



UNIVERSITY  
OF MANITOBA

Information Services &  
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# UNIVERSITY OF MANITOBA

## IDENTITY & ACCESS MANAGEMENT SOLUTION

### REQUEST FOR PROPOSAL

INFORMATION SERVICES & TECHNOLOGY

RFP #ITPC-0066-1516-MW 1.0

## SECTION 1 – PROJECT SUMMARY

### 1.1 PROJECT OVERVIEW

The University of Manitoba (The University) is soliciting proposals for an Identity and Access Management (IAM) product or product suite and a qualified integrator to assist with the design and implementation of an enterprise IAM solution for the University of Manitoba. The overall objective of this project is the successful implementation of an enterprise IAM solution that will meet or exceed the scope as described in Exhibit 1. The University will only consider proposals from financially responsible firms presently engaged in the business of providing IAM solutions. Each Offeror must furnish the required documents in the required format as outlined in this RFP in order to be considered responsive.

The University expects to award the contract to the best-valued Offeror based on the requirements in this solicitation. The Offeror selected for award will be the Offeror whose proposal is responsive, responsible, and is the most advantageous to the University, as determined by the University in its sole discretion.

### 1.2 PROJECT BUDGET

The estimated budget for this project is \$1,000,000 Canadian dollars (CAD). The University's expectation is that this budget will cover the fees stated in Attachment G – Cost Proposal, Section 1 – Initial Costs, plus the first year licensing and maintenance costs. Ongoing Costs for years' 2-5 will be evaluated as part of the total evaluated costs for this project but are excluded from the estimated budget.

### 1.3 PROJECT DETAILS AND DESIRED OUTCOMES

The University expects to select a supplier that provides overall best value. The University's IAM Project developed an overall strategy and roadmap for the evolution of IAM within the University of Manitoba. Elements of this document have been incorporated within this RFP but the entire strategy and roadmap document can be made available by completing Attachment I – Request for Information Form and Attachment J – Non-Disclosure Agreement.

As part of the strategy and roadmap development, cross-organizational workshops were held in the summer of 2014 to compile a broad sampling of the IAM needs across the University community. The information from those workshops was used in the development of an IAM strategy, a future-state logical architecture, and a proposed roadmap.

The following key business drivers were identified for the IAM service:

1. **Enhancing User Experience:** The IAM service provides the initial engagement with both students and staff, and provides access to key resources at the University, throughout the person's tenure at the University and, in some cases, after their departure. There are numerous opportunities to improve user experience.

Some examples include:

- Earlier provisioning of resources, such as e-mail, to new applicants prior to registration to enhance the recruitment and engagement process;
- Faster provisioning of accounts and access for new staff and students, or people changing roles;
- Improved integration with faculties systems;
- Improved online experience with enterprise single sign-on.

2. **Managing Risk and Compliance:** The IAM service is a key security and privacy control within the University, protecting data, services, and assets from misuse and unauthorized access. The University continues on an ongoing basis, to look for opportunities to improve our access policies and procedures, thereby minimizing risk to the organization.
3. **Improving Automation and Efficiency:** The current IAM service is reliant on many manual processes and has not fully utilized the workflow automation, provisioning, and deprovisioning capabilities of the current IAM system. Adjusting current processes and enabling these processes with the IAM system could significantly improve provisioning and deprovisioning of accounts, ensuring timely access to appropriate resources and timely removal or modification of access when roles change or a person leaves the University.
4. **Federated Identity Management:** Increasing need to enhance the mobility and collaboration of faculty and students by seamlessly accessing resources at other universities and allowing visiting staff and students to access resources at the University of Manitoba.
5. **Expiring Legacy Technology:** The current IAM system (Oracle Waveset – internally referred to as Iridium) is being sunset and will no longer be supported by 2017. The University needs to replace this current product set.
6. **Build for the Future:** The proposed solution should allow for growth in terms of either scalability or feature set (such as adding new interfaces or adopting new identity/security best practises) of the solution (see Phase 2 of Exhibit 3 for further elaboration).

These drivers are important to the design of the desired state for IAM services and were used to guide the requirements set out in Exhibit 1 of this RFP.

#### 1.4 CURRENT STATE

The information detailed in Exhibit 2 is the University's best attempt at identifying the current conditions. This information may not be 100% accurate or complete. The vendor is encouraged to verify all information.

## SECTION 2 – INSTRUCTIONS TO OFFERORS

### 2.1 UNIVERSITY REPRESENTATIVE

The University has designated a representative (listed below) who is responsible for the conduct of this procurement. All inquiries, concerns, or clarifications regarding this procurement must be submitted in writing by email (no phone calls) to this individual only. Offerors shall not contact any other University employees

Ms. Lindsay Bruce  
Senior Purchasing Consultant, IT Procurement Centre  
E: [Lindsay.Bruce@umanitoba.ca](mailto:Lindsay.Bruce@umanitoba.ca)

### 2.2 INQUIRES, CLARIFICATIONS, REQUESTS FOR INFORMATION

Offerors are expected to promptly review the Request For Proposal (RFP) document, including all of the attachments, exhibits, and addendum. If discrepancies, inconsistencies, or omissions are found, the Offeror shall immediately notify the Procurement University Representative noted in Section 2.1. If the Offeror has questions or requires clarification of the scope of work, the University's intent, or any aspect of this procurement, they shall immediately notify the Procurement University Representative noted in 2.1. All questions, inquiries, clarifications, must be emailed by the due date identified in the Procurement Schedule. The University Representative may respond to any such requests by issuing written addenda. Verbal clarifications shall not be binding. Offerors should not rely upon any statements made by any person other than the University Representative noted in Section 2.1.

### 2.3 PROCUREMENT SCHEDULE

The University will make every effort to adhere to the schedule below. However, the University reserves the right to modify these activities and dates at any time.

No	Activity	Date
1	Project Announcement	05/01/15
2	RFP Release	05/14/15
3	Pre-Proposal Conference	05/20/15
4	Deadline to Submit Questions/Inquiries	06/05/15
5	Proposal Due Date (2:00 PM Winnipeg Time)	06/16/15
6	Invite Shortlist	06/18/15
7	Interviews	06/24/15
8	Client Illustrations	06/25/15
9	Clarification Period	07/06/15 - 08/07/15
10	Board Recommendation/Approval	09/25/2015
11	Anticipated Date of Award	09/30/15

## **2.4 PRE-PROPOSAL CONFERENCE**

A pre-proposal conference will be conducted to provide an overview of the project and the procurement process. Potential Offerors are strongly encouraged to send their potential Project Manager and Technical Lead to the training to obtain the greatest educational benefit. Attendance at this conference is not mandatory, but highly encouraged.

The Pre Proposal Conference will be held at:

Date: Wednesday, May 20, 2015

Time: 9:00 a.m. (Winnipeg local time)

Location: Room 260, Helen Glass Centre for Nursing, Fort Garry Campus

A campus PDF Map showing the Public Parkade and Helen Glass Centre for Nursing can be found at the following link: <http://umanitoba.ca/maps/>

Offerors are encouraged to review the link below for additional information on Best Value Procurement prior to attending the pre-proposal conference to obtain an understanding of the process.

[http://umanitoba.ca/admin/financial\\_services/purch/best\\_value\\_procurement.html](http://umanitoba.ca/admin/financial_services/purch/best_value_procurement.html)

## **2.5 ADDENDA**

The University may make changes to the RFP and/or provide clarification to information stated within the RFP by way of issuance of written addenda. All addenda issued prior to the Proposal Due Date will become part of this RFP and will be deemed to have been considered by the Offeror in its proposal.

Suppliers are required to monitor the University's Purchasing Services Bid Opportunities website [http://www.umanitoba.ca/admin/financial\\_services/purch/Bid\\_Opportunities.html](http://www.umanitoba.ca/admin/financial_services/purch/Bid_Opportunities.html) for all addenda to the RFP. It is the responsibility of the Bidder to ensure all addenda were received.

## SECTION 3 – SUBMISSION OF THE PROPOSAL

### 3.1 DATE, TIME, AND LOCATION

All proposal packages MUST be received no later than the date/time indicated in the Procurement Schedule in Section 2.3 (“Proposal Due Date”). Proposals received after this deadline will NOT be accepted. The University is not responsible for the timeliness of documents delivered nor will the University accept any proposal delivered to a location on campus other than the address specified below:

University of Manitoba  
IT Procurement Centre  
125 University Centre  
65 Chancellor's Circle  
Winnipeg, Manitoba R3T 2N2  
Attention: Ms. Lindsay Bruce, IT Procurement Centre  
RFP #ITPC-0066-1516-MW – Identity & Access Management Solution

### 3.2 FORMAT

All proposals must be printed on standard 8½ x 11 paper. Offerors must use the templates provided in the required Attachments. Proposal documents should be stapled together. Do not bind the documents in any other way.

### 3.3 NUMBER OF RESPONSES

Each Offeror shall submit only one (1) original hardcopy proposal and one (1) electronic version of their proposal on a CD, DVD or USB (in MS Word or PDF format). Proposals submitted by facsimile or email will not be accepted.

### 3.4 PROPOSAL PACKAGE CONTENTS AND REQUIREMENTS

Each Offeror shall submit one (1) proposal package. The package should be marked with reference to this RFP (RFP Number and Name). The package must be sealed and contain the information below. Any proposal that does not adhere to the requirements in this RFP may be deemed non-responsive, at the University's sole discretion.

Attachment A – Proposal Cover Sheet  
Attachment B – Proposal Form  
Attachment C – Project Plan  
Attachment D\* – Risk Assessment Plan  
Attachment E\* – Value Assessment Plan

**Attachment F – Survey Questionnaires**

Attachment G – Cost Proposal Form  
Attachment H – Proposed License, Maintenance and Service Agreements

A CD/DVD or USB containing the proposal as required in Section 4

*\* Indicates that the entire Attachment must be anonymous. These Attachments must NOT contain any names (company, personnel, project, product, etc.) that can be used to identify the Offeror.*

## SECTION 4 – PROPOSAL REQUIREMENTS AND FORMAT

### 4.1 OVERVIEW

This contract will be awarded on a best-value basis, as outlined in this RFP. The best value process consists of three primary stages: 1) selection, 2) clarification and pre-planning, and 3) post award performance measurement.

**Selection:** The first stage of the best value process focuses on the Offeror's ability to differentiate itself based upon the ability to identify, prioritize, and minimize risks, add value to the University and show a high level of past performance on behalf of other clients. Instead of focusing on minimum expectations, the University is allowing Offerors to compete based on value and their ability to maximize the University's satisfaction. Consequently, the submitted proposals should be brief, show differentiation, and allow the University to make a decision on which Offeror is the best value Offeror for the University. It is imperative that each Offeror realize that what is written in the proposals and discussed in the interview will become part of the Offeror's final contract.

**Clarification and Pre-Planning:** The second stage of the best-value process occurs prior to award with the anticipated highest prioritized Offeror. This Offeror will be required to clearly present their plan on how they will complete the project on-time, without any cost increases, and meeting the quality expectations of the University. This period of time is provided to the Offeror to ensure that they have properly addressed and accounted for all aspects of the project in their proposal

**Post Award Performance Metrics:** The third stage of the best-value process occurs after award, and requires the awarded Offeror to monitor and track all risks on the project on a weekly basis and monitor and track project progress.

### 4.2 ATTACHMENT TEMPLATES

This RFP contains Attachments, which must be used by the Offerors to submit their proposal. An electronic copy of each Attachment is posted online. The Offeror must download, complete, and submit each Attachment as their proposal. Offerors shall NOT re-create these attachments, create their own attachments, or edit the format of the attachments (page sizing, font type, font size, color, etc.). Any proposal that does not adhere to these requirements may be deemed non responsive, at the University's sole discretion.

### 4.3 PROPOSAL COVER SHEET (ATTACHMENT A)

The Offeror must complete all information requested in Attachment A. This document requests information on the following items:

- Contact information of the Offeror
- Acknowledgement of all addenda
- This document must also be signed by the person authorized to contractually obligate the Offeror/Organization.

#### 4.4 PROPOSAL FORM (ATTACHMENT B)

The Offeror shall prepare and submit Attachment B. This document requests information on the following items:

- Identification of the critical project team, including:
  - Project Manager – Will be the daily single point of contact for the University for this project (the University can contact at any time to resolve any issues and answer any questions) and will be the lead for the execution of this project for the entire duration of the project.
  - Technical Lead – Will be assigned to the project and assist the Project Manager.
  - These individuals shall be used by Offeror for the duration of the Contract resulting from this RFP. These individuals CANNOT be removed or replaced, unless requested to do so by the University.
- Completion of all certification and qualifications statements.
- Project Duration – The Offeror shall state the time required to fully implement their solution.

#### 4.5 PROJECT PLAN (ATTACHMENT C)

The Offeror shall prepare and submit Attachment C. The purpose of the Project Plan is to demonstrate to the University that the Offeror can visualize what they are going to do before they do it. The Project Plan should be developed around fulfilling the University's requirements within any known project constraints of cost, time, resources, quality, and expectations as described in this RFP. The Project Plan consists of the following sections:

- **Proposal Summary** – A brief chronological roadmap that describes, in major activities and tasks, how the Offeror will meet the University's expectations as set forth in this RFP. This should be a concise synopsis of the work and approach that will be taken to complete this project.
- **Project Assumptions** – A brief summary of the major assumptions that have been made in preparing the proposal. This should include items/tasks that the Offeror has assumed the University will perform, items/tasks required from the University, and items/tasks that have not been included in the proposal (items that the Offeror feels are outside the scope of work).
- **Roles, Responsibilities, Expectations** – A brief summary of the expectations and responsibilities that the Offeror has of the University or University personnel.
- **Clarification Period Schedule** – Provide a schedule for the Clarification Period, which includes all activities outlined in Section 6.2 of this RFP.

A Project Plan template is provided in this document and must be used by all Offerors. Offerors are NOT allowed to re-create, re-format, or modify the template (cannot alter font size, font type, font color; add colors, pictures, diagrams, etc.).

The Project Plan MUST NOT exceed 4 pages (front side of page only) (one page for the Proposal Summary, one page for the Project Assumptions, one page for Roles and Responsibilities, and one page for the Clarification Period Schedule).

Any plan that fails to meet all of the formatting requirements mentioned above, may be deemed nonresponsive, at the University's sole discretion.



The University also reserves the right, in its sole discretion, to modify a Proposal to remove non-compliant information. The Project Plan will become part of the final contract (if Offeror is selected for award).

#### 4.6 RISK ASSESSMENT PLAN (ATTACHMENT D)

The Offeror shall prepare and submit Attachment D. The Risk Assessment Plan should address risks that may impact the successful delivery of this project/solution/implementation, considering all expectations as described in this RFP. The Offeror should list and prioritize major risk items that are unique and applicable to this project/solution/implementation. This includes areas that may cause the project/solution/implementation to not be completed on time, not finished within budget, generate any change orders, or may be a source of dissatisfaction for the owner. The Offeror should rely on and use their past experience and knowledge of completing similar project/solution/implementation to identify these potential risks.

Each risk should be described in non-technical terms and should contain enough information to describe to a reader why the risk is a valid risk. The Offeror must also explain how it will avoid the risk or minimize the chances of the risk occurring. If the Offeror has a unique method to minimize the risk, the Offeror should explain it in non-technical terms. The Risk Assessment plan gives the opportunity for the Offeror to differentiate its capabilities based on its ability to visualize, understand, and minimize or eliminate risk to the University and the risk to a successful implementation of their solution. The Risk Assessment Plan is broken down into two subparts: Assessment of Controllable Risks and Assessment of Non-Controllable Risks.

- **Assessment of Controllable Risks:** This includes risks, activities, or tasks that are controllable by the Offeror, or by entities/individuals that are contracted to by the Offeror. This includes things that are part of the technical scope of what the Offeror is being hired to do. This may also include risks that have already been minimized before the project begins due to the Offeror's expertise (i.e. risks that are no longer risks due to the Offeror's expertise in delivering this type of project). All risks and strategies to mitigate these controllable risks must be included in the Offeror's total financial contribution.
- **Assessment of Non-Controllable Risks:** This includes risks, activities, or tasks that are not controllable by the Offeror. This may include risks that are controlled by the University, University's agents or organizations, risks that are caused by outside agencies, or completely uncontrollable risks. Although these risks may not be controlled by the Offeror, the Offeror must identify a strategy that can be followed or used to mitigate these risks. All risks and strategies to mitigate these non-controllable risks MUST NOT be included in the Offeror's total financial projections.

In order to minimize any bias, the Risk Assessment Plan MUST NOT contain any names that can be used to identify who the Offeror is (such as company names, personnel names, project names, or product names). The Risk Assessment Plan must not identify the Offeror's financial contribution for this service.

A Risk Assessment Plan template is provided in this document and must be used by all the Offerors. Offerors are NOT allowed to re-create, re-format, or modify the template (cannot alter font size, font type, font color; add colors, pictures, diagrams, etc.). The Risk Assessment Plan should be brief and concise. The Risk Assessment Plan MUST NOT exceed 2 pages (front side of page only) (1 page for the Assessment of Controllable Risks, 1 page for the Assessment of Non-Controllable Risks). Any plan that contains names, or fails to meet all of the formatting requirements mentioned above, may be deemed nonresponsive, at the University's sole discretion. The University also reserves the right, in its sole discretion, to modify a Proposal to remove non-compliant information. The Risk Assessment Plan will become part of the final contract (if Offeror is selected for award).

#### **4.7 VALUE ASSESSMENT PLAN (ATTACHMENT E)**

The Offer shall prepare and submit Attachment E. The purpose of the Value Added Plan is to provide Offerors with an opportunity to identify any value added options or ideas that may benefit the University or service. If the Offeror can include more scope or service within the constraints of the University, the Offeror should provide an outline of potential value added options. This may include ideas or suggestions on alternatives in implementation approach or methodology, use of third party services or products or hosted services, project scope, project timelines, additional functional or non-functional requirements, etc. The potential impacts to cost/financials should only be listed in the cost proposal form (Attachment **G**) as separate items. Prior to award (during the Clarification Phase), the University will determine if the value added items will be accepted or rejected.

In order to minimize any bias, the Value Assessment Plan MUST NOT contain any names that can be used to identify who the Offeror is (such as company names, personnel names, project names, or product names). The Value Assessment Plan MUST NOT identify the Offeror's financial contributions for this service.

A Value Assessment Plan template is provided in this document and must be used by all the Offerors. Offerors are NOT allowed to re-create, re-format, or modify the template (cannot alter font size, font type, font color; add colors, pictures, diagrams, etc.). The Value Assessment Plan should be brief and concise. The Value Assessment Plan MUST NOT exceed 1 page (front side of page only). Any plan that contains names, or fails to meet all of the formatting requirements mentioned above, may be deemed nonresponsive, at the University's sole discretion. The University also reserves the right, in its sole discretion, to modify a Proposal to remove non-compliant information.

#### **4.8 PAST PERFORMANCE INFORMATION (ATTACHMENT F)**

The Offeror shall prepare and submit Attachment F. Past Performance Information (PPI) will be used to assist the University in selecting the best-value offeror on this project. The offeror is responsible for selecting their team and for the performance of the team. The University will analyze past performance information on each of the entities below:

Entity #1: The Offeror (Firm)

Entity #2: The Project Manager (Individual that is listed in Attachment B)

Entity #3: The Technical Lead (Individual that is listed in Attachment B)

Entity #4: The Solution/System (Solution/System that is listed in Attachment B)

For each of these 'entities', the offeror shall prepare and collect Past Performance Surveys (Attachment F) as outlined below:

**Step 1) Identify Who To Contact:**

- Suggestions:
  - Each 'entity' should identify a list of client references that will evaluate their performance.
  - Each 'entity' should identify and survey their "best" references, or clients that are highly satisfied.
  - The reference projects should be similar or related to the general scope of this project/service.
- Requirements:
  - The University cannot be listed or used as a reference.
  - The references must be from projects that have been awarded.
  - The client or end user is the reference and must complete the survey. The survey cannot be completed by contractors, consultants, or other third parties.
  - Only one survey per past project is allowed (the 'entity' cannot have different individuals evaluate the same project)
  - The maximum number of surveys that can be submitted is 5 for each 'entity'. Failing to submit surveys will not disqualify an entity, however, the entity will receive 0 ratings/scores which may impact the offeror's overall competitiveness.

**Step 2) Preparing the Surveys:**

- Each 'entity' is responsible for preparing their own surveys. The survey questionnaire is separated into three different sections/parts. In order to receive credit for a returned survey, the 'entity' shall provide all required information on the survey, including:
  - (Part A) The 'entity' shall enter the name of the Vendor (Offeror) and/or name and titles of Key Personnel that are being evaluated by the end client in this survey.
  - (Part B) The 'entity' shall enter background information about the project being evaluated. All information is required. Failure to provide this information, or listing "n/a" or "confidential" may result in no credit for the survey. The information that is required includes:
    - Name of the client or organization that purchased or owns the project (i.e. City of London)
    - Name of the project itself (i.e. Fire Station #7, Cafeteria Bld)
    - Date the project was awarded (i.e. May 2008)
    - Estimated/Approximate Size of the Project (i.e. \$200,000)
  - (Part C) This Part is to be completed by the client/end user, and includes a customer satisfaction question, general comments, and contact information. The 'entity' must ensure that the client's phone number is correct and working.

**Step 3) Distributing and Collecting the Surveys:**

- Prior to distributing the surveys, it is recommended that the 'entity' contact each client/reference to ensure that they are able and willing to complete the

survey.

- The 'entity' should fax, email, mail, or hand delivery the survey to each client/reference.
- The 'entity' must modify the return information (located at the bottom of the survey) so that the surveys are returned back to the 'entity'.
- The 'entity' should follow up with each client/reference to make sure they complete the survey and send the survey back to the 'entity'.
- All returned surveys MUST be evaluated AND signed by the client/reference. Once again, this reference must be the owner or end client of the project/service.
- If a survey is not signed, it will NOT be counted or considered.
- The University may contact the client/reference to clarify a survey rating, check for accuracy, or to obtain additional information. If the client/reference cannot be contacted, the survey may be deleted and no credit given for that client/reference.
- Returned surveys must be packaged together and submitted with the offeror's proposal

#### **Additional Information**

- To obtain each 'entities' Past Performance Information score, the University will input and average the client/reference satisfaction scores. The University shall also count the total number of returned surveys (which will be analyzed along with the average survey scores).
- More than one entity may use the same reference/survey, provided that they were associated with the same project (for example, if Joe Smith was a Project Manager for ABC Company, and they completed a project for National Airlines, only one survey needs to be sent to National Airline that lists both Joe Smith and ABC Company. Both entities will then receive the same survey score).

#### **4.9 COST PROPOSAL (ATTACHMENT G)**

The Offeror shall prepare and submit the Cost Proposal (Attachment G), which requests the following information:

- **The Offeror's Overall Total Project Cost** – The Total Project Cost shall be used in the analysis. The Total Project Cost shall be a firm-fixed cost and shall include the cost for everything that is necessary to meet the intent of the University as described in the RFP. This cost shall include (but is not limited to): materials, products, labor, subcontractors, suppliers, fees, overhead, profits, travel, and all direct and indirect costs (exclusive of all applicable taxes). Though it is preferred that Offeror costs are provided in Canadian dollars (CAD), the cost proposal should be quoted in the same currency in which the University would be invoiced by the Offeror (either CAD or US dollars). For the purpose of evaluation, any costs quoted in US dollars will be converted to Canadian dollars at a forecasted average exchange rate over the next 18 months.
  - The Total Project Cost is broken down into 2 categories (Initial costs and Ongoing Costs):
    - Initial Costs

1. Software products included in the Offeror's solution (including license(s) fees)
  2. Proprietary Hardware products included in the Offeror's solution
  3. Infrastructure products included in the Offeror's solution
  4. Integration/Implementation services for the Offeror's solution
  5. End user training costs
  6. Maintenance and Licensing fees for year 1
- Ongoing Costs (years 2-5)
    7. Ongoing maintenance costs for all software products included in the Offeror's solution
    8. Annual license fee
    9. Any other costs associated with the Offeror's proposal
  - The Offeror shall submit estimated costs and schedule impacts (if any) for each value added item from the Offeror's Value Assessment Plan in Attachment G. The University will review any proposed Value Added options separately and reserves the sole right to determine which, if any, Value Added options will be accepted as a part of the contract award. Value Added options will not be considered in the cost evaluation analysis.

The University reserves the right to request additional information to clarify any financial information.

## SECTION 5 – EVALUATION PROCESS

### 5.1 OVERVIEW

The University will determine the potential best-valued Offeror who, in the sole judgment of the University, best meets the RFP requirements. The University reserves the right to clarify, negotiate, or seek additional information, on any Proposal. At any point during the procurement, the University reserves the right to re-scope the project, issue a new solicitation, or cancel the RFP altogether. The University reserves the right to add/delete/modify any criteria or requirement in this RFP if the University deems it to be in their best interest (at the University's sole discretion).

### 5.2 EVALUATION SUMMARY

Proposals will be prioritized based on the categories described below. Note: Only shortlisted Offerors will be evaluated and receive points for Interviews and Client Illustrations.

Evaluation Category	Points
Cost	250
Interview	250
Risk Assessment Plan	200
Value Assessment Plan	100
Client Illustrations	150
Past Performance Information	50
Total	1,000

A sample spreadsheet that includes all of the criteria, weights, and formulas can be found online at the link below for Purchasing Services – Best Value Procurement: [http://umanitoba.ca/admin/financial\\_services/purch/best\\_value\\_procurement.html](http://umanitoba.ca/admin/financial_services/purch/best_value_procurement.html)  
This spreadsheet is for informational purposes only.

### 5.3 RESPONSIVE AND RESPONSIBLE

The University shall only consider and evaluate proposals from responsive and responsible Offerors.

To be considered responsive, at a minimum, Offerors must complete and submit all of the required information that is requested in this RFP and its Attachments, and the Proposal must also be delivered on time and to the correct address as identified in this RFP. Any proposal that is unsigned, improperly signed or sealed, conditional, illegible, obscure, contain arithmetical errors, erasures, alterations, or irregularities of any kind, may be marked as non-responsive.

The University, in its sole discretion, may reject any proposal in which the Offeror:

- Has unsatisfactorily performed work for the University (in the University's opinion);
- Has a current contract with the University which is not in good standing;

- Has had a contract terminated by the University for non-performance;
- Is engaged in unresolved disputes or is in litigation with the University;
- Has been, or is presently debarred, suspended, proposed for debarment, or declared ineligible for award of a contract by any public entity;
- Has had judgments rendered against them for fraud, embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or tax evasion.

The University reserves the right to contact any Offeror to clarify any information in its proposal, to request additional information from the Offeror, or to conduct additional investigation about the Offeror not outlined in this RFP. Offerors that do not, or cannot provide the requested information will be considered nonresponsive.

#### **5.4 EVALUATION COMMITTEE**

An Evaluation Committee will be used to evaluate specific portions of all responsive Proposals (including the Risk Assessment Plan, the Value Assessment Plan, Interviews, and Illustrations). The Evaluation Committee will independently review and score the items comparatively to one another based on a 1, 5, 10 scale. A “10” represents that the item being evaluated is dominantly greater (or has more value) than the average. A “5” represents that the item being evaluated is about average (or there is insufficient information to make a dominant decision). A “1” represents that the item being evaluated is dominantly below the average. Once each member has individually scored each item, their scores will be sent to the Procurement University Representative, who will then average the scores together to obtain the final average score for each of the evaluated criteria.

#### **5.5 SHORTLISTING OFFERORS**

The process that the University is expected to follow to shortlist Proposals is outlined below. Note: The University may modify this process if it is in the best interest of the University.

1. All proposals will be reviewed for compliance with the mandatory requirements as stipulated within the RFP. Proposals deemed non-responsive to mandatory requirements will be eliminated from further consideration. The Procurement University Representative or designate may contact Offerors for clarification of the responses.
2. The Procurement University Representative or designate will assign a unique code to each responsive proposal.
3. The Procurement University representative or designate will provide evaluation documents to each Evaluation Committee member along with coded Risk Assessment Plans and Value Assessment Plans. No cost information or team information will be provided to the Committee members.
4. The Committee members will independently evaluate and score the documents and submit their scores back to the Procurement University Representative or designate.
5. The Procurement University Representative or designate will create a linear matrix model to assist in analyzing and prioritizing the responsive Proposals based on the submitted information. The model will analyze: Cost, Risk Assessment Plan, Value Assessment Plan, and Past Performance Information.

6. The Procurement University Representative or designate will present the results of the model to the Evaluation Committee, which will then identify the top two to three highest ranking proposals, and identify them as the Shortlisted Offerors. The Evaluation Committee reserves the right to increase or decrease the number of proposals in this list based on the competitiveness of the proposals.
7. The Shortlisted Offerors will be required to participate in an interview process and Illustration process.

## **5.6 INTERVIEWS**

The University will conduct interviews with each of the Shortlisted Offerors which will include the following individuals (Note: The University may also request to interview additional personnel):

- Project Manager
- Technical Lead

The individuals that will be interviewed must be the same person that is identified in the Offeror's Proposal. No substitutes, proxies, phone interviews, or electronic interviews will be allowed (special circumstances may be considered at the sole discretion of the University). Individuals who fail to attend the interview will be given a "1" score, which may jeopardize the Offeror's competitiveness.

Interviews are expected to last approximately 30 minutes per individual. No other individuals (from the Offeror's organization) will be allowed to sit in or participate during the interview session. Interviewees may not bring notes or handouts. The University may interview individuals separately and/or as a group. Interviewees will be prohibited from making any reference to their proposed cost proposal or cost information. The University may request additional information prior to interviews.

## **5.7 CLIENT ILLUSTRATIONS**

The Shortlisted Offerors will be required to setup and prepare Client Illustrations of their IAM solution/system. The purpose of this Illustration is to view an installed and fully operational system. The Offeror must identify at least one (1) past or current end user that is currently using a solution/system that is similar to the solution/system being proposed on this project. The past or current client will be asked to illustrate basic solution or system functionality. The Offeror should use client(s) that are willing to conduct a high-level illustration/demonstration of similar products.

Offerors will be responsible for scheduling approximately one (1) hour with the end user to perform the Illustrations. Under no circumstance will the Offeror be allowed to demonstrate a prototype system or any other system that is not currently being used by the end user(s) demonstrating the system (unless absolutely necessary). Illustrations that exceed the one hour maximum limit may be deemed non-responsive, at the University's sole discretion. Offerors who fail to conduct the Illustration will be given a "1" score, which may jeopardize the Offeror's competitiveness.



The Offeror is encouraged to travel to the end client's site to establish an online, real-time Illustration. The Offeror is required to establish a webcam and a microphone at the end client's site along with a web application that will allow the evaluation committee to view the Illustration (such as WebEx, GoToMeeting, Adobe Connect, etc.). The evaluation committee will log on to view the end client Illustration, and may also ask the client general satisfaction questions about the system. The Offeror may assist the client during the Illustration if required; however, greater credit/preference will be given to Illustrations that require little interaction from the Offeror.

The Client Illustration should NOT be a detailed or technical review of the system (but a very high level overview). The end client does not have to show any confidential records. It will be a high-level illustration of the system. The Offeror or end client should not give a presentation nor present any "marketing" information. This time period must be used to demonstrate an actual installed and operating system. The end user must identify an individual or individuals that can perform the tasks. It is the understanding of the University that clients may also have parallel systems or "test environments" that were developed to mirror the system itself without any confidential data that can be used.

The University will provide a more detailed description of the Client Illustration expectations and requirements to the shortlisted Offerors prior to the Client Illustration Date.

## **5.8 FINAL PRIORITIZATION OF OFFERORS**

After the shortlisted Offerors have been interviewed and completed their Client Illustration, they will be evaluated and scored by the Evaluation Committee. The University Procurement Representative or designate will then create a final linear matrix model for the shortlisted Offerors based on all of the criteria outlined in Section 5.2. Once these Offerors have been prioritized, the University Procurement Representative or designate will perform a cost reasonableness assessment as identified in the next section.

## **5.9 COST REASONABLENESS**

The Procurement University Representative or designate will perform a cost reasonableness assessment of the highest ranking Offeror in the following manner:

- If any proposal has a Total Project Cost that exceeds 50% above or below the average Total Project Cost, the University reserves the right to not consider that proposal (regardless of ranking).
- If the highest ranked Offeror's Total Project Cost is within 5% of the next highest ranked Offeror's Total Project Cost, the University reserves the right to proceed to invite the highest ranked Offeror to the Clarification Period.
- If the highest ranked Offeror's Total Project Cost is 5% higher than the next highest ranked Offeror's Total Project Cost, the University reserves the right to invite the second highest ranked Offeror to the Clarification Period (unless the University concludes that there is dominant information to proceed with the highest ranked Offeror).
- The University reserves the right to first consider proposals with **initial costs** within the budget. If all proposals are over budget, the University may negotiate with the highest ranked proposal(s), or cancel the procurement.



## **SECTION 6 – CLARIFICATION PERIOD**

### **6.1 OVERVIEW**

Prior to award, the apparent best-valued Offeror will be required to perform the clarification period functions as outlined in this section. The intent of this period is to allow the apparent best-valued Offeror an opportunity to clarify any issues or risks, and confirm that their proposal is accurate. The Clarification Period is carried out prior to the signing of the Contract. The University's objective is to have the project completed on time, without any cost/financial deviations, and with high customer satisfaction. At the end of the project, the University will evaluate the performance of the Offeror based on these factors, so it is very important that the Offeror preplan the project to ensure there are no surprises.

It is the Offeror's responsibility to ensure that the Offeror understands the University's subjective expectations. It is not the University's responsibility to ensure that the Offeror understands what its expectations are. The Offeror is at risk, and part of the risk is understanding the University's expectations. The Offeror will not be permitted to modify its proposal, proposed financial contribution, or project team (unless through mutual negotiations with the University, in which case the new offer becomes binding).

### **6.2 REQUIRED ACTIVITIES / DELIVERABLES**

The Offeror will be required to preplan the project in detail to ensure that there are no surprises. The Offeror will be required to perform the following (including, but not limited to):

1. Perform a detailed cost verification
  - a. Provide a detailed cost breakdown
  - b. Identify why the cost proposal may be significantly different from competitors
  - c. Review big-ticket items
  - d. Review value added options
  - e. Identify how payments will be made and all expectations regarding finances
  - f. Provide pricing model for ongoing costs beyond year 5
2. Align expectations
  - a. Identify any potential deal breakers
  - b. Clearly identify what is included and excluded in the proposal
  - c. Review any unique requirements with the University
  - d. Review interview statements
  - e. Clearly identify University roles and responsibilities
  - f. Review and approve all contract terms and conditions
  - g. Introduction of the Offerors critical personnel to the University team
  - h. Provide a transitioning plan/schedule
  - i. Provide plan for critical staff retention and plan if these individuals leave
3. Perform detailed product demonstrations
  - a. Identify how product/system meets technical requirements
  - b. Demonstrate any additional features

4. Carefully preplan the project in detail
  - a. Coordinate the project/service with all critical parties
  - b. Prepare a detailed project schedule identifying critical milestones
  - c. Prepare a detailed project plan
  - d. Provide a transition to production plan
5. Identify all assumptions
  - a. Prepare a list of all proposal assumptions (with associated impacts)
  - b. Identify and mitigate all project risks
  - c. Address all client concerns and risks
  - d. Address all risks identified by other proposers
  - e. Address all risks that occurred on previous past projects
6. Identify and mitigate all uncontrollable risks
  - a. Identify all risks or activities not controlled by the Offeror
  - b. Identify the impact of the risks
  - c. Identify what the University can do to mitigate the risks
  - d. Address how unforeseen risks will be managed
7. Performance reports and metrics
  - a. Identify how the Offeror will track and document their progress and performance
  - b. Review the Weekly Risk Report
  - c. Review key business drivers and identify specific and measurable key success factors that can be used to assess project performance.

### **Kickoff Meeting**

The University will require the Offeror to conduct a kickoff meeting at the outset of the Pre-Award Clarification Period. The Offeror will lead the kickoff meeting and is expected to be prepared to present the following information:

- Description of their plan for project execution and management
- High level schedule for project delivery
- Address any major concerns provided by University
- Identify and address any major deal breakers
- Address all project/service assumptions
- Explain why their cost/financial Proposal may be different from the budget and/or competitors.
- Identify major risks to project delivery (focusing on risks that the Offeror does not directly control) and the associated risk mitigation strategy.
- Clearly identify any information or actions needed from the University to support successful project delivery.
- Propose a meeting schedule for items that must be reviewed in detail and resolved during the Pre-Award Clarification Period.

### **Summary Meeting**

The potential best-valued Offeror will be required to hold a final summary meeting at the end of the Pre-Award Clarification Period. This meeting is to present a summary of the final details that were discussed and resolved during the clarification period. This meeting is not a question-and-answer meeting.

The Offeror will lead the meeting to present the entire Proposal, project execution plan, and identified risks and mitigation plans.

**6.3 CLARIFICATION DOCUMENT**

The potential best-valued Offeror will be required to submit a Clarification Document, that will contain (at a minimum) the information outlined in the previous section. This document will only be performed by the Offeror that is invited to (and successfully completes) the Clarification Period. Any invitation will not constitute a legally binding offer to enter into a contract on the part of the University to the Offeror.

**6.4 NEGOTIATION PERIOD**

The University reserves the right to negotiate with the potential best-valued Offeror during the Clarification Period. This may include, but is not limited to, modifying the scope of the project (time, cost, quality, expectations, etc.). Any negotiations will not constitute a legally binding offer to enter into a contract on the part of the University or the Offeror.

**6.5 RESULT OF NEGOTIATION PERIOD**

When the Negotiation Period has been completed, the Offeror shall submit an Amended Clarification Document which shall include any changes to the proposal based on the negotiations with the University.

**6.6 FAILURE TO ENTER INTO AN AGREEMENT**

At any time during the Clarification Period, if the University is not satisfied with the progress being made by the invited Offeror, the University may terminate the Clarification Period activities and then commence or resume a new Clarification Period with an alternative Offeror. If the Offeror and University fail to agree to terms, or fail to execute a contract, the University may commence a new Clarification Period with an alternative Offeror. There will be no legally binding relationship created with any Offeror prior to the execution of a written agreement. Any Offeror's proposal, terminated in accordance with this article, is removed from further participation in this Request for Proposal.

## **SECTION 7 – INTENT TO AWARD AND POST-AWARD METRICS**

### **7.1 NOTIFICATION OF INTENT TO AWARD**

No action of the University other than a written notice from an authorized Procurement representative of the University to the Offeror, advising of acceptance of the proposal and the University's intent to enter into an Agreement, shall constitute acceptance of the proposal.

### **7.2 WEEKLY RISK REPORTING SYSTEM**

The Weekly Risk Reporting System (WRRS) is a spreadsheet that documents any risks that may impact project performance or financial contributions (or commissions) to the University. This includes risks that are caused by Offeror (or entities contracted by Offeror), and risks that are caused by University (scope changes, unforeseen conditions, etc.). The weekly report is a Microsoft Excel file that must be submitted on the Friday of every week. The report is due every week once the contract is awarded and must be submitted every week throughout the duration of the project until receipt of final payment. The WRRS does not substitute or eliminate weekly progress reports or any other traditional reporting systems or meetings (that the Offeror may perform or may be required to perform). Additional education regarding this spreadsheet will be provided during the Clarification Period (formatting requirements, submission requirements, and other requirements of this system).

### **7.3 POST PROJECT EVALUATION**

Upon completion of the project, the University will evaluate their overall satisfaction of the project. This includes (but is not limited to): overall quality, ability to manage the project, ability to minimize complaints, ability to minimize University efforts, ability to minimize project delays, ability to minimize cost increases, and submission of accurate and timely weekly risk reports.

The final rating on this project will be used to replace the Offeror and its team (Project Manager, Technical Lead, and critical subcontractors) Past Performance Information scores (refer to Section 4.8) on the next Best-Value project.

## **SECTION 8 – ADDITIONAL CONDITIONS AND REQUIREMENTS**

### **8.1 AGREEMENT, TERMS AND CONDITIONS**

The Successful Offeror understands and agrees that upon acceptance of their submission by the University, the RFP document and addenda, the Successful Offeror's submission, and any other written statements may become part of the contract.

The Offeror must provide their proposed license, maintenance and service agreements that may become part of the contract and submit as Attachment **H** with their proposal.

### **8.2 INSURANCE REQUIREMENTS**

The awarded Offeror is expected to provide insurance coverage as required by the University. The insurance must name the University as an additional insured or provide a completed Certificate of Insurance showing the same information.

### **8.3 INCURRED COST**

The University is neither liable nor responsible for any costs incurred by the Offeror in the preparation, submission or presentation of its proposal. The Offeror will not be reimbursed for any costs associated with the procurement of this project.

### **8.4 NO OBLIGATION**

This procurement in no manner obligates the University to issue an award. The University reserves the right, in its sole and absolute discretion, to: accept any proposal, reject any proposal or any part thereof, reject all proposals, and accept a proposal which is not the highest scoring proposal.

### **8.5 RIGHT TO MAKE MODIFICATIONS**

The University reserves the right in its sole discretion to waive minor irregularities, make modifications to the procurement, or make modifications to the requirements.

### **8.6 DUE DILIGENCE**

The University reserves the right to contact any Offeror to clarify any information in its proposal. The University reserves the right to perform its own due diligence on any Offeror. The University also reserves the right to request additional information not described in this RFP (such as detailed financial information, additional references, etc.). Offerors that do not, or cannot provide the requested information may be considered nonresponsive.

### **8.7 OWNERSHIP OF PROPOSALS**

All proposals and documents submitted in response to the RFP will become the property of the University.

#### **8.8 OFFEROR RESPONSIBILITY**

Any contract that may result from this RFP shall specify that the Offeror is solely responsible for fulfillment of the contract with the University. The Offeror shall be responsible for their subcontractors, suppliers, or any other parties that they contract with. The Offeror shall be wholly responsible for the entire performance whether or not subcontractors are used.

#### **8.9 DISCLOSURE OF PROPOSAL CONTENTS**

During the procurement process, proposals will not be made public. The University reserves the right to make specific proposal or evaluation information available after award has been made.

#### **8.10 DEBRIEFING**

The University will make its best attempt to provide a debriefing on the evaluation and award of this project to all shortlisted Offerors within ninety (90) days of award on request. The purpose of the debriefing is to provide general feedback on the evaluation process, including strengths and weaknesses of all proposals in general.

#### **8.11 CONFLICT OF INTEREST**

The Offeror warrants to the best of their knowledge, that no potential Conflict of Interest exists with any University of Manitoba staff, either in the RFP proposal and/or evaluation process, nor would any potential Conflict of Interest exist with any University staff, if awarded the contract under this RFP, as defined in the University's Conflict of Interest Policies and Procedures, as amended from time to time on the website: [http://www.umanitoba.ca/admin/governance/governing\\_documents/community/248.htm](http://www.umanitoba.ca/admin/governance/governing_documents/community/248.htm)

#### **8.12 SUPPLIER NON-RESIDENT**

Services performed in Canada by any non-resident (individual, sole proprietor, organization, corporation, or partnership) is subject to a 15% Non-Resident Withholding Tax. A non-resident may be able to obtain a waiver or a reduction in the withholding tax. Additional information is available at: <http://www.cra-arc.gc.ca/tx/nrrsdnts/cmmn/rndr/pyr-eng.html>.

#### **8.13 FREEDOM OF INFORMATION AND PROTECTION OF PRIVACY ACT**

This information is being collected under the authority of The University of Manitoba Act. It will be used to assess the qualifications of the supplier who wishes to do business with the University. Personal information within this document is protected by the Freedom of Information and Protection of Privacy Act. If you have any questions about the collection, contact the FIPPA Coordinator's Office, (204) 474-8339, University of Manitoba Archives & Special Collections, 331 Dafoe Library, Winnipeg, MB, R3T 2N2. Suppliers are encouraged to identify any non-personal information in their proposal that is confidential and specify what harm could reasonably be expected from its possible disclosure.



#### **8.14 GOVERNING LAW**

This procurement and any award that may result shall be governed by the laws of the Province of Manitoba.

#### **8.15 EMAIL REQUIREMENTS**

A large part of the communication regarding this procurement will be conducted by electronic mail (email). The Offeror must have a valid email address to receive this correspondence.

#### **8.16 USE OF ELECTRONIC VERSIONS OF THIS RFP**

This RFP is being made available by electronic means. The Offeror acknowledges and accepts full responsibility to insure that no changes are made to the RFP. In the event of conflict between a version of the RFP in the Offeror's possession and the version maintained by the University, the version maintained by the University shall govern.

#### **8.17 LAWS, REGULATIONS AND PERMITS**

The Offeror shall give all notices required by law and comply with all applicable federal, University, and local laws, ordinances, rules and regulations relating to the conduct of the work. The Offeror shall be liable for all violations of the law in connection with work furnished by the Offeror, including the Offeror's subcontractors. Offeror guarantees all items, and services, meet or exceed those requirements and guidelines established by the Occupational Safety and Health Act. Offeror warrants that neither supplier nor its principals is presently debarred, suspended or proposed for debarment by the Federal Government.

#### **8.18 REFERENCES**

Purchasing Services – Best Value Procurement

[http://umanitoba.ca/admin/financial\\_services/purch/best\\_value\\_procurement.html](http://umanitoba.ca/admin/financial_services/purch/best_value_procurement.html)

Quick Facts about the University of Manitoba

[http://umanitoba.ca/about/quick\\_facts/](http://umanitoba.ca/about/quick_facts/)

Student enrolment and human resources statistics:

[http://umanitoba.ca/admin/oia/media/2011-2012\\_IS\\_BOOK\\_Final\\_Apr\\_22\\_2013.pdf](http://umanitoba.ca/admin/oia/media/2011-2012_IS_BOOK_Final_Apr_22_2013.pdf)

Sustainability at the University of Manitoba: A Strategic Vision for Action

[http://umanitoba.ca/campus/physical\\_plant/sustainability/678.html](http://umanitoba.ca/campus/physical_plant/sustainability/678.html)

#### **8.19 DURATION OF OFFER**

Responses to this RFP, including proposal prices, will be considered firm for one hundred and twenty (120) days after the due date for receipt of proposals.

## **ATTACHMENTS AND EXHIBITS**

Exhibit 1 – Project Details and Scope  
Exhibit 2 – Current Conditions  
Exhibit 3 – Phase 2 High Level Requirements

Attachment A – Proposal Cover Sheet  
Attachment B – Proposal Form  
Attachment C – Project Plan  
Attachment D\* – Risk Assessment Plan  
Attachment E\* – Value Assessment Plan  
Attachment F – Survey Questionnaires  
Attachment G – Cost Proposal Form  
Attachment H – Proposed License, Maintenance and Service Agreements

*\* Indicates that the entire Attachment must be anonymous. These Attachments MUST NOT contain any names (company, personnel, project, product, etc.) that can be used to identify the Offeror.*

# EXHIBIT 1

## PROJECT OBJECTIVES AND SCOPE

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### 1.0 PROJECT OBJECTIVE

The overall objective of this project is the successful implementation of an enterprise IAM solution that will meet or exceed the scope and expectations identified below while addressing the key business drivers identified in Section 1.2.

### 2.0 PROJECT SCOPE

The scope of work for this project is an IAM solution that includes:

- Software products;
- Hardware/Infrastructure products;
- Delivery/Integration/Implementation services;
- End user training/documentation; and
- Ongoing maintenance and licensing for the solution.

### 2.1 Delivery Approach

The implementation of the IAM Service is currently divided into two phases. The delivery of Phase 2 is not included in the scope of this RFP. The details of Phase 2 (See Exhibit 3) are provided for informational purposes only. However, the architecture of the new IAM service will need to take into consideration the needs of the subsequent phases and the IAM service foundation needs to be designed and implemented to support these Phase 2 requirements.

1. **Phase 1 – Build Foundation Architecture and Transition Current Services:** This phase establishes the new IAM system, improves current processes, transitions existing services and downstream systems to the new environment, and addresses key limitations in the current state environment. Please refer to Exhibit 2 for a detailed description of the current state.
2. **Phase 2 – Enhance and Extend IAM Service:** This phase enhances the IAM service by taking advantage of additional functionality, enhancing and automating processes, and extending the functionality of the IAM services to additional downstream systems. See Exhibit 3 for additional Phase 2 high level requirements.

### 2.2 Phase 1 – Build Foundation Architecture and Transition Current Services

The objective of this phase is to establish the new IAM system and transition current capabilities and systems to the new system. The addition of new functionality will be minimized initially to focus on a smooth transition and continuity of existing services.

### 2.2.1 Phase 1 High Level Requirements

- **Identity and Entitlement Repositories:** Design and establish the data repositories for identity and entitlements. The Identity Repository will be built and maintained by drawing from each of the source systems, to establish a centralized identity repository for the University. The Entitlements Repository will be built based on the defined roles and access entitlement that are associated with different roles in the environment.
- **Account Administration:** Implement account administration services that allow the management of identities, roles, and access within the IAM systems.
- **IAM Workflow Management:** Implement workflow management that allows the definition and automation of business rules for the approval of requests along with the provisioning, change, deprovisioning of identities, accounts, and access.
- **Coarse-Grained Access Management:** Provide the ability to manage provisioning, change, and deprovisioning of access to downstream systems by managing accounts and basic privileges in the systems.  
Note: Fine-grained access management within the downstream systems will be managed within the downstream system rather than being automated with the IAM system, during this phase.
- **Access Reviews and Certification (Basic):** Provide the ability to generate regularly recurring and on-demand reports to review and certify access, ensuring that only authorized access has been provided.
- **Registration Services:** Provide the ability to register and proof new identities within the IAM system.
- **Self-Service:** Provide the ability for end users to manage their own identities and access, including claiming accounts, resetting passwords; managing challenge and response questions, requesting new services, and updating select identity attributes.
- **Transition Services and Decommission Legacy System:** Transition from the current IAM system to the new IAM system, ensuring that current functionality is maintained or enhanced, and there is continuity of services during the transition. Decommission the existing IAM system as part of the transition process.
- **Federation:**
  - **Internal - Enterprise Single Sign-On:** Provide enterprise single sign-on capabilities to reduce number of logins by the user, including federated sign-on with third-party systems and services.
  - **External:** Provide an ability to bestow access to U of M managed services to externally identified (i.e. Educational Federation systems such as Incommon, Canadian Access Federation (Canarie), eduGAIN, or another University or Government body) users.

### **3.0 ENTERPRISE ARCHITECTURE STANDARDS**

The below reflects what we currently have in place, although these are the preferred configurations, deviations from these standards may be considered under certain circumstances.

#### **3.1 Server Infrastructure**

The University of Manitoba has a preference to utilize virtual machines over bare metal. The virtualization technology used is Vsphere Enterprise 5.5.

#### **3.2 Operating Systems**

At the operating system level the University of Manitoba prefers to use either Windows Server 2012R2 or RedHat Enterprise Linux 6.

#### **3.3 Web Application Servers**

The University of Manitoba prefers to utilize either Apache Tomcat 7 or 8 or Microsoft IIS 8.5 to host web applications.

#### **3.4 Data Base**

The University of Manitoba prefers to utilize either Oracle 12c or MS SQL 2008 with an ability to go to 2012.

## **EXHIBIT 2 CURRENT STATE**

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Best efforts have been made to obtain detailed information on the current conditions at the University. This information should not be assumed to be 100% complete or accurate. The University is looking to secure services equal to, or better than, the level of service currently provided.

### **1.0 ABOUT THE UNIVERSITY**

The University of Manitoba (hereinafter referred to as the “University”) is Western Canada’s first university, founded in 1877. The University of Manitoba is the only medical doctoral University in the province of Manitoba. The main Fort Garry Campus is a 274-hectare complex where more than 60 major buildings support the teaching and research programs of 23 faculties. The University’s operating budget is typically over \$380 million. It is one of Manitoba’s largest employers with over 5,000 full and part-time academic and support staff.

The University is home to nearly 28,000 students, including international students representing 144 countries, enrolled in undergraduate, graduate and professional degree programs. The University invests heavily in research and currently holds 47 Canada Research Chairs and has generated over \$11.6 million in technology commercialization royalty revenues over the past five years.

Located at the Bannatyne campus, the Faculty of Health Sciences has established links to the major hospitals in Winnipeg. Bannatyne Campus is a complex of 10 buildings located in central Winnipeg connected to the Health Sciences Centre. Other satellite locations include the William Norrie Centre for social work education for inner city residents; University of Manitoba Downtown Aboriginal Education Centre offering degree and certificate programs in partnership with Aboriginal, First Nations, and Métis communities; agricultural research farms at Glenlea and Carman; and field stations at Delta Marsh and Star Lake.

Building, equipment and library holdings for all University locations at replacement value are worth more than \$2 billion.

Information Services and Technology (IST), an administrative unit reporting to the Vice-President (Administration), provides computing and communications resources and expertise in support of the instructional, research and administrative activities of the University of Manitoba. The unit is managed by the Chief Information Officer (CIO) and has an annual budget of 21 million dollars with a staff complement of 160 full-time and 45 part-time employees. The Unit consists of four departments, Computer & Network Services, Enterprise Systems, Client Services, and a Central Business Administration area responsible for human resource management, budget control, purchasing and accounting.

## 2.0 IAM ROLES AND RESPONSIBILITIES

### 2.1 STUDENT IDENTITIES

- **Admissions Office:** Admissions is the entry point for students and manages the application process when students first are recruited and apply to the University and have primary responsibility for application through acceptance, prior to the management of the student's identity moving to the Registrar's Office.
- **Registrar Office:** The Registrar Office manages the student's identity after acceptance and through registration. The Registrar's Office has primary responsibility for managing the people and student record for a student in Banner, including changes to their status at the University from acceptance through convocation or expiration.
- **Faculty of Graduate Studies:** Graduate Studies manages the application process for graduate students who apply to the University and register in courses.
- **Continuing Education:** Continuing Education manages the registration process for Continuing Education students (non degree seeking students) using Banner to establish and maintain Person and Student Records for these students.

### 2.2 EMPLOYEE IDENTITIES

- **Human Resources:** The Human Resources department is responsible for the administration and development of employees across the University from their initial recruitment and hiring, through their work period at the University, and then through to their retirement. Human Resources is responsible for the VIP human resources information system which is the source of identity information related to University employees.
- **Registrar Office:** The Registrar Office manages the course records in Banner, which indicates which employees are instructing a course.
- **Finance:** Finance manages the Vendor Records in Banner, which allows access for payments, travel management, expense management, and other functions, prior to identities being established in Banner or VIP.

## 3.0 ACCESS PROVIDERS

- **Information Services and Technology:** IST provides computing and communication resources and expertise to all University departments and faculties. IST is responsible for managing the University's Identity and Access Management system, supporting enterprise source identity systems, provisioning, deprovisioning, and changes to access with University-wide downstream systems.

- **Libraries:** The Library department provides services and resources across the University and uses ALMA as its library information system. ALMA is integrated with the Identity and Access Management as a downstream system.
- **Faculties and Departments:** The faculties and department provide academic, instructional, and administrative services to the University. Each faculty and department has some department-specific information systems that they manage. Some faculty/departmental systems are candidates for downstream systems that could be integrated with the Identity and Access Management system or could utilize the directory services for account management and authentication services.
- **Physical Plant:** Physical plant manages the access to facilities including the provisioning and programming of access cards for facility access. Currently, there is no integration between physical access and the IAM service but this is a future opportunity with the new IAM system.
- **Recreation Services:** Recreation Services manages the access to recreation facilities including the provisioning and programming of access cards. Currently, there is no integration between recreation services and the IAM service but this is a future opportunity with the new IAM system.

## 4.0 USE CASES AND PROCESSES

### 4.1 ON-BOARDING OF STUDENTS AND EMPLOYEES

The two major groups of users our central IAM system manages (as it relates to automatic provisioning) are for active students and active employees<sup>1</sup>. An active student is defined as a student registered in a course of an active term<sup>2</sup>. An active employee is defined as:

- A paid appointment with the University
- A fellowship with the University
- A future hire (usually within a couple of weeks)
- A nil appointment<sup>3</sup>

When a person appears in the source system with any of the attributes above the central IAM system will generate an identity in the vault and automatically provision an account to a couple of resources<sup>4</sup>. The user will then be required to go through a "claiming" process where they identify themselves to the central IAM system so that they can set a new password, answer challenge questions and provision any additional resources they are entitled to (but did not get provisioned initially).

### 4.2 STUDENT AND EMPLOYEE SEPARATIONS

The central IAM system detects changes from the source system regarding a user's active state (student or employee). It then removes the student or employee role from the user and adds a pending termination role to the account.

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<sup>1</sup> Because of the nature of the University a person could be simultaneously an active student and an active employee

<sup>2</sup> The registrar's office controls when a term is active

<sup>3</sup> A nil appointment refers to a nil academic appointment with "nil" salary (meaning no salary)

<sup>4</sup> The specific resources are IDM LDAP, Portal, Learning Management System



In the case of students, once a year a report is produced to list those students pending termination who have active accounts and a manual process is enacted to perform bulk disabling of the identities. For employees, the process is similar but done on a monthly time period, with a small exception in the event that the employee has ceased to be active because they have retired (managed by the HR system). As a retiree with benefits, they are permitted to maintain access to a select set of resources.

#### **4.3 HANDLING SPONSORED ACCOUNTS**

Sponsored accounts were initially meant as a means to bestow computer access to either a non-human identity (i.e. an automated process, system id, generic e-mail) or a human identity that is not an active student or employee for a temporary period. This process takes a paper form describing the nature of the account request and the signature of a person willing to take ownership of the activity performed by this account/individual. The typical lifespan of this account is 1 year, but it can be renewed indefinitely every year.

### **5.0 POLICIES**

#### **5.1 NO TRANSMITTAL OF PASSWORDS TO A SAAS PROVIDER**

Any SaaS product implemented within the University which desires to use the centrally managed computer ID for access must utilize Single Sign On or an ability to interface with a directory server as this policy prevents the central IAM system from sending a user's password to the SaaS. The central IAM is allowed to provision the account to SaaS (minus the password though).

#### **5.2 ACCEPTABLE COMPUTER USAGE POLICY**

Every user who is provisioned a University of Manitoba account must agree to the acceptable computer usage policy. For employees they are required to read this policy each year and agree to it in order to maintain their access<sup>5</sup>.

#### **5.3 PERIODIC PASSWORD CHANGES**

Employees are required to change their passwords every 6 months<sup>6</sup>.

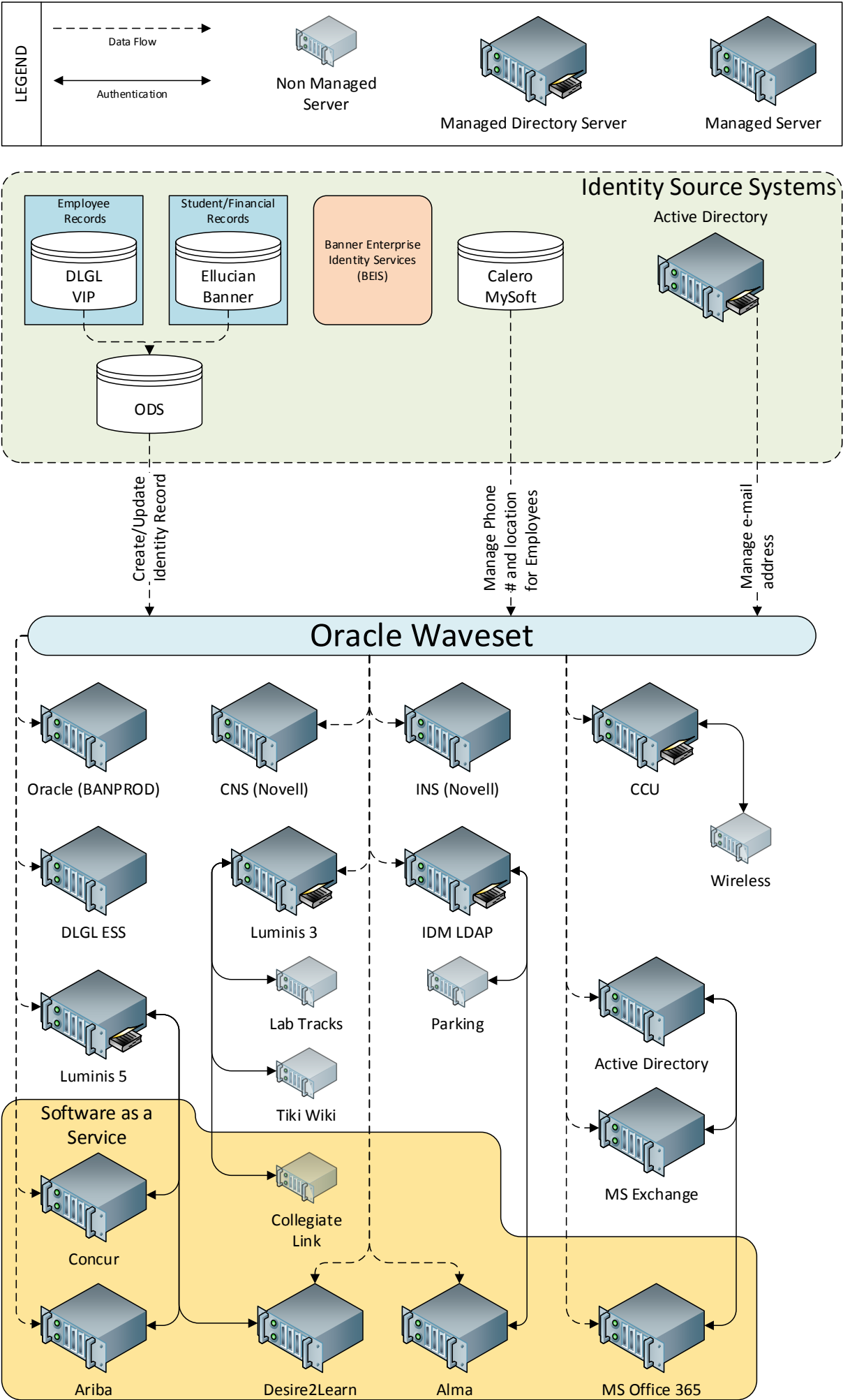
---

<sup>5</sup> Currently there is no longer a process to bring employees back to the central IAM once a year to enforce this policy

<sup>6</sup> Though the central IAM is configured to expire a password every 6 months, there is no process to bring employees back to the central IAM on a periodic bases to force a password change

6.0 TECHNICAL OVERVIEW OF THE CURRENT AIM SOLUTION

6.1 CURRENT STATE DIAGRAM



## 6.2 INTRODUCTION

The product Oracle Waveset handles the management of identities at the University of Manitoba. There are currently 222,716 identities<sup>7</sup>. These identities are split across four major groupings of users (an identity may belong to one or more groups, or no groups):

- Employee
- Student
- Retiree with benefits
- Sponsored<sup>8</sup>

## 6.3 IDENTITY DATA TRANSACTIONS AND BUSINESS CYCLES

On average there are 200 identity changes per day. These changes could be a change in name, a person's role (within the student or employee system) or employee department. During student registration (July to August) and the start of the fall (Sept) and winter (Jan) terms the average number of changes can increase by a factor of 5.

## 6.4 IDENTITY SOURCE SYSTEMS

The following systems are used to feed portions of the overall identity into the current IAM to build up the full identity record.

Local Name	Vendor/Technology	Description	Identity Information
Aurora	Ellucian Banner  (Oracle: DB, App Server, and Forms)	<p>Banner is the Student and Financial Information System for the University.</p> <p>The student side of Banner is not limited to just student data. It contains information about all the faculties and academic departments at the University. The active terms, courses and course sections, as well as which students/instructors are in a specific course section.</p> <p>The finance side is used for payment and vendor management.</p>	<p>Student Record Info</p> <ul style="list-style-type: none"><li>• Student number</li><li>• Home address (student)</li><li>• Registered courses</li></ul> <p>Faculty/Instructor Record Info</p> <ul style="list-style-type: none"><li>• Spriden id</li><li>• Registered courses</li></ul> <p>Common Data</p> <ul style="list-style-type: none"><li>• Legal Name Parts</li><li>• Gobsrid number</li><li>• Pidm</li></ul>

<sup>7</sup> This includes both active and inactive identities

<sup>8</sup> It is possible that some in the sponsored count are students, as a student will be sponsored for an *employee* resource under special circumstances

Local Name	Vendor/Technology	Description	Identity Information
VIP	DLGL VIP  (Oracle DB, Windows Client/Server application, IIS Web Application)	VIP is the Human Resources Information System for the University and used to manage employee records and roles.  VIP does a differential analysis between VIP and Ellucian Banner and inserts or updates Spriden records in Ellucian Banner to include the employee number generated in VIP	<ul style="list-style-type: none"> <li>• Employee number</li> <li>• Legal Name Parts</li> <li>• Preferred Name Parts</li> <li>• Employment Status</li> <li>• Department Number</li> <li>• Department Name</li> </ul>
MySoft	Calero MySoft	Calero MySoft is an application used by the Telecommunications Office to manage the location of where desktop telephones are installed.  Over time this information has also been used to manage the white pages directory allowing employees (that have a phone) to indicate a preferred name and e-mail address.  The current IAM system uses the location of the phone to represent the employee's office location and their phone number. As well as update their preferred e-mail address.	<ul style="list-style-type: none"> <li>• Employee office location<sup>9</sup></li> <li>• Employee phone number</li> <li>• Employee preferred e-mail address<sup>10</sup></li> </ul>
Exchange/ Active Directory	Microsoft	Exchange handles staff e-mail accounts and is the authoritative source for generating the staff member's e-mail address.	<ul style="list-style-type: none"> <li>• Preferred e-mail address for employee<sup>11</sup></li> </ul>

<sup>9</sup> The location is where the phone asset is, which in the majority of cases is where the employee's office is though for some employees that have more than one office it may not be 100% accurate

<sup>10</sup> An employee can contact the telephone office to change which e-mail address appears in the white pages

<sup>11</sup> An employee can contact the Exchange mail team to change their primary e-mail address from [umnetid@umanitoba.ca](mailto:umnetid@umanitoba.ca) to a form of first.last@umanitoba.ca

## 6.5 CENTRALLY MANAGED SYSTEMS/SERVICES

The following list of systems/services have their account database managed by the central IAM solution. For Phase 1 of the implementation, these systems will need to continually be managed centrally. Any system/service that is a SAAS offering has a constraint that the password for the account cannot be stored within that system. As such that system must use one of the authentication services that are centrally maintained by the University of Manitoba.

System/Service	SAAS?	Vendor/Technology	Description
Alma	YES	ExLibris Alma	This is the Library system. It manages the Library's collection and patrons.
Concur	YES	Concur	This is the travel and expense system used by the University
Ariba	YES	EPIC	This is an eProcurement solution used to purchase goods or services from suppliers.
Employee Self Service	NO	DLGL/VIP Portal	This is a self service application employees are able to use to obtain electronic copies of their pay stubs, tax information, and monitor their vacation banks.
UMLearn	YES	Desire2Learn	This is a learning management system used by Faculty, Instructors and students to facilitate course learning.
Oracle DB BANPROD	NO	Oracle Database	<p>Ellucian's Internet Native Banner application makes use of Oracle user accounts for security within that application. As such one of the primary needs for this integration is to provision Oracle accounts to administrative staff to perform their duties within INB.</p> <p>The other reason is for centrally managing authentication to the Banner oracle database for any local customizations that require access to that database</p>
IAM LDAP	NO	OpenDS	The purpose of this service was to create a central/robust directory service that could offer authentication services to those applications that make use of LDAP, as well as present itself as a white pages directory for integration with various e-mail clients.

<b>System/Service</b>	<b>SAAS?</b>	<b>Vendor/Technology</b>	<b>Description</b>
<b>CCU</b>	NO	MySQL	CCU represents our Unix/Linux environment. It currently uses a locally created user account database stored in MySQL to offer account information to various systems beyond NIS (i.e. wireless, legacy e-mail, Unix based remote desktop)
<b>CNS</b>	NO	Novell	CNS stands for corporate Novell system and is populated with active employee accounts in containers based on their primary HR department. It offers login support for windows based machines, as well as file and print services.
<b>INS</b>	NO	Novell	INS stands for instructional Novell system and is populated with active students (primarily) as well as any active employee that desires an account here. The purpose of this system is to allow students to be able to log into a public area windows computer to perform course work. Centrally managed Public computer labs are configured to go against this resource for authentication and authorization. A number of classrooms have their computer also configured to use this system for the same purpose.
<b>Active Directory</b>	NO	Microsoft	If a person is both an active employee and an active student they appear in our AD with two separate SAM accounts.
<b>Exchange</b>	NO	Microsoft	Employee e-mail is handled with Exchange.
<b>Office 365</b>	YES	Microsoft	Student e-mail is handled with Office 365.
<b>Legacy JUMP</b>	NO	Ellucian Luminis 3	JUMP is the University portal for both students and employees. Through JUMP there is single sign on to critical University systems (see section 6.6).
<b>New JUMP</b>	NO	Ellucian Luminis 5	

## 6.6 CENTRAL AUTHENTICATION SYSTEMS

The following systems are managed by the existing central IAM solution and offer authentication services to other systems.

Local Name	Technology	Used by
IDM LDAP	LDAP (Open DS)	<ul style="list-style-type: none"> <li>Alma (Libraries)</li> <li>Parking</li> </ul>
Legacy JUMP	LDAP (iPlanet)	<ul style="list-style-type: none"> <li>Tiki wiki</li> <li>Collegiate Link</li> <li>Lab Tracks</li> </ul>
New JUMP	SSO (JA-SIG CAS, Ellucian GCF, Custom)	<ul style="list-style-type: none"> <li>Concur</li> <li>Ariba</li> <li>UMLearn (Desire2Learn)</li> <li>Employee Self Service</li> <li>Clockwork</li> <li>Move On</li> </ul>
New JUMP	LDAP (Open DJ)	<ul style="list-style-type: none"> <li>UMLearn (Desire2Learn)</li> </ul>
Hydracore	LDAP interface to local account database for Unix	<ul style="list-style-type: none"> <li>Wireless</li> <li>Remote Desktop(UNIX)</li> </ul>
Active Directory	MS Active Directory	<ul style="list-style-type: none"> <li>Office 365</li> <li>Exchange</li> </ul>

## 6.7 UNIQUE IDENTIFIERS

The University employs a number of unique identifiers to represent an individual. Some are driven directly by the business, while others are driven by system level integration. The table below outlines the numeric identifiers currently in use and the purpose they have.

Identifier	Authoritative Source	Description/Purpose
Spriden ID	Ellucian Banner	The primary identifier for a person record within Ellucian Banner. This is the name used by the vendor. Depending on the person record the value may be in the form of a student number or employee number
Student Number	Ellucian Banner	When a student is admitted/accepted at the University they are assigned a unique number as the primary means for tracking/reporting any related information
Employee Number	VIP	When an employee is hired by the University this number is the primary means for obtaining any HR related information

Identifier	Authoritative Source	Description/Purpose
<b>PIDM</b>	Ellucian Banner	Within Ellucian Banner an identity can have numerous identifiers either generated by Ellucian Banner or inserted into Ellucian Banner. The PIDM is the unique key that ties all records to the identity, allowing Ellucian Banner to accommodate individuals that have more than one identifier
<b>GOBSRID ID</b>	Ellucian Banner	The Integration Component within Ellucian Banner (used to connect Ellucian Banner identities to recipient systems such as a LMS) use this unique id to correlate the data in the integration
<b>Library Card Number</b>	Ellucian Banner/VIP	This number is based on a person's student or employee number to represent them within the library system. This number gets encoded on the physical identification card that an employee or student obtains. This also means that someone who is both a student and employee will have two cards, and therefore two different library card numbers.
<b>UMnetID</b>	Oracle Waveset	This is the computer ID used when provisioning a computer account for a user. It is unique across all systems managed by Oracle Waveset
<b>Staff E-Mail Address</b>	Exchange/Active Directory	This represents the unique ID of an individual within AD when they have the employee role,
<b>Student E-Mail Address</b>	Office 365/Active Directory	This represents the unique ID of an individual within AD when they have the student role.

## 6.8 CURRENT STATE KNOWN ISSUES OR LIMITATIONS

The following is a list of known issues that we have within our environment that should be considered when building a solution.

1. **Lack of an Enterprise Directory Server** - Though we have many directory servers managed by Oracle Waveset, we do not have a central enterprise directory server.



2. **Not Utilizing All Available Data** - Within Banner and VIP there is data related to an Identity that is currently not used by Oracle Waveset to support business processes.
3. **Real Time Integration with Banner and VIP**- The current integration with obtaining data from Banner and VIP is batch driven and causes delays in provisioning and deprovisioning processes.

## 7.0 GLOSSARY OF TERMS

<i>Term</i>	<i>Description</i>	<i>See Also</i>
<i>Active Directory</i>		See sections 6.4 Identity Source Systems
<i>Alma</i>		See section 6.5 Centrally managed systems/services
<i>Ariba</i>		See section 6.5 Centrally managed systems/services
<i>Aurora</i>		See section 6.4 Identity Source Systems
<i>BANPROD</i>		See section 6.5 Centrally managed systems/services
<i>CCU</i>		See section 6.5 Centrally managed systems/services
<i>Clockwork</i>	Used by Student Advising and Accessibility Services to manage staff scheduling, storing of meeting notes/documentation and managing all tests/exams written through those offices.	
<i>CNS</i>		See section 6.5 Centrally managed systems/services
<i>Collegiate Link</i>	Campus Labs Collegiate Link provides the tools for managing student organizations and encouraging growth and development as students engage in co-curricular activities. Collegiate Link can also be utilized in areas outside of student activities and across an institution in order to achieve a variety of needs related to the student experience.	<a href="http://www.campuslabs.com/products/collegiatelink/">http://www.campuslabs.com/products/collegiatelink/</a>
<i>Concur</i>		See section 6.5 Centrally managed systems/services
<i>Employee Number</i>		See section 6.7 Unique Identifiers
<i>Employee Self Service</i>		See section 6.5 Centrally managed systems/services
<i>Exchange</i>		See sections 6.5 Centrally managed systems/services
<i>GOBSRID</i>		See section 6.7 Unique Identifiers
<i>Hydracore</i>	An OpenLDAP interface to the CCU accounting database. The wireless network uses this interface to authenticate users	See section 6.6 Central authentication systems
<i>IAM LDAP</i>		See sections 6.5 Centrally managed systems/services

<i>InCommon</i>	InCommon, operated by Internet2, provides a secure and privacy-preserving trust fabric for research and higher education, and their partners, in the United States.	<a href="http://www.incommonfederation.org/">http://www.incommonfederation.org/</a>
<i>INS</i>		See section 6.5 Centrally managed systems/services
<i>JUMP</i>		See section 6.5 Centrally managed systems/services
<i>Lab Tracks</i>	LabTracks is an application produced by Locus Technology Inc. that is for Animal Research Data Management.	
<i>Library Card Number</i>		See section 6.7 Unique Identifiers
<i>Move On</i>	Used by the International Office. It keeps track of different types of agreements/partnerships with other institutions.	
<i>Office 365</i>		See section 6.5 Centrally managed systems/services
<i>PIDM</i>		See section 6.7 Unique Identifiers
<i>Spriden ID</i>		See section 6.7 Unique Identifiers
<i>Student Number</i>		See section 6.7 Unique Identifiers
<i>Teaching Assistant</i>	An individual (or individuals) that aid the Instructor/Professor in managing the course. They may run labs, or assist in grading	
<i>Tiki Wiki</i>	The central IAM solution does not provision accounts to it directly, but it is connected to one of our Directories to provide authentication as well as automatic provisioning on initial login.	<a href="http://info.tiki.org/">http://info.tiki.org/</a>  See section 6.6 Central authentication systems for the system it authenticates against
<i>UM Learn</i>		See section 6.5 Centrally managed systems/services
<i>UMnetID</i>		See section 6.7 Unique Identifiers

## EXHIBIT 3

### PHASE 2 HIGH LEVEL REQUIREMENTS

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#### 1.0 PHASE 2 – ENHANCE AND EXTEND IAM SERVICE PHASE

The objective of this phase is to enhance the capabilities of the IAM service by taking greater advantage of the IAM system and enabling processes. In addition, source and downstream systems will be reviewed and integrated with the IAM service to extend the service and its benefits.

#### 1.0 PHASE 2 HIGH LEVEL REQUIREMENTS

- **Role Mining:** Provides tools to assess current systems to identify patterns of entitlements for defining roles and entitlements. This process accelerates the definition of roles and more granular definition of entitlements.
- **Fine-Grained Access Control:** Provides ability to manage more granular role-based access within downstream systems to improve speed and accuracy of provisioning, changes, and deprovisioning of access, while reducing effort.
- **Security Information and Event Management/Data Loss Prevention Integration:** Integration of the IAM system with SIEM and DLP systems to provide enhanced security threat monitoring, correlation, and prevention of loss of sensitive data.
- **Integration with Service Management Tool (Cherwell):** Integration of the IAM system with the University service management tool Cherwell that is used for incident management by the Help Desk and Solution Centre. Integration may include integrated access to client information, work flow management of incidents and requests, and automation of access requests.
- **Multi-Factor Authentication:** Provides capability of using multiple factors of authentication to improve the strength of authenticating access to higher risk systems or access from higher risk environments.
- **Access Review and Certification (Advanced):** Provides more automated triggering of policy violations, inappropriate access, segregation of duties, and other business rules, either through event-based notification or more advanced reporting features.
- **Privileged User Management:** Provides capability to manage access of privileged users, such as system administrators, to ensure tighter controls on the provisioning, change, and deprovisioning of these higher risk accounts and access.

## **ATTACHMENTS**

## ATTACHMENT A – PROPOSAL COVER SHEET

### COMPANY AND CONTACT INFORMATION

Name of Company: \_\_\_\_\_

Contact Information – Individual that can contractually obligate the Offeror/Firm

Name	
Title	
Email	
Telephone	
Fax	
Address	

Contact Information – Individual that can be contacted for clarification on this proposal

Name	
Title	
Email	
Telephone	
Fax	

### ADDENDA ACKNOWLEDGEMENT

Offeror acknowledges receipt of the following addenda, and has incorporated the requirements of such addenda into the proposal (*List all addenda dates issued for this RFP and initial*):

No.	Date/Initials	No.	Date/Initials
No.	Date/Initials	No.	Date/Initials

### SIGNATURE

This proposal must be signed by the person authorized to contractually obligate the organization.

<i>Printed Name</i>	
<i>Signature</i>	
<i>Date Signed</i>	

## ATTACHMENT B – PROPOSAL FORM

### CRITICAL TEAM MEMBERS

Name of Project Manager<sup>1</sup> \_\_\_\_\_

Name of Technical Lead<sup>2</sup> \_\_\_\_\_

Name of Solution/System \_\_\_\_\_

Name of U of M Account Manager \_\_\_\_\_

Name of Service Delivery Manager \_\_\_\_\_

<sup>1</sup> The Project Manager is the individual who will be the daily point of contact throughout this project. This individual cannot be removed or replaced from this position for the duration of the contract.

<sup>2</sup> The Technical Lead cannot be removed or replaced from this position for the duration of the contract.

### CERTIFICATIONS

No	Criteria	Response*
1	The Offeror has read the entire RFP and clearly understands the intent of the scope.	True / False
2	The Offeror is presently engaged in the business of providing the services & work required in this RFP.	True / False
3	The Offeror accepts the University Terms and Conditions as stated in this RFP.	True / False
4	The Offeror confirms that it has the financial strength to perform the services required under this RFP.	True / False
5	The Offeror can provide (if requested) financial records for the organization for the past three years.	True / False
6	The Offeror certifies that it is not currently debarred, suspended, proposed for debarment, or declared ineligible for award by any Public entity.	True / False
7	Within the past five years, the Offeror certifies that they have not been convicted or had civil judgment rendered against them for: fraud, embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or tax evasion.	True / False
8	The Offeror has not had any contracts terminated by the University of Manitoba (within the past five years).	True / False
9	Offeror certifies that Offeror has reviewed the University's Policy and procedures relating to Conflict of Interest and does not have a possible conflict of interest with any employee involved in this solicitation and/or ensuing contract.	True / False

\* Failure to answer, or answering "False" may be grounds for disqualification. Please attach additional information on any subject where the Offeror responded "False" to a question above.

## FIRM QUALIFICATIONS

No	Criteria	Response
1	How many years has your firm been continuously active in delivery of IAM solutions?	
2	How many Higher Education IAM solutions has your firm delivered?	
3	Do you have experience with Higher Education institutions in Canada?	<input type="checkbox"/> Yes <input type="checkbox"/> No
4	Will you use 3 <sup>rd</sup> party (external to your firm) resources for development/delivery of your proposed solution?	<input type="checkbox"/> Yes <input type="checkbox"/> No
5	How large is your IAM practice in terms of revenue and FTE?	
6	What % of your overall firm's revenue does this represent?	<input type="checkbox"/> Yes <input type="checkbox"/> No

## PERSONNEL QUALIFICATIONS

No	Criteria	Project Manager	Technical Lead
1	Total years of experience in the proposed role?		
2	Total years of experience in the IAM discipline?		
3	How long has the individual been employed at your organization?		
4	How many similar projects has the individual performed?		

## PROJECT DURATION

### Project Duration

(Solution Implementation): \_\_\_\_\_ (Calendar Days)

*Note: This duration includes the total time from the Anticipated date of Award, to solution implementation complete.*



## **ATTACHMENT C – PROJECT PLAN**

### **SECTION 1 – PROPOSAL SUMMARY (1 Page Maximum)**

## **ATTACHMENT C – PROJECT PLAN**

### **SECTION 2 – PROJECT ASSUMPTIONS (1 Page Maximum)**

## **ATTACHMENT C – PROJECT PLAN**

### **SECTION 3 – EXPECTATIONS AND RESPONSIBILITIES (1 Page Maximum)**

## **ATTACHMENT C – PROJECT PLAN**

### **SECTION 4 – CLARIFICATION PERIOD SCHEDULE (1 Page Maximum)**

## ATTACHMENT D – RISK ASSESSMENT PLAN TEMPLATE

Do not list any names that can be used to identify the Offeror. Do not list any cost information. Offeror may add/delete additional rows to identify additional risks, but do not exceed the page limit

### SECTION 1 – ASSESSMENT OF CONTROLLABLE RISKS (1 Page Maximum)

<b>Risk 1:</b>	
<b>Why is it a Risk:</b>	
<b>Solution:</b>	
<b>Risk 2:</b>	
<b>Why is it a Risk:</b>	
<b>Solution:</b>	
<b>Risk 3:</b>	
<b>Why is it a Risk:</b>	
<b>Solution:</b>	
<b>Risk 4:</b>	
<b>Why is it a Risk:</b>	
<b>Solution:</b>	
<b>Risk 5:</b>	
<b>Why is it a Risk:</b>	
<b>Solution:</b>	

## ATTACHMENT D – RISK ASSESSMENT PLAN TEMPLATE

Do not list any names that can be used to identify the Offeror. Do not list any cost information. Offeror may add/delete additional rows to identify additional risks, but do not exceed the page limit

### SECTION 2 – ASSESSMENT OF NON-CONTROLLABLE RISKS (1 Page Maximum)

Risk 1:	
Why is it a Risk:	
Solution:	
Risk 2:	
Why is it a Risk:	
Solution:	
Risk 3:	
Why is it a Risk:	
Solution:	
Risk 4:	
Why is it a Risk:	
Solution:	
Risk 5:	
Why is it a Risk:	
Solution:	

## **ATTACHMENT E - VALUE ASSESSMENT PLAN TEMPLATE**

Do not list any names that can be used to identify the Offeror. Do not list any cost information. Offeror may add/delete additional rows to identify additional value added options. Do not exceed the page limit

### **VALUE ADDED OPTIONS (1 Page Maximum)**

**Item 1:** \_\_\_\_\_

**Item 2:** \_\_\_\_\_

**Item 3:** \_\_\_\_\_

**Item 4:** \_\_\_\_\_

**Item 5:** \_\_\_\_\_

## ATTACHMENT F - SURVEY QUESTIONNAIRE

The University of Manitoba has requested past performance information on vendors and their key personnel. The vendor / key personnel listed below has identified you as a client for which they have previously performed work for. We would appreciate you taking the time to complete this survey.

### PART A – VENDOR / PERSONNEL REQUESTING CLIENT FEEDBACK

Name of the Vendor: \_\_\_\_\_  
Name of Key Personnel: \_\_\_\_\_

### PART B – REFERENCE CONTACT INFORMATION AND PROJECT BACKGROUND

Client Name: \_\_\_\_\_ Date Awarded: \_\_\_\_\_  
Project Name: \_\_\_\_\_ Size of Project (\$): \_\_\_\_\_

### PART C – REFERENCE EVALUATION

Please rate your overall level of satisfaction on a scale of 1 to 10 (with 10 representing that you were very satisfied and 1 representing that you were very unsatisfied). Consider all aspects of the vendor / key personnel performance, such as: ability to manage project cost and schedule, quality of workmanship, close out process, ability to communicate and document risks, and ability to follow the user's rules, regulations, and requirements.

CRITERIA	UNIT	RATING
Overall Customer Satisfaction	(1-10)	

Please identify the greatest risks/problems/challenges that were encountered on this project/service:

Please provide any recommendations, or identify anything you would do differently:

\_\_\_\_\_  
Printed Name of Evaluator

\_\_\_\_\_  
Phone Number

\_\_\_\_\_  
Signature

Thank you for your time and effort in assisting us in this important endeavor.

Please return the completed survey to: << Enter your fax / email here >>



## ATTACHMENT **G** – COST PROPOSAL

Though it is preferred that Offeror costs are provided in Canadian dollars (CAD), the cost proposal should be quoted in the same currency in which the University would be invoiced by the Offeror (either CAD or US dollars). For the purpose of evaluation, any costs quoted in US dollars will be converted to Canadian dollars at a forecasted average exchange rate over the next 18 months.

Year 1 is the University fiscal year running April 1/2015 – March 30/2016 and Year 2 is the university fiscal year running April 1/2016 – March 30/2017.

### SECTION 1 – TOTAL PROJECT COST

#### Initial Costs

ITEM	DESCRIPTION	TOTAL COST Year 1	TOTAL COST Year 2	CURRENCY
1	Software products & license(s) fees	\$	\$	<input type="checkbox"/> CAD <input type="checkbox"/> USD
2	<b>Proprietary</b> Hardware products	\$	\$	<input type="checkbox"/> CAD <input type="checkbox"/> USD
3	Infrastructure products	\$	\$	<input type="checkbox"/> CAD <input type="checkbox"/> USD
4	Integration/Implementation services	\$	\$	<input type="checkbox"/> CAD <input type="checkbox"/> USD
5	Training costs	\$	\$	<input type="checkbox"/> CAD <input type="checkbox"/> USD
<b>6</b>	<b>Maintenance costs</b>	<b>\$</b>	<b>---</b>	<input type="checkbox"/> CAD <input type="checkbox"/> USD
<b>7</b>	<b>Annual license fee</b>	<b>\$</b>	<b>---</b>	<input type="checkbox"/> CAD <input type="checkbox"/> USD
8	Other Costs	\$	\$	<input type="checkbox"/> CAD <input type="checkbox"/> USD

**Total Initial Costs:** \_\_\_\_\_

#### Ongoing Costs

ONGOING COSTS	YEAR 2	YEAR 3	YEAR 4	YEAR 5	CURRENCY
Ongoing maintenance	\$	\$	\$	\$	<input type="checkbox"/> CAD <input type="checkbox"/> USD
Annual license fee	\$	\$	\$	\$	<input type="checkbox"/> CAD <input type="checkbox"/> USD
Other fees	\$	\$	\$	\$	<input type="checkbox"/> CAD <input type="checkbox"/> USD

**Total Ongoing Costs:** \_\_\_\_\_

**TOTAL PROJECT COST (Total Initial + Total Ongoing Costs):** \_\_\_\_\_



## SECTION 2 – VALUE ADDED OPTIONS / IDEAS

Please provide estimated financial impacts associated with each Value Added Idea that you have proposed in Attachment E (if any). These ideas will be discussed and negotiated during the Clarification Period.

No	Description	Estimated Cost Impact (CAD or USD)	Estimated Schedule Impact (days)
1			
2			
3			

## SECTION 3 – HARDWARE SPECIFICATIONS

Please provide additional information on the configuration / capacity requirements for any major HW components.

--

## SECTION 4 – FAULT TOLERANCE / REDUNDANCY

Please provide additional information on any redundancy / fault tolerance that is included in the cost projections to maximize availability of the solution.

--

**ATTACHMENT H**  
**PROPOSED LICENSE, MAINTENANCE AND SERVICE AGREEMENTS**

Please insert/attach your proposed license, maintenance and service agreements here.

**ATTACHMENT I**  
**REQUEST FOR INFORMATION FORM**  
**IDENTITY & ACCESS MANAGEMENT SOLUTION**

Please complete this form and scan/email to:

Attention: Ms. Lindsay Bruce  
Sr. Purchasing Consultant, IT Procurement Centre  
T: 204-474-8720  
E: [Lindsay.Bruce@umanitoba.ca](mailto:Lindsay.Bruce@umanitoba.ca)

Company Name: \_\_\_\_\_

Contact Person: \_\_\_\_\_

Title: \_\_\_\_\_

Email Address: \_\_\_\_\_

Phone Number: \_\_\_\_\_

Cell Phone Number: \_\_\_\_\_

Fax Number: \_\_\_\_\_

Mailing Address: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

I have received a copy of the above noted Request for Proposal (RFP).

I request that the University of Manitoba IT Procurement Centre provide the Identity and Access Management Strategy and Roadmap to our company. I am also returning signed *Attachment L – Non-Disclosure Agreement* with this request.

SIGNATURE: \_\_\_\_\_

TITLE: \_\_\_\_\_ DATE: \_\_\_\_\_

## **ATTACHMENT L - NON-DISCLOSURE AGREEMENT IDENTITY & ACCESS MANAGEMENT SOLUTION**

May \_\_\_\_ 2015

THIS AGREEMENT ("Agreement") is entered into and is effective as of \_\_\_\_\_ by and between The University of Manitoba ("University"), and \_\_\_\_\_ (the "Recipient") regarding the University's Request for Proposal for an Identity and Access Management Solution for Information Services and Technology as set out in RFP #ITPC-0066-1516-MW issued on Thursday, May 14, 2015 (the "Procurement Process").

NOW THEREFORE, in consideration of participation in the Procurement Process including the disclosure of Confidential Information (as defined below) to the Recipient, and the mutual promises and agreements contained in this Agreement and other good and valuable consideration, the receipt and sufficiency of which is hereby acknowledged, the parties, intending to be legally bound, undertake and agree as follows:

### **1. Confidential Information**

- (a) Subject to section 1(b) below, the information disclosed or to be disclosed by the University to the Recipient in connection with the Procurement Process, including but not limited to information learned by the Recipient from the University's employees, agents or through inspection of the University's data, records, agreements with third parties, business plans, business opportunities, finances, research, development, know-how, personnel, or third-party confidential information disclosed to the Recipient by the University, all notes, analyses and evaluations made by the Recipient, the terms and conditions of this Agreement, and the existence of the discussions between the Recipient and the University will be considered and referred to collectively in this Agreement as "Confidential Information".
- (b) Confidential Information shall not include information that:
  - (i) is now or subsequently becomes generally available to the public through no fault or breach on the part of the Recipient;
  - (ii) the Recipient can demonstrate, to the reasonable satisfaction of the University, that the Recipient had such information rightfully in its possession prior to disclosure to the Recipient by the University;
  - (iii) is independently developed by the Recipient without the use of any Confidential Information;
  - (iv) is rightfully obtained by the Recipient from a third party who has the right to transfer or disclose it; or
  - (v) the Recipient is required at law to disclose, provided that the Recipient provides the University with sufficient notice of such requirement to seek a protective order.
- (c) In connection with the Procurement Process, the University will disclose to the Recipient the following Confidential Information:
  - Identity and Access Management Strategy and Roadmap
- (d) The University may wish to disclose additional confidential information to the Recipient during the Procurement Process. In such event, prior to such disclosure, the parties will sign a Schedule to this Agreement in the form attached, with respect to such additional confidential information.

## **2. Non-Disclosure and Non-Use of Confidential Information**

The Recipient agrees with the University that it will treat the Confidential Information it receives under this Agreement as confidential to the University and:

- (a) it shall use the same care and discretion to avoid disclosure, publication or dissemination of the Confidential Information as it uses with its own similar information that it does not wish to disclose, publish or disseminate, but in any event no less than a reasonable degree of care;
- (b) it shall not disclose the Confidential Information to anyone other than its employees who have a need to know and are under similar obligation to maintain the Confidential Information in confidence and its subcontractors who have signed a similar agreement with the University;
- (c) it shall only use the Confidential Information for the purpose of responding to the Procurement Process with a view to providing services to the University.

## **3. Inspection**

The University shall have the right, upon reasonable advance written notice, to inspect the facilities or equipment of the Recipient, to ensure compliance with the provisions of this Agreement.

## **4. No Warranty**

The information disclosed by the University under this Agreement is provided as is without any warranty, whether express or implied, as to its accuracy or completeness. The University will not be liable for any damages arising out of the use of the information disclosed under this Agreement.

To the extent that copyright in the information disclosed under this Agreement exists, it is and shall remain the property of the University or the applicable third party. Neither this Agreement nor the disclosure of information under it shall be construed as granting or conferring any right or license in the information or any trademark, copyright or patent now or subsequently owned or controlled by the University or the applicable third party.

## **5. Freedom of Action**

Nothing in this Agreement restricts the Recipient or its employees from using or disclosing ideas, concepts, know-how or techniques generally related to information technology that are contained in the Confidential Information and are retained in the unaided memories of the Recipient's employees who have had access to the Confidential Information.

However, this does not give the Recipient the right to disclose or permit the disclosure of (i) the source of the Confidential Information; (ii) financial or personal information (including Personal Information as defined in The Freedom of Information and Protection of Privacy Act (Manitoba) and The Personal Health and Information Act (Manitoba), as they may be amended from time to time); or (iii) business plan information, data, documents or materials.

## **6. Return or Deletion of Documents**

Within ten business days of receipt of the University's written request:

- (a) the Recipient will return to the University all documents, records and copies thereof containing Confidential Information. For the purposes of this section, the term "documents" includes all information held in any tangible medium of expression, in whatever form or format; and
- (b) the Recipient will delete or otherwise destroy, (in a manner that makes it impossible to read or reconstruct the Confidential Information), any and all records or copies of the Confidential Information, in all forms and mediums, and will provide the University with a certificate declaring that all such records or copies have been deleted or destroyed.

## 7. Equitable Relief

The Recipient acknowledges that unauthorized disclosure or use of Confidential Information could cause irreparable harm and significant injury to the University or the applicable third party that may be difficult to ascertain. Accordingly, the Recipient agrees that the University or the applicable third party will have the right to seek and obtain immediate injunctive relief to enforce obligations under this Agreement in addition to any other rights and remedies it may have.

## 8. General

No party may assign, or otherwise transfer, its rights or delegate its duties or obligations under this Agreement without prior written consent, and any attempt to do so is void. Only a written agreement signed by each of the parties can modify this Agreement.

Any terms of this Agreement which by their nature extend beyond its termination shall remain in effect until fulfilled, and shall survive any termination of the Recipient's association with the University regardless of the manner of such termination and whether or not the Recipient is the successful Recipient in connection with the Procurement Process.

Each of the parties consents to the application of the laws in Manitoba to govern, interpret, and enforce all of its rights, duties, and obligations arising from, or relating in any manner to, the subject matter of this Agreement, without regard to conflict of law principles.

IN WITNESS WHEREOF the parties have caused this Agreement to be signed by their duly authorized representatives with effect as of the date on which the last party to sign has signed this Agreement.

SIGNED IN THE PRESENCE OF:

The University of Manitoba  
(as represented by the VP Administration or designate)

\_\_\_\_\_  
Witness

By: \_\_\_\_\_

Name: \_\_\_\_\_

Title: \_\_\_\_\_

Date: \_\_\_\_\_

\_\_\_\_\_  
Witness

\_\_\_\_\_  
Recipient (Company) Name

By: \_\_\_\_\_

Name: \_\_\_\_\_

Title: \_\_\_\_\_

Date: \_\_\_\_\_



## Form of Schedule to Non-Disclosure Agreement

WHEREAS, the University and \_\_\_\_\_ are parties to a Non-Disclosure Agreement dated \_\_\_\_\_ (the "Agreement");

AND WHEREAS the University wishes to disclose additional information to the Recipient as contemplated under the Agreement;

NOW THEREFORE the parties expressly agree that the following additional information is Confidential Information for the purposes of the Agreement and shall be subject to the Agreement in its entirety:

Supplemental Materials to RFP #ITPC-0066-1516-MW – Identity & Access Management Solution

- Identity and Access Management Strategy and Roadmap

IN WITNESS WHEREOF the parties have caused this Schedule \_\_\_\_ to the Agreement to be signed by their duly authorized representatives effective as of the date on which the last party to sign this Schedule has signed.

The University of Manitoba  
(as represented by the VP Administration or  
designate)

By: \_\_\_\_\_

Name: \_\_\_\_\_

Title: \_\_\_\_\_

Date: \_\_\_\_\_

\_\_\_\_\_  
Recipient (Company) Name

By: \_\_\_\_\_

Name: \_\_\_\_\_

Title: \_\_\_\_\_

Date: \_\_\_\_\_