goods, services, practices, and/or procedures must remain in compliance with the Security Requirements and compatible with the Security Safeguards, including complying with any and all modifications and/or additions to the Security Requirements and/or Security Safeguards that may occur throughout the term of the Contract.

The Contractor shall provide the required hardware, software, materials, expertise, and/or labor required to ensure ongoing compliance of the Contractor-provided

goods and/or services with the Security Requirements, including operability and compatibility with the Security Safeguards as a part of ongoing maintenance and support.

The Contractor-provided goods, services, practices, and/or procedures must be accredited by the ITS Department Security Manager before being connected into the Travis County Government Network or placed into any County production operation environment. Accreditation is achieved by undergoing a Security Assessment that shows the Contractor supplied goods and/or services are compliant with the Security Requirements and Security Safeguards. This security evaluation of the specific solutions covered by the Contract may reveal aspects of the architecture, implementation, operation, maintenance, and/or other aspect of these solutions that may necessitate incorporating additional solution-specific information security requirements to protect County computers, networks, software, information, and facilities.

36.7 Notification of Non-Compliance or Incompatibility:

If Contractor determines, at any time during the Contract term, that Contractor's goods, services, practices, and procedures do not comply with County's current Security Requirements and/or are not compatible with County's current Security Safeguards, the Contractor shall notify the ITS Help Desk by no later than the end of the business day following the confirmation by the Contractor of the non-compliance or incompatibility.

If the County determines at any time during the Contract term, that the Contractor's goods, services, practices, and procedures do not comply with County's current Security Requirements and/or compatibility with County's current Security Safeguards, the County shall notify the Contractor by no later than the end of the business day following the confirmation by the Contractor of the non-compliance or incompatibility.

36.8 Remedy of Non-Compliance or Incompatibility:

In the event that either the County or the Contractor are notified of a non-compliance and/or incompatibility, the Contractor shall:

- 1.) Determine the effort and cost to bring Contractor's goods, services, practices, and procedures into compliance and compatibility;
- 2.) Provide a draft working plan, including schedule, work effort and cost details, to remedy the non-compliance or incompatibility to the County no later than 5 working days after notification of the non-compliance and/or the incompatibility to County has been confirmed.

The County, at its sole discretion, shall determine whether the Contractor must bring some, all, or none of the non-compliant or incompatible Contractor's goods, services, practices, and procedures into compliance with County's current Security Requirements and/or into compatibility with County's current Security Safeguards. Any instance of non-compliance or compatibility that the County does not require to

be brought into compliance or compatibility will be noted as an exception. The County may choose, in its sole discretion, at any time, to remove the exception and require compliance and/or compatibility.

The Contractor shall be responsible for all costs associated with bringing Contractor-supplied goods, services and/or Contractor processes and practices into compliance with the Security Requirements and compatibility with the Security Safeguards.

The County may, at its sole discretion, provide some, all or none of the hardware, software, materials, expertise, and labor that may be required from time to time to bring the Contractor-supplied goods, services, practices, and/or procedures into compliance with the Security Requirements and the Security Safeguards.

36.9 Connectivity and Access to County Network, Systems, Software, and/or Information:

The Contractor and Contractor personnel who will be providing and/or maintaining goods and/or services, and who may from time to time access County systems, networks, software, and/or information, must be familiar with, and agree to adhere to and comply with the Security Requirements that pertain to and govern access to County computers, networks, software, and information including without limitation the Travis County Government Asset Protection Policy, Access Control Standard, Remote Access Standard, Security Awareness Policy, and Third Party Security Awareness Standard.

SIGNATURE PAGE

CONTRACTOR:

By: _____

Printed Name:

Printed Title:

Its Duly Authorized Agent

Date: _____

TRAVIS COUNTY:

By: _____

Samuel T. Biscoe

Travis County Judge

Date: _____

APPROVED AS TO FORM:

County Attorney

AVAILABILITY OF FUNDS CONFIRMED:

Susan Spataro, Travis County Auditor

Date: _____

COMPLIANCE WITH LAW AND POLICY CONFIRMED AND APPROVED:

Cyd V. Grimes, Travis County Purchasing Agent

Date: _____

ATTACHMENT A

PRICING SCHEDULE

The following table lists the major costs associated by deliverable involved in the implementation of the IAM infrastructure. Please indicate the estimated cost breakdown for each specific item in the deliverables section (including sub-deliverables), providing a detailed list of the hardware/software that is required, expanding the table as need be. Indicate any other charges that must be applied, so that all applicable costs are stated. Additional pages may be added if more space is needed.

NOTE: Travis County reserves the right to award only a portion of the products and/or services offered; or, to procure select materials from alternative sourcing.

ALL PRICING IS TO BE STATED IN U.S. DOLLARS (\$)

Deliverable	Cost
1. Gap Analysis / requirements gathering	
2. Design and Project Plan	
3. Software - Access Management Layer (breakdown where possible) a. Single Sign-on b. Web Access Management c. Directory Services d. Identity Federation Services Total	
4. Customizing, configuring and Implementing - Access Management Layer (breakdown where possible) a. Single Sign-on b. Password Management c. Self-Service Application d. Identity Federation Services Total	
5. Software - Identity Management Components (breakdown where possible) a. Directory Services b. Data Integration Components (System Connectors) c. Resource Provisioning 1. Workflow 2. Delegated Administration 3. Auditing and Reporting 4. Rules Engine d. Role Engineering e. Entitlement Engine Total	

Deliverable	Cost
6. Customizing, configuring and Implementing – Identity Management Components (breakdown where possible) a. Directory Services b. Data Integration Components (System Connectors) c. Resource Provisioning 1. Workflow 2. Delegated Administration 3. Auditing and Reporting 4. Rules Engine d. Role Engineering e. Entitlement Engine Total	
7. Projected Hardware Specifications	
8. Data Conversion	
9. Interfaces to source systems recommended identified for pilot purposes	
10. Training	
11. Post-implementation Maintenance Cost (delineated for each specific product in proposed solution)	
12. Other – Define and list any other charges that will be required	
Totals	

ATTACHMENT B**Non-Disclosure and Confidentiality Agreement for Documents Comprising the
ITS Security Requirements**

Instructions: After signing this document, please return to George Monnat via Fax at 512-854-9778 or via email at **george.monnat@co.travis.tx.us**. Upon receipt of the signed document, the requested information will be forwarded. The original signed NDA should be returned with vendor's RFP response.

1. In the interest of obtaining all information relevant for purposes of providing the requested goods and/or services in connection with RFP #P100003-GM, Identity and Access Management Solution (the "RFP"), the undersigned¹ hereby agrees, to the extent permitted by law, to treat confidential any and all information furnished to the undersigned, but in any event the information contained in the specific documents listed below (the "Confidential Information").

The undersigned agrees to treat the Confidential Information as confidential during their review of the RFP and any associated documents; during formulation and delivery of a formal response to the RFP; and during any other associated tasks or functions related to this phase of the Travis County procurement process (including negotiations of any modifications, amendments, addenda or extensions of or to the RFP) and in perpetuity thereafter.

2. The undersigned acknowledges that Travis County has developed the Confidential Information and that Travis County considers such information confidential and proprietary. The undersigned shall not, without first obtaining County's prior written consent, disclose the Confidential Information to any person or entity other than to the employees, counsel and accountants of the undersigned or duplicate the Confidential Information in whole or in part.
3. The sole purposes for which the undersigned may disclose the Confidential Information to its officers, employees and agents shall be limited to: (i) the evaluation of a continuing and/or further business relationship with Travis County; and (ii) in the event the RFP and/or subsequent Contract is modified, amended, or extended, the fulfillment of its contractual obligations to Travis County.
4. The undersigned shall maintain the confidentiality of the Confidential Information, including instructing its officers, employees and agents regarding the obligations of the undersigned under this Non-Disclosure and Confidentiality Agreement and to take all other reasonable precautions to prevent disclosure of the Confidential Information.
5. The undersigned acknowledges and understands that the documents listed below will change over time to accommodate the needs of Travis County. Travis County reserves the right to revise (by way of modification, deletion or supplementation) the documents and the Confidential Information contained therein and, following such revision, agrees

¹ As used in this Non-Disclosure and Confidentiality Agreement, the term "the undersigned" includes the officers, employees and agents of the vendor receiving the documents listed herein.

to provide the updated version of any revised document to the undersigned as soon as practicable. The undersigned agrees that this Non-Disclosure and Confidentiality Agreement shall apply to current and future versions of the documents listed below.

6. In the event the undersigned chooses not to respond to the RFP, or is not the successful proposer, the undersigned agrees to destroy all copies of the Confidential Information immediately.
7. By furnishing the Confidential Information to the undersigned pursuant to this Non-Disclosure and Confidentiality Agreement, Travis County does not waive or otherwise relinquish any right of non-disclosure or other privilege available to it under the Texas Public Information Act or other applicable statute, law or regulation.

By: _____

Title: _____

Company Name: _____

Date: _____

Email Address (for person who is to receive the security documents):

Documents Currently Comprising the Travis County Information Security Policies and Standards
(Attachment B Continued)

Ref #	Document Title
C00	Information Security Program Charter
P01	Identification & Classification Policy
P01.S01	Information Classification Standard
P01.S02	Information Labeling Standard
P02	Asset Protection Policy
P02.S01	Access Control Standard
P02.S02	Remote Access Standard
P02.S03	Physical Access Standard
P02.S04	Availability Protection Standard
P02.S05	Integrity Protection Standard
P02.S06	Anti-Virus Standard
P02.S07	Auditing Standard
P02.TS01	Asset Protection Technical Standard for Windows Servers
P02.TS02	Asset Protection Technical Standard for UNIX Servers
P02.TS03	Asset Protection Technical Standard for AS/400 (OS/400)
P02.TS04	Asset Protection Technical Standard for Internet Hosting
P03	Asset Management Policy
P03.S01	Lifecycle Management Standard
P03.S02	Configuration Management Standard
P03.S03	Change Control Standard
P03.S04	System Development Lifecycle Standard
P04	<i>Acceptable Use Policy</i>
P04.S01	Internet Acceptable Use Standard
P04.S02	Electronic Mail Acceptable Use Standard
P04.S03	Telecommunications Acceptable Use Standard
P04.S04	Software Acceptable Use Standard
P07	Information Security Awareness Policy
P07.S01	Third Party Information Security Awareness Standard

ATTACHMENT C**Proposer Response - Technical Requirements Questionnaire**

Instructions for Completion of Tables – Below are several tables of requirements that the Proposer must utilize and respond to in the following manner.

- For each requirement line-item, fill in the respective section as indicated, to indicate whether the Proposer has subject experience with configuring IAM Suites (IAM software); and, its product meets the requirement(s).
- Leave the box blank (for list) or mark “N” (for Y/N) if you do not have supportable experience in providing the requirement or do not have product capability, as stated.
- In addition to filling in the appropriate box, the Proposer shall provide clarifying comments or qualifying comments in the **Proposer Comments** field for each set of requirements.
- The type of response required is so indicated by the “answer type”.
- Where Y/N, then a “Y” (yes) or an “N” (no) answer should be provided (supplemented with comments, if so preferred).
- Where a “List” response is required, do so in a list format.
- Where an “Essay” response is required, then a contextual response is required that describes the answer to the question in comprehensive detail.
- The *Proposer Comments* box must be used to indicate where the Proposer’s experience only partially fulfills the requirement, providing an explanation as to what is met and what is not met.

ATTACHMENT C **Proposer Response - Technical Requirements Questionnaire**
(Continued)

I. Functional Requirements for IAM Solution

The following sections contain information and criteria that will be used to assess the Proposer's (software and system integrator/ consultancy services) capabilities and experience in deploying IAM solutions. Wherever possible, provide examples and supporting data.

The subsequent tables require the Proposer to describe the proposed solution and proposed project team's experience for these technology categories:

- Directory Services
 - Standards Compliance
 - Platform Support
 - Directory Functionality
 - Replication
 - Directory Indexing
 - Performance, Monitoring and Management
 - Schema
- Data Integration
 - Identity Management System Connectors
 - Data Transformation and Abstraction
- Resource Provisioning
 - Workflow and Automation
 - Delegated Administration
 - Auditing & Reporting
 - Rules Engine
- Preferred Platform
- Preferred Web Server / Application Server Support
- Web Access Management
- Password Management
 - Delegated Password Administration
 - Password Automation
 - Single Sign-on

- Role Engineering
- Entitlements
- Self-Service Application
- Identity Federation

A. Functional Requirements; <i>Quality of Solution and Proposer Credentials/Ability to Implement Solution</i>	Essay	Please Describe experience and / or Provide Comments
A.1 Directory Services - Standards Compliance		
Please identify the standards compliance regulations that your solution supports.		
A.2 Directory Services - Platform Support (please specify your platform support)		

A. Functional Requirements (continued); <i>Quality of Solution and Proposer Credentials</i>	Y/N Answer	Please Describe experience and / or Provide Comments
A.3 Directory Services - Directory Functionality		
a) Support for dynamic groups based on specific attributes in the directory	Y/N	
b) Support for nested groups	Y/N	
c) Native referential integrity for users and groups	Y/N	
d) Support for extensibility via pre- and post-operation plug-ins (or equivalent external calls)	Y/N	
e) Support for multiple password policies	Y/N	
f) Access Control Lists to protect directory data from unauthorized access (please provide more details on your access control model under vendor comments)	Y/N	
g) Software-based failover	Y/N	

A. Functional Requirements (continued); <i>Quality of Solution and Proposer Credentials</i>	Y/N Answer	Please Describe experience and / or Provide Comments
h) Software-based load balancing	Y/N	
i) Describe preferred approach to providing High Availability to the Directory Services solution proposed	Essay	
j) Describe what support you provide for Virtual Directory Services to either support application specific schema or to directly aggregate data from other repositories		
k) Describe the history of your proposed Directory Services solution and include major milestones and industry accomplishments that differentiate your offering from others in the marketplace	Essay	

A. Functional Requirements (continued); <i>Quality of Solution and Proposer Credentials</i>	Answer Type - ESSAY	Please Describe experience and / or Provide Comments
A.4 Directory Services - Replication		
a) Describe the replication methodology and techniques of the proposed Directory Services solution		
b) Describe what mechanisms are supported for controlling traffic during replication		

A. Functional Requirements (continued); <i>Quality of Solution and Proposer Credentials</i>	Answer Type	Please Describe experience and / or Provide Comments
A.5 Directory Services - Replication		
a) Support for real-time or near-real-time replication between masters and to consumer directory servers	Y/N	
b) What combinations of platforms listed in A.2 support cross-platform replication	List	
A.6 Directory Services – directory Indexing		

A. Functional Requirements (continued); <i>Quality of Solution and Proposer Credentials</i>	Answer Type	Please Describe experience and / or Provide Comments
a) Describe how indexing functions in your solution	Essay	
b) Fields indexed by default	List	
c) Describe what any limitations that may exist when indexing fields that are not part of the default schema	Essay	
A.7 Directory Services - Performance, Monitoring & Management		
a) Maximum number of directory queries (reads and writes) per second before additional servers are recommended	Essay	
b) Describe what recovery mechanisms exist for recovery from a critical failure	Essay	
c) Describe the recommended approach to the bulk import & export of directory user data and configuration information	Essay	
d) Directory log file purging and rotation	Y/N	
e) Support for configurable log file locations	Y/N	
f) Support for configurable granularity of log information (i.e., to support debugging and troubleshooting)	Y/N	
g) List monitoring standards that are supported for directory server operations	List	
h) Recommended object count thresholds at which directory segmentation or server augmentation should occur	Essay	
A.8 Directory Services - Schema		
a) List attributes and classes are defined by default in the schema of the Directory Services solution proposed	List	
b) Describe the procedure for extending the schema to include attributes that are not included in the default configuration	Essay	
c) Describe how schema entries that are no longer needed may be removed	Essay	
d) Describe how schema extensions that are made by Travis County can be protected from accidental interference from future product updates	Essay	

A. Functional Requirements (continued); <i>Quality of Solution and Proposer Credentials</i>	Answer Type	Please Describe experience and / or Provide Comments
e) Describe the impact of customer schema extensions upon your proposal particularly in the areas of product support, patches, future product releases, and / or any other limitations customer schema extensions may be subject to in other areas of your solution	Essay	

Functional Requirements; <i>Quality of Solution and Proposer Credentials</i>	Answer Type	Please Describe experience and / or Provide Comments
B. Data Integration - Identity Management System Connectors		
B.1 List the applications, databases, and directory services your solution supports for bi-directional synchronization for identity attributes, accounts groups, group memberships, and passwords	List	
B.2 Support request for creation of a new LDAP group through the identity management interface with workflow approval for group creation. Approval results in creation of new group object on identity manager (directory) and either LDAP security systems	List	
B.3 Support for pull-based synchronization (polling)	List	
B.4 Support for push-based synchronization	List	
B.5 Support for database-maintained change log for event triggered updates	List	
B.6 Support for commit and rollback of propagated changes (transaction-based synchronization)	List	
B.7 Support for identity mapping from a person object to one or more account objects based on security requests from identity administrators (e.g., Security admins)	Y/N	
B.8 Describe how your solution supports the creation of a one-time password for a new user and indicate the methods to communicate that password to the user	Essay	
B.9 Support for Travis County 'global' unique identifier creation and population through externalized calls	Y/N	
B.10 Describe how your solution detects changes that need to be processed	Essay	
B.11 Describe which facets of your solution are schedule-based and which are event driven	Essay	
B.12 Describe how differences between attribute values in two connected systems are merged/resolved.	Essay	
B.13 Describe what mechanisms your solution supports to prevent changes to data in connected systems so that information acquired from authoritative sources is maintained	Essay	

B.14 Describe how changes that are made during an outage of one or more of the integration pathways can be processed once the condition is corrected and what types of changes may be lost	Essay	
B.15 Describe how your solution determines what information has changed and how it synchronizes only that discrete information	Essay	
B.16 Describe what mechanisms exist to discover what attributes and objects are not fully synchronized at any given moment and how to force a re-synchronization	Essay	
B.17 Describe how the current backlog of any integration pathway can be ascertained	Essay	
B.18 Describe how changes that are queued can be removed from the cache so that they are not processed	Essay	
B.19 Describe what monitoring capability and automatic recovery options are available for both the Identity Management engine and any connectors	Essay	
B.20 Describe what capabilities your solution provides to spawn new events and activities from a single original event that effect the same and different objects	Essay	
B.21 Describe any automated documentation mechanisms your solution provides	Essay	

Functional Requirements; <i>Quality of Solution and Proposer Credentials</i>	Answer Type	Please Describe experience and / or Provide Comments
C. Resource Provisioning		
C.1 Resource Provisioning - Workflow & Automation		
a) Template-based workflows for user account creation, management, group assignments, de-activation and deletion	Y/N	
b) Changes to template can be configured to effect changes to all users created based upon template		
c) GUI-based design-time editor for workflows	Y/N	
d) GUI-based run-time view of workflow status by identity administrator, by identity subject (e.g., the person being administered) or by overall system administrator	Y/N	
e) Automated creation, pending workflow approval(s) of user and group accounts based on attribute information	Y/N	

Functional Requirements; <i>Quality of Solution and Proposer Credentials</i>	Answer Type	Please Describe experience and / or Provide Comments
f) Support workflow routing to specific approval administrators (e.g., administrators, application owners, managers) based on Cost Center, Group ownership or other specific attributes	Y/N	
g) Support workflow routing to specific approval administrators when specific job or personal information is updated	Y/N	
h) Approver must authenticate to the identity management system to access the workflow inbox and perform the workflow activity	Y/N	
i) Describe how workflow escalation based on configurable response time windows on a per workflow basis function	Essay	
j) Support email notifications to specific accounts or groups of accounts for certain activities performed by the identity management system	Y/N	
k) Describe the integrations supported by your workflow engine with the externalized workflow engines of other systems	Essay	
l) Describe the API's and protocols that your workflow engine supports	Essay	
m) Support for request-driven workflow, initiated by administrator or authorized user action	Y/N	
n) Support for event-driven workflow, initiated by change to information in authoritative source systems	Y/N	
o) Support for event-driven account de-activation (i.e., not deletion) with or without workflow approval	Y/N	
p) Support for request-driven account de-activation (i.e., not deletion) with or without workflow approval	Y/N	
q) Support both workflow for disabling and deletion of accounts in separate steps (e.g., configured 30-day 'grace period' between de-activation and deletion)	Y/N	
r) Support event-driven account re-activation with or without workflow approval	Y/N	
s) Support request-driven account re-activation with or without workflow approval	Y/N	
t) Support removal of accounts from target systems	Y/N	

Functional Requirements; <i>Quality of Solution and Proposer Credentials</i>	Answer Type	Please Describe experience and / or Provide Comments
u) Support removal of accounts from target system groups upon deletion of user account	Y/N	
v) Support removal of user accounts and user ID (person object) from identity management system upon deletion, with notification or pending workflow approval	Y/N	
w) Support the triggering of a workflow that identifies all non-person ("generic") accounts 'owned' by a user being removed from the identity management system, in order for an administrator to re-assign the accounts to new owners if necessary	Y/N	
x) Support for the creation of platform-specific entities required for account provisioning (e.g., AD home directories, AD logon etc.)	Y/N	
y) Support for assurance of account creation on target system (retry of failed creation, failure reporting mechanism, commit and rollback capabilities)	Y/N	
z) Describe your Workflow development interface and what level of technical expertise is needed to create and manage individual workflows	Essay	
aa) Describe what manual delegation capabilities your solution provides	Essay	
bb) Describe what automatic delegation capabilities your solution provides and how they may be triggered	Essay	
cc) Describe how your solution is able to spawn additional workflows based from a single initial workflow	Essay	
dd) Describe what actions are supported by your workflow engine	Essay	
ee) Describe how your workflow engine insures that the dependencies for a given workflow are satisfied during the spawning process	Essay	
ff) Describe how your workflow engine prohibits requests that would not be approved based upon predefined conflicts, attributes, role, or some other facet of the requestor	Essay	
gg) Describe how a user may make initiate multiple workflow requests at one time	Essay	
hh) Support for routing to a workflow group rather than a specific person	Y/N	

Functional Requirements; <i>Quality of Solution and Proposer Credentials</i>	Answer Type	Please Describe experience and / or Provide Comments
ii) Describe the process to create a workflow that revokes the results granted by another, existing workflow	Essay	
C.2 Resource Provisioning - Delegated Administration		
a) Web-based GUI delegation configuration editor for workflow design		
b) Web-based GUI delegated administration interface for workflow interaction		
c) Support initial capturing of new contractor data from security administrators (e.g., administrators) via identity management interface		
d) Support dynamic delegation to specific identity administrators based on a user's attribute values (cost center, job code, etc.)		
e) Support delegation by identity administrator to another person for a specific period of time		
f) Support for reminders to identity administrators who are required to perform workflow tasks		
g) Support for n-level delegation (please specify <i>n</i>)		
h) Allow self to read specific attributes in their profile, while preventing others from doing so		
i) Allow self to update specific attributes in their profile, while preventing others from doing so		
j) Support self-registration security requests for specific services		

Functional Requirements; <i>Quality of Solution and Proposer Credentials</i>	Answer Type	Please Describe experience and / or Provide Comments
C.3 Resource Provisioning - Auditing & Reporting		
a) Support out-of-the-box reports (please specify)	Y/N	

Functional Requirements; <i>Quality of Solution and Proposer Credentials</i>	Answer Type	Please Describe experience and / or Provide Comments
b) Support scheduled report generation	Y/N	
c) Support for email-based report subscriptions / notifications	Y/N	
d) Provide a built-in query tool for ad-hoc reporting	Y/N	
e) Support configuration of security audit levels and audit information collected	Y/N	
f) Support an ODBC-compliant database as the audit repository	Y/N	
g) Support user maintenance auditing (identity updates, password changes, self-administration, etc.)	Y/N	
h) Support for historical reporting (e.g., John Doe had access to these resources at this point in time)	Y/N	
i) Support for integration with external reporting engines including Crystal Reports	Y/N	
j) Describe the integration between the proposed auditing solution and the other IAM components that comprise your solution	Essay	
k) Describe the manner in which the auditing solution correlates events to a particular identity even if the name of the object representing that identity has changed	Essay	
l) Describe how events in the auditing engine are correlated to actions performed by the Identity Management solution	Essay	
m) Describe how the auditing solution is able to detect changes made outside of the provisioning events of the Identity Management solution	Essay	
n) Describe the systems, applications, and protocols that the Auditing solution is able to interact with and the nature of that interaction	Essay	
o) Please list any applications, databases, or directory services that the proposed Identity Management system is able to integrate with that are not addressed by the Auditing solution	Essay	
p) Describe the “dashboard” interface that can be used to quickly identify important events detected by the Auditing engine.	Essay	
q) Describe what customizations are available to the Auditing engine dashboard	Essay	

Functional Requirements; <i>Quality of Solution and Proposer Credentials</i>	Answer Type	Please Describe experience and / or Provide Comments
C.4 Resource Provisioning - Rules Engine		
a) Support for approval-based rules	Y/N	
b) Rules can trigger external program calls (e.g., runnable scripts such as VBScript, Jscript and REXX scripts) on all target systems	Y/N	
c) Rules engine exposed by API, preferably web-services-based	Y/N	
d) Describe what scripting or programming languages are supported for the creation and customization of Identity Management rules	Essay	
e) Describe what scripting or programming languages are supported for the creation and customization of rules	Essay	
f) Please describe in the comments below what scripting or programming languages are supported for the creation and customization of user interfaces, including any packaged utilities or design-time tools	Essay	
g) Describe the primary programming or scripting language that is used in the construction of Identity Management rules	Essay	
h) Describe which programming or scripting languages can be embedded within Identity Management rules and how they can be invoked	Essay	
i) Describe how commonly used code can be re-used in different connectors while maintaining this code in only one location	Essay	
j) Describe support the support for variables in Identity Management rules including scoping	Essay	
k) Describe the development Interfaces your solutions support	Essay	

Functional Requirements; <i>Quality of Solution and Proposer Credentials</i>	Answer Type	Please List the Required Information
D. Preferred Platform/Web Server		
D.1 List preferred platform for your solution		
	List	
D.2 List preferred Web Server / Application Server Support for your solution		
	List	
E. Web Access Management		
E.1 Describe the architecture of the proposed Web Access Management solution	Essay	
E.2 Describe how your Web Access Management solution handles the re-writing of URLs to support aliased host names on the extranet	Essay	
E.3 Describe the security options exist to control access to resources protected by the Web Access Management solution on a URL by URL basis	Essay	
E.4 Describe the options available to perform client-side pre-authentication checks such as insuring that a specific program or class of program is running and is of a specified version or range. An example would be to check to insure that McAfee VirusScan version 1.2.3 or later or another virus scan program is running on the client side computer before allowing the user to enter credentials	Essay	
E.5 Are the client-side pre-authentication checks extensible to include custom options and, if so, what limitations exist	Essay	
E.6 Support for custom logon pages for each site protected by the Web Access Management solution	Y/N	

E.7 Describe the J2EE platforms that the proposed Web Access Management solution can integrate with to provide fine grained servlet and/or Enterprise Server Bean security	Essay
E.8 Support for SSL-VPN services within the Web Access Management solution	Y/N
E.9 Describe how high availability can be achieved at the Web Access Management layer	Essay
E.10 Describe how sessions are maintained by the Web Access Management solution	Essay
E.11 List what protocols may be tunneled by the Web Access Management solution	List
E.12 Support for adding SSL encryption to traffic between the client and Web Access Management solution	Y/N
E.13 Describe how applications that use multiple ports to provide their functionality can be aggregated to a single port for presentation through the proposed Web Access Management solution	Essay
E.14 Support for Multi-factor Authentication and if so list which methods	List
E.15 Support for forwarding of credential data to web server	Y/N
E.16 Describe how attributes other than credentials can be forwarded to the web server and how they are forwarded	Essay
E.17 Describe how authentication can be configured for the Web Access Management solution so that it is able to use credentials that may be multi-platform in nature	Essay
E.18 Describe how the Web Access Manager integrates with other solutions presented in the proposal	Essay

Functional Requirements; <i>Quality of Solution and Proposer Credentials</i>	Answer Type	Please Describe experience and / or Provide Comments
F. Password Management		
F.1 Password Management - End User Self Service		
a) Support for self-service password reset	Y/N	
b) Support for self-service lost password recovery by creating a new one-time password based on successful answer(s) to pre-configured secret questions This must also result in account unlocking for the user	Y/N	
c) Support for identity administrator reset of user password for a one-time use on IdM/target account	Y/N	
d) Support for identity administrator to unlock IdM/target user account after too many failures on IdM/target account	Y/N	
e) Support for password push to selectable target systems (i.e., the user or administrator is allowed to specify which systems have the same passwords)	Y/N	
f) Support for user-defined challenge-response questions and answers	Y/N	
g) Support for pre-defined challenge-response questions and answers	Y/N	
h) Support for configurable challenge-response rules (e.g., user will be allowed to reset password and IdM/target account will be unlocked after correctly answering three out of five; user account will be locked if more than two questions are answered incorrectly; etc.)	Y/N	
i) Web-based GUI interface for password reset functions	Y/N	
j) Support for IVR and/or telephony interface for resetting passwords	Y/N	
k) Self-service password reset application may be encapsulated as portlet	Y/N	
F.2 Password Management - Delegated Password Administration		
a) Delegated Administrators (e.g., Help Desk, Data Center) can reset IdM/target password (create a new one-time password) without knowledge of current password	Y/N	
b) Web-based GUI interface for password reset	Y/N	
c) Delegated Administrators (e.g., Help Desk, Data Center, administrators) can escalate to 2 nd level support (e.g., IT Security)	Y/N	

Functional Requirements; <i>Quality of Solution and Proposer Credentials</i>	Answer Type	Please Describe experience and / or Provide Comments
F.3 Password Management - Password Automation		
a) Support for top-down password push from IdM solution to AD Support for top-down password push from IdM solution to other LDAP directories (such as Active Directory) and database credential repositories	Y/N	
b) Support for top-down password pus from IdM solution to database credential repositories (such as Microsoft SQL Server , and Oracle)	Y/N	
c) Support for password change detection & synchronization from AD (please specify how this works, i.e., with a gateway, interceptor dll, agent, etc. in vendor comments below)	Y/N	
d) Support for bulk password updates or resets based upon administrator-defined groups of users	Y/N	
e) Support denial of access protection by blocking repeated password failures on multiple administrator accounts in the directory.	Y/N	
f) Support for password dictionary checking	Y/N	
g) Support for password strength checking	Y/N	
h) Support for password hints or suggestions	Y/N	
i) Support for workstation lockout scenario (i.e., Jane Doe can't log in to local workstation because she forgot her password; describe in detail how your solution will allow Jane to perform self-service lost password recovery without calling the Help Desk)	Essay	
F.4 Single Sign-on		
a) Describe what platforms your Single Sign-on solution supports	Essay	
b) Describe what authentication methods such as HTML post, Windows Access Tokens, pop-up windows, and traditional client/server	Essay	
c) Describe the manner in which passwords are managed on behalf of the user by the Single Sign-on solution (changes, resets, etc)	Essay	
d) List what user tasks can be automatically addressed by the Single Sign-on solution	List	

Functional Requirements; <i>Quality of Solution and Proposer Credentials</i>	Answer Type	Please Describe experience and / or Provide Comments
e) Describe how routine password changes can be handled automatically for Single-Sign on enabled applications or systems while conforming to the native password rules of that application or system	Essay	
f) Describe how the proposed Single Sign-on solution detects expired passwords	Essay	
g) Describe how cached passwords are stored and how this storage is secured	Essay	
h) Describe the manner in which new applications can be enrolled for Single Sign-on	Essay	
i) Describe how the administrator can control the list of applications eligible for the user (ex. Deny enrollment for all applications not on approved list, Allow enrollment for all applications that are not on denied list)	Essay	
j) Support for multiple-factor authentication	Y/N	
k) List what secondary authentication options are supported in conjunction with username/password entry	List	
l) Describe how multiple-factor authentication supports remote or kiosk access and what accommodations can be made under these circumstances (privilege reduction, limited application access, etc)	Essay	
m) Describe the access points at which multi-factor authentication can be implemented	Essay	
G. Role Engineering and Entitlements		
G.1 Describe how your solution analyzes existing privileges to identify possible Roles	Essay	
G.2 Describe how the proposed solution performs Role attestation	Essay	
G.3 Describe what delegation capabilities exist within your Role engine	Essay	
G.4 Describe the integration between your Role engine and other proposed IAM solutions	Essay	
G.5 Describe the interface used for managing Roles	Essay	
G.6 Describe the integration between your Role engine and the proposed Audit solution	Essay	

Functional Requirements; <i>Quality of Solution and Proposer Credentials</i>	Answer Type	Please Describe experience and / or Provide Comments
G.7 Describe how entitlements are used to make the roles actionable in your solution	Essay	
G.8 Do you support the user-initiated requests for new roles and entitlements through the workflow engine	Y/N	
G.9 Describe the mechanics of how roles and entitlements work in your proposed solution (how they are stored, process to add or remove roles, etc)	Essay	
H. Identity Federation		
H.1 List the protocols that your Identity Federation solution supports	List	
H.2 Describe the support for obtaining additional attribute information from an Identity Provider upon successful authentication	Essay	
H.3 Describe how security can be applied on the Service Provider in the proposed solution for authorizations	Essay	
H.4 Describe how the "Where Am I From" service in the proposed solution operates	Essay	
H.5 Describe how Identity Contracts are maintained in your solution and what alerts are available at each stage of the contract lifecycle	Essay	
H.6 Support for persistent user information	Y/N	
H.7 Support for non-persistent user information	Y/N	
H.8 Describe the security controls that are in place for each step of the identity assertion process	Essay	
H.9 Describe what kinds of trusts the proposed Identity Federation solution supports	Essay	

II. Proposer Profile and Experience (Quality of Proposer credentials)

A. Proposer Profile

<u>Proposer Profile and Experience</u> (Quality of Proposer credentials)	Answer Type	Please Describe in Detail and / or Provide Comments
A.1 Include a brief company overview including correct legal name, or in the case of a consortium proposal, the identity of the primary Vendor, principal business of consortium members and the consortium structure.	Essay	
A.2 Proposer status of incorporation must be confirmed by including a copy of corporation status documentation.	List	
A.3 Travis County requires the Proposer to supply a list of major contracts with other customers currently in place to provide solutions similar to those described in this document.	List	
A.4 Travis County requires the Proposer to supply a list of major contracts with other customers currently in place to provide solutions similar to those described in this document, with particular emphasis to Texas based government institutions.	List	
A.5 Provide a detailed description of the warranty/guarantees available for product provided and work performed.	Essay	
A.6 What is the organization's largest install base? Please describe the environment in detail.	List	
A.7 How large is the largest install base and implementation of the service? Express the answer in terms of the maximum # of concurrent users. Please describe the environment in detail.	List	
A.8 Describe the company's structure, local lines of reporting, management organization and control.	Essay	
A.9 Does the company require that financial statements be returned at the completion of the RFP process?	Y/N	
A.10 Does the company have a quality assurance program? If so, how does it work?	Essay	
A.11 Describe the issue escalation procedures in place within the organization and how this would support any issues that arise with this project and also in production.	Essay	

Proposer Profile and Experience (Quality of Proposer credentials)	Answer Type	Please Describe in Detail and / or Provide Comments
A.12 Specify the senior management individuals who will respond to escalation of issues and provide management oversight.	List	
A.13 List any features of the Proposer's organization's capabilities which distinguish it in the marketplace.	List	
A.14 Describe your local presence (if any) and the depth of your technical and production support in the greater Austin area.	List	
A.16 Describe your in detail the product support offerings you are including with the proposed solution including incident definition and count, communication methods (email, phone, IM, etc), and escalation procedure	Essay	
A.17 Do you provide access to native English-speaking support representatives 24x7x365? If not please describe what hours native English-speaking representatives are available.	Essay	
A.18 Describe the support your proposal provides for customer-made customizations	Essay	

III. Proposer Selection and Implementation Plan, Methodology and Approach

Please answer each of the questions/requirements for the below categories. (Any additional information believed to be relevant with respect to the question's topic may be included in the answer.)

- Selection
- Control
- Implementation
- Completion

Implementation plan, methodology and approach	Answer Type	Please Describe in Detail and / or Provide Comments
A. Describe your typical recommended standard approach for an implementation of an IAM architecture.	Essay	
B. Describe the milestones for the approach described in A. above, to include the person-hour metrics for both Travis County and system integrator resources required to achieve them, as well as, total expected calendar duration.	Essay	
C. Do you require that we use your consulting services for implementation of all elements of the IAM architecture as described? If so, to what extent?	Essay	
D. Describe the ideal project team's (Contractor's) composition, skills and organization. Include estimates of the required time commitment for each team member, such as full-time, part-time, 50%, etc.	Essay	
E. Do you use one consistent project management process or methodology or do you tailor your project management process to the project at hand? Cite examples to illustrate your approach and reasons why you believe in it.	Essay	
F. What is the largest install base for users, remote sites and PC's for the application?	Essay	
G. Please describe this environment in detail.		
H. What types of quality control measures do you use?	Essay	
I. How do you monitor progress and account for variances in schedule and budget?	Essay	

Implementation plan, methodology and approach	Answer Type	Please Describe in Detail and / or Provide Comments
J. How do you identify and deal with project risks? What steps do you take to minimize risks?	Essay	
K. Do you include version control and document management? How do you manage these?	Essay	
L. How do you handle unanticipated changes in project scope?	Essay	
M. How do you handle unforeseen issues, which impact development?	Essay	
N. What implementation support do you provide? a. Please describe the roles and responsibilities	Essay	
O. Based on the previous government or like implementations, what was the average number of effort days it took?	Essay	
P. Describe the current implementation workload for the organization and indicate expected timeframe for resource availability.	Essay	
Q. Based upon your experiences from the most recent implementation for a similarly complex organization, please describe the number, roles, skill sets and time required of <u>client staff</u> .	Essay	
R. Provide an overall proposed schedule of how this will be accomplished.	Essay	
S. Provide information on all lead times required to supply products/equipment or services as specified.	Essay	
T. The proposal must list assumptions about the Travis County's staff participation, costs or specifications of necessary services, hardware or software to be provided by the Travis County outside the Proposer's proposal. Please describe.	Essay	
U. The implementation proposal must include a staffing plan. Please describe and provide an approximate number and roles of team members you recommend for this project. Include and indentify IT specific roles.	Essay	

Implementation plan, methodology and approach	Answer Type	Please Describe in Detail and / or Provide Comments
V. If the proposed implementation plan does not meet the Travis County's required completion date, please explain why?	Essay	
W. The vendor must work in compliance and cooperation with the Travis County and other third party support teams. Please describe how you plan to work with our third party support teams to successfully implement the Identity and Access Management solution	Essay	
X. List the audiences addressed in the Communication Plan.	List	
Y. For each audience of the Communication Plan, please describe the most likely topics that will be of interest.	List	
Z. Describe how the effectiveness of the Communication Plan will be evaluated throughout the implementation.	Essay	
AA. Describe previous experiences integrating custom applications within an IAM system.	Essay	
BB. Describe previous experience in designing custom workflows and policy definition for IAM workflows.	Essay	
CC. Have you experience in integrating new IAM systems with existing IAM systems, running in parallel? Please describe.	Y/N	
DD. Have you experience in designing and implementing parallel directory environments for transitional purposes (Travis County will maintain a parallel directory and IAM environment during the first phase of implementation)? Please describe.	Essay	
EE. What method do you use to formulate, execute and evaluate a comprehensive test plan to ensure that all development is complete and functional?	Essay	
FF. What type and how much training do you provide?	Essay	
GG. How do you manage the transition from the test environment to the production environment?	Essay	
HH. What support do you provide after implementation to adjust for problems and correct errors as a result of inadequate control?	Essay	
II. What procedure do you use to obtain final approvals from corporate management and to formally end the project?	Essay	

IV. Proposer Testing Experience -- Travis County requires a number of environments in which to fully vet the software development lifecycle process (SDLC) of the IAM components. The below environments are representative of the types of function and activity that will be performed throughout the SDLC.

- a) Development Environment
- b) QA Testing Environment
- c) Pre-Production
- d) Production

The Development / Testing Environment will primarily be used by the Proposer; however, the Proposer must include appropriate Travis County staff, where possible to insure that knowledge about the individual components is appropriately transferred and to insure that the solution being developed will meet the desired objectives while being in compliance with Travis County policies and established procedures. Selected Proposers must provide a fully functional Demonstration environment (Proof of Concept), which Travis County desires that the successful Proposer maintain for the duration of the implementation of the new Identity and Access Management services.

The QA testing environment shall allow development code/components to be further tested with other components within the architecture i.e., system integration testing. Other types of testing such as functional and load testing may be performed in this environment. The QA environment is sized such that suitable “stress and performance” testing can be performed.

The Pre-Production environment shall allow code that is “ready for production” a final functional testing in a “mirror-like” image of the actual production environment. The Pre-Production environment shall be functionally representative of the production environment.

Testing Experience

Implementation plan, methodology and approach	Answer Type	Please Describe in Detail and / or Provide Comments
A. Describe or show examples of test plans used in similar IAM implementations.	List	
B. Describe the high-level testing approach	Essay	
C. Describe any areas of perceived risk with respect to testing.	Essay	
D. Describe any typically mitigation approaches used for software testing.	Essay	

V. Proposer Migration Experience Please answer each of the questions/requirements. Any additional information believed to be relevant with respect to the question's topic should be included in the answer.

A. Data Migration Experience

Implementation plan, methodology and approach	Answer Type	Please Describe in Detail and / or Provide Comments
A.1 Provide examples of data migration project previously accomplished.	List	
A.2 Describe the high-level approach and best practices for large scale data migration and clean-up projects.	Essay	
A.3 List clean-up tools previously used in similar IAM based projects.	List	

B. Migration Experience

Implementation plan, methodology and approach	Answer Type	Please Describe in Detail and / or Provide Comments
B.1 Describe previous experiences of implementing IAM based systems which have replaced legacy systems.	Essay	
B.2 Describe a high-level approach for seamlessly integrating and migrating IAM based systems into a legacy environment (based on the proposed solution elements within this RFP document).	Essay	
B.3 Describe how you plan to meet the highest levels of 'availability' while integrating new systems.	Essay	
B.4 Describe any experience or knowledge you have in phased deployments of IAM based systems.	Essay	

ATTACHMENT D

Travis County is requesting proposals for the implementation of an Identity and Access Management (IAM) solution that includes the software, hardware and professional integration services - to aid in the planning, design, building, testing, and implementation phases of this project.

The Introduction (Part I, Part E, Section 1.0) lists thirteen components and functions. In Attachment D, please describe in detail how your firm's solution addresses these components through software and implementation services (*Quality of proposed product solution and demonstrated ability to implement customized solution*).

The planned implementation of the Identify and Access Management includes the following components and functions:

- User account provisioning, account management and account de-provisioning
- User authorization based on provisioning and de-provisioning of user entitlements)
- Access management capabilities supporting authentication and access control for Travis County's various network-based services and applications through the use of business policy and identity attributes
- Activity logging facilities that address auditing and compliance needs
- Directory services and directory repositories that store user-identity-related information