



November 23, 2022

REQUEST FOR PROPOSAL
IDENTITY ACCESS MANAGEMENT SYSTEM
RFP P23KJ005
DUE: 3:00P.M., MST, 01/05/2023

Deadline for Inquiries	5:00 P.M., MST, 12/07/2022
Time and Date Set for Closing	3:00 P.M., MST, 01/05/2023

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1. INTRODUCTION

- 1.1. University Background. The University is a fully accredited State of Arizona institution of higher education. Additional information on the University is available at the following link <https://nau.edu/Institutional-Research/Quick-Facts/>.
- 1.2. Proposal Background
 - 1.2.1. The University is requesting sealed Proposals from qualified Proposers for a multi-year Identity Access Management System that will modernize the current platform, increase governance, and engagement with the University to identify and prioritize the re-envisioning of these efforts. A new system will assist with consolidating the current toolset and allow the University to improve the value and level of service provided the students, staff, and faculty which is a critical component of these efforts. The University goal is to move from hourly feeds to real-time event-based identify lifecycle management, consolidation of account management to a single tool, improve entitlement management, and auditability.
 - 1.2.2. This RFP is part of a competitive negotiation process intended to allow the University to obtain goods and/or services as outlined herein in a manner that is most advantageous to the University. This RFP provides the University the flexibility to negotiate with Proposers, if desired, to arrive at a mutually agreeable relationship. Price may weigh heavily in the evaluation process but will not be the only factor under consideration and may not be the determining factor. All Proposals will be considered public records and will be available for review, as allowed by Arizona law and the Code.
 - 1.2.3. It is the University's intent to select the Proposal(s), which are most favorable to the University in all respects, including scope, availability of services, quality of services, reputation, and price. If not otherwise stated herein, multiple Awards may be made or an Award(s) may be made partial, by part, by line item, or by any combination of parts if identified as being in the best interest of the University.
 - 1.2.4. The initial Contract term will be for one (1) year(s) with the possibility of four (4) successive one (1) year renewals, for a total term not to exceed five (5) years.
- 1.3. Coverage and Participation. Unless objection is submitted with the Proposal, it is the intent of the University that any Award resulting from the RFP be available for use by all departments of the University and any other Arizona University, along with any other educational institution or Governmental entities, to the extent allowed by Arizona law and the Code.
- 1.4. Communications. All questions or inquires relating to this RFP must be directed to:

Kaitlyn Jones
Phone: (928) 523-1750
E-mail: Kaitlyn.Jones@nau.edu

2. **DEFINITIONS**

Capitalized terms shall have the meaning set forth in Board Policy 3-801.B <https://public.azregents.edu/Policy%20Manual/3-801-General%20Provisions.pdf> , with the exception of the following terms which shall have the meanings set forth below in this RFP.

- 2.1. “May” or “Should” indicates something that is not mandatory but permissible/desirable. If a Proposer fails to provide recommended information, the University may, at its sole option, ask Proposer to provide the information or evaluate the Proposal without the information.
- 2.2. “Must,” “shall,” “will” indicates a mandatory requirement. Failure to meet any mandatory requirements may result, in the University’s sole discretion, in the rejection of your proposal.
- 2.3. “MST” means Mountain Standard Time, the time zone in which the University operates. Arizona does not observe Daylight Savings Time.
- 2.4. “Proprietary Information” means trade secrets and other proprietary or confidential information exempt from Arizona’s Public Records Statute pursuant to A.R.S. § 15-1640(A). Contract terms and conditions, pricing, and information generally available to the public are not considered Proprietary Information under the Code (*See* Code § 3-801(D)(1)).
- 2.5. “RFP” refers to this request for proposals P23KJ005
- 2.6. “Successful Proposer” means any Proposer selected by the University to receive an Award as a result of this RFP and to enter into a Contract to provide the University with the products or services sought by this RFP.

3. INSTRUCTIONS TO PROPOSERS

3.1. General Requirements.

- 3.1.1. The data, specifications, and requirements outlined herein are intended to serve as a general guideline for the University's requirements. Proposers should submit a fully detailed Proposal that adequately describes the advantages and benefits to the University. Proposers should provide a detailed response to each requirement in this RFP, individually numbered to match each requirement. At a minimum, in such case where a detailed response is not applicable, each Proposer should indicate their ability to comply with and/or agreement to the requirements of this RFP. Proposers are encouraged to provide any additional information that is not specifically identified in this RFP that would assist the University in making its evaluations based upon the disclosed evaluation criteria.
- 3.1.2. Any Person submitting a Proposal shall be deemed to have read and understand all the terms, conditions and requirements in this RFP.
- 3.1.3. The Contracts, Purchasing and Risk Management department shall retain this RFP, and all related terms and conditions, exhibits and other attachments, in original form in an archival copy. Any modification of these, in the Proposer's submission, is grounds for immediate disqualification.
- 3.1.4. Proposer agrees that the University will not pay for or be responsible for any cost or expense incurred by Proposer in the preparation, submission, presentation, or any other action connected with proposing or otherwise responding to this RFP.
- 3.1.5. The University reserves the right to reject any or all Proposals or any part thereof, or to accept any Proposal, or any part thereof, or to withhold the Award and to waive or decline to waive irregularities in any Proposal when it determines that it is in its best interest to do so. The University also reserves the right to hold all Proposals after the Opening date and the right to accept a Proposal not withdrawn before Opening.
- 3.1.6. Proposer may withdraw their Proposal any time prior to Opening. Proposer may request to withdraw their Proposal after Opening and any time prior to selection and notice of Award. The University shall have sole authority to grant or deny such a request. In the event the University grants such a request, it may withhold issuing future Requests for Proposals to such Proposer.
- 3.1.7. All Proposals and accompanying documentation will become the property of the University at the time the Proposals are opened. It will be the Proposer's responsibility to request that samples be returned to the Proposer and provide a method for doing so at the expense of the Proposer. If such a request is not received and a method of return is not provided, all samples shall become the property of the University forty-five (45) days from the date of Award and may be disposed of in the University's sole discretion.

- 3.1.8. Collusion with other Proposers or employees thereof, or with any employee of the University, is prohibited and may result in disqualification of the Proposer and/or cancellation of an Award. Any attempt by the Proposer, whether successful or not, to subvert or skirt the principles of open and fair competition may result in disqualification of Proposer and/or cancellation of an Award.
- 3.1.9. Each Proposer shall ensure that no improper, unethical, or illegal relationships or conflict of interest exists between or among the Proposer, the University, and any other party to this RFP. Without limiting the foregoing, Proposer shall refrain from offering or giving gratuities, in the form of entertainment, gifts or otherwise, to any officer or employee of the State of Arizona with a view toward securing a Contract or securing favorable treatment with respect to the awarding or amending, or the making of any determinations with respect to the performing of such Contract. The University reserves the right to determine the materiality of such relationships, when discovered or disclosed, whether intended or not; and to decide whether or not Proposer disqualification and/or cancellation of an Award shall result.
- 3.1.10. If any Proposer or any of the Proposer's employees, agents, or other representatives participating in this RFP need, or have questions about the University's accommodations for people with disabilities, arrangements can be made by contacting Kaitlyn Jones at telephone # 928 523-1750, email address Kaitlyn.Jones@nau.edu. Such requests should be made as early as possible to allow time to arrange the accommodation(s).
- 3.1.11. The University shall have the right to use any ideas that are contained in any Proposal received in response to this RFP, along with any adaptation of such ideas. Selection or rejection of the Proposal shall not affect the University's right of use. Provided, however, that the University will, in good faith, honor the proprietary and confidential nature of any Proposer information that is enclosed in a separate envelope from the Proposal and clearly designated and conspicuously labeled as set forth in Section 7.4.9 of this RFP.
- 3.1.12. Any protest of this procurement must comply with the requirements of section 3-809(B) of the Code.
- 3.1.13. Proposer shall acquire and maintain all necessary permits and licenses and shall adhere strictly to all Federal, State, County, or City laws, codes, regulations, and ordinances as applicable in performing any work under this RFP.
- 3.1.14. The University is under no obligation whatsoever to honor or observe any information that may apparently conflict with any provision of this RFP, regardless of whether such information is obtained from any office, agent, or employee of the University. Such information shall not affect the Proposer's risks or obligations under a Contract resulting from this RFP.
- 3.1.15. Any Proposer exception, stipulation, counter-offer, requirement, and/or other alternative term or condition shall be considered rejected unless specifically

accepted in writing by the University and thereafter incorporated into any Contract resulting from this RFP.

- 3.2. Attention to Terms and Conditions. Proposers are cautioned to thoroughly understand and comply with all matters covered under the Terms and Conditions section of this RFP. The Successful Proposer is expected to enter into the form of agreement approved by the Board, refer to Section 9. The University terms and conditions included in this RFP, are intended to be incorporated into the Contract. **Proposals that are contingent upon any changes to these mandatory terms and conditions may be deemed to be non-responsive and may be rejected.** **Proposals must state any exceptions taken to the mandatory terms and conditions in detail.**

3.3. Project Resources.

- 3.3.1. The Successful Proposer shall be required to provide the personnel, knowledge, and experience required to maintain an appropriate level of professionalism and coverage for performance of requirements outlined herein. The University reserves the right to review Proposer's staff assigned for relevant qualifications and experience.
- 3.3.2. Proposals shall include a list of proposed personnel with resumes specifying qualifications and relevant experience. Describe assignment of account representatives and/or key personnel.
- 3.3.3. Proposer will be required to conduct relevant and appropriate background checks and fingerprinting according to the [University's policies](#) on all assigned employees and new hires to ensure that it does not assign any employee or agent to the University who may reasonably be considered to pose a threat to the safety or welfare of the University community or its property. Proposer will share background check information and other supporting documentation including disciplinary action for any employee, upon written request by the University.
- 3.3.4. Proposer may subcontract installation, training, warranty, or maintenance service with prior University authorization. Proposal shall list and describe any subcontractor's qualifications and relevant experience and describe how Proposer guarantees subcontractor performance. The Successful Proposer shall remain solely responsible for the performance of a resulting Contract from this RFP. All University payments for goods and/or services shall be made directly to the Proposer.
- 3.3.5. The University reserves the right to inspect Proposer's facilities prior to Award or any time throughout the term of the Contract.

- 3.4. Small Businesses. The University is committed to the development of Small Business and Small Disadvantaged Business ("SB & SDB") suppliers. If subcontracting (Tier 2 and higher) is necessary, Proposer (Tier 1) will make commercially reasonable efforts to use SB & SDB in the performance of any

Contract resulting from this RFP. Proposals should include a description of the Proposer's efforts to solicit SB & SDB participation in providing the services.

4. **SCOPE OF WORK**

- 4.1. The University is seeking qualified Proposals for an Identity and Access Management (IAM) system.

Currently the University's system is comprised of multiple vendors, homegrown, and open-sourced solutions. The University's current system is deficient with centralized access rights management, certification, auditing, batch file feeds, and manual provisioning and deprovisioning. The University lacks the resources to maintain the current system while keeping pace with changing technology.

4.2. **Warranties.**

- 4.2.1. Each Proposal shall state the warranties to be offered by Proposer.

- 4.2.2. Unless stated elsewhere in this RFP, University expects that Proposer will provide the following warranties, at a minimum: (i) that all of the Contract services will be performed in a professional and workmanlike manner and in conformity with industry standards by persons reasonably suited by skill, training and experience for the type of services they are assigned to perform; (ii) that the Successful Proposer will comply, and will be responsible for ensuring its owner, members, employees, agents, contractors and subcontractors comply, with all applicable federal, state and local laws in the performance of a resulting Contract; (iii) that the Successful Proposer owns or has sufficient rights in all goods and services to be delivered by the Successful Proposer, and the goods and services delivered by the Successful Proposer will not infringe upon or violate any Intellectual Property of any third parties; (iv) that any code or software developed or delivered by the Successful Proposer under a resulting Contract will not contain any viruses, worms, Trojan Horses, or other disabling devices or code; (v) that the warranty period for Proposer provided materials shall (i) be no less than a period of one (1) year after completion of installation or within the manufacturer's warranty, whichever is later, (ii) such warranty period shall commence upon date of acceptance by the University, and (iii) Proposer shall provide the University with all manufacturers' warranty documents upon completion of installation and prior to leaving the job site; and (vi) that in addition to any implied warranties, all goods and services delivered by the Successful Proposer will conform to the specifications and descriptions created therefor.

4.3. **Specifications/Technical Requirements.**

4.3.1. **Identity and Entitlements**

- 4.3.1.1. Indicate ability to provide a centralized identity repository that supports multiple concurrent identity related roles and affiliations and stores both current and historical data.

- 4.3.1.1.1. If not, describe why or how you may be able to meet this requirement.
- 4.3.1.2. Indicate ability to provide a catalog metadata to include but not limited to:
 - 4.3.1.2.1. Technical name.
 - 4.3.1.2.2. Display name.
 - 4.3.1.2.3. Technical description.
 - 4.3.1.2.4. Plain-language business description.
 - 4.3.1.2.5. Entitlement owner.
 - 4.3.1.2.6. Entitlement category.
 - 4.3.1.2.6.1. If not, describe why or how you may be able to meet this requirement.
- 4.3.1.3. Indicate ability for the system to capture identity and entitlement data using real-time messaging and synchronization options.
 - 4.3.1.3.1. If not, describe why or how you may be able to meet this requirement.
- 4.3.1.4. Indicate ability for the system to match an identity to potentially disparate applications, user accounts, and entitlements.
 - 4.3.1.4.1. If not, describe why or how you may be able to meet this requirement.
- 4.3.1.5. Indicate ability to aggregate identity and entitlement data and store in a normalized format in the repository including integrating with a third-party [Master Data Management](#) (MDM) platform.
 - 4.3.1.5.1. If not, describe why or how you may be able to meet this requirement.
- 4.3.1.6. Indicate the ability for the system to assign a unique, unchangeable identifier to each identity maintained and if the user leaves and later return in a former or new role that the same identifier is used.
 - 4.3.1.6.1. If not, describe why or how you may be able to meet this requirement.
- 4.3.1.7. Indicate if the identity repository data can be filtered, sorted, viewed, and managed based upon defined access permissions for administrators or department designees.
 - 4.3.1.7.1. If not, describe why or how you may be able to meet this requirement.
- 4.3.1.8. Indicate if the system can discover and correlate accounts that do not have an active identity associated and notify the University.
 - 4.3.1.8.1. If not, describe why or how you may be able to meet this requirement.

- 4.3.1.9. Indicate if the system can correlate identities and accounts using account claiming.
 - 4.3.1.9.1. If not, describe why or how you may be able to meet this requirement.
- 4.3.1.10. Indicate ability for the system to generate unique identifiers using the same format as the current NAU NetID.
 - 4.3.1.10.1. If not, describe why or how you may be able to meet this requirement.
- 4.3.1.11. Indicate ability for the system to provide the capability for department designees to create and assign attributes to users in the repository, based on granular access contract.
 - 4.3.1.11.1. If not, describe why or how you may be able to meet this requirement.
- 4.3.1.12. Indicate the ability for data to be added to accounts with restrictions on how the data is shared between users.
 - 4.3.1.12.1. If not, describe why or how you may be able to meet this requirement.
- 4.3.1.13. Indicate if the system supports the following:
 - 4.3.1.13.1. [Privileged Identity Management](#) (PIM)/[Privileged Access Management](#) (PAM).
 - 4.3.1.13.2. [Just in Time](#) (JIT) access.
 - 4.3.1.13.3. [Just Enough Administration](#) (JEA).
 - 4.3.1.13.3.1. If not, describe why or how you may be able to meet this requirement.
- 4.3.1.14. Indicate if the system can support multiple account personas on a single identity.
 - 4.3.1.14.1. If not, describe why or how you may be able to meet this requirement.
- 4.3.1.15. Indicate if the system can include a built-in directory component.
 - 4.3.1.15.1. If not, describe why or how you may be able to meet this requirement.
- 4.3.1.16. Provide [Application Programming Interface](#) (API) protocols (inbound and outbound) that the system can support.
- 4.3.2. Identity Lifecycle Management
 - 4.3.2.1. Indicate whether the system has the ability to support sponsorships for nonemployee and nonstudent populations such as but not limited to:
 - 4.3.2.1.1. Contractors.
 - 4.3.2.1.2. Library Patrons.

- 4.3.2.1.3. University guests.
- 4.3.2.1.4. If not, describe why or how you may be able to meet this requirement.

4.3.2.2. Indicate ability for system to support future dated items, both sunrise and sunset.

- 4.3.2.2.1. If not, describe why or how you may be able to meet this requirement.

4.3.2.3. Indicate capability of system to process event driven identity life cycle events that are detected and processed in real-time.

- 4.3.2.3.1. If not, describe why or how you may be able to meet this requirement.

4.3.2.4. Describe which types of actions can be processed in real-time versus through scheduled batching.

4.3.3. Access

4.3.3.1. Request

4.3.3.1.1. Indicate if system provides ease of ability to customize and extend the user interface of the access request portal.

- 4.3.3.1.1.1. If not, describe why or how you may be able to meet this requirement.

4.3.3.1.2. Indicate the ability to provide a search engine that allows requestors to search the entitlement repository by entitlement, application, role, and user.

- 4.3.3.1.2.1. If not, describe why or how you may be able to meet this requirement.

4.3.3.1.3. Indicate the ability for the system to allow requestor or approver to enter effective dates for the requested access.

- 4.3.3.1.3.1. If not, describe why or how you may be able to meet this requirement.

4.3.3.1.4. Indicate the ability for the system to allow an access request be submitted for multiple users and contractors at the same time as a part of the same access request.

- 4.3.3.1.4.1. If not, describe why or how you may be able to meet this requirement.

4.3.3.1.5. Indicate ability for users to request access according to the entitlements assigned to another user.

- 4.3.3.1.5.1. If not, describe why or how you may be able to meet this requirement.

- 4.3.3.1.6. Indicate ability for a risk score to be provided with each entitlement displayed to the requester, recipient, and approver.
 - 4.3.3.1.6.1. If not, describe why or how you may be able to meet this requirement.
- 4.3.3.1.7. Indicate ability for the system to allow for special handling and/or workflows for high-risk or out of compliance access request requirements.
 - 4.3.3.1.7.1. If not, describe why or how you may be able to meet this requirement.
- 4.3.3.1.8. Indicate ability for the access portal to integrate with ServiceNow.
 - 4.3.3.1.8.1. If not, describe why or how you may be able to meet this requirement.
- 4.3.3.1.9. Indicate the ability for the system to identify dependencies and/or parent/child relationships to facilitate identification and request of all roles needed.
 - 4.3.3.1.9.1. If not, describe why or how you may be able to meet this requirement.
- 4.3.3.1.10. Indicate the ability for the system to automatically identify separation of duties and prevent the approval of access requests without special approval.
 - 4.3.3.1.10.1. If not, describe why or how you may be able to meet this requirement.
- 4.3.3.1.11. Indicate if the system can access request and oversight can be delegated within a given department or another constituency group.
 - 4.3.3.1.11.1. If not, describe why or how you may be able to meet this requirement.
- 4.3.3.1.12. Indicate the ability for the system to require users to acknowledge requirements and policies as part of the overall access request workflow.
 - 4.3.3.1.12.1. If not, describe why or how you may be able to meet this requirement.
- 4.3.3.1.13. Indicate the ability for the system to remove user access and/or deprovision users without user notification.
 - 4.3.3.1.13.1. If not, describe why or how you may be able to meet this requirement.
- 4.3.3.2. Policy and Role Management

- 4.3.3.2.1. Indicate ability for system to support multiple access policies such as but not limited to:
 - 4.3.3.2.1.1. Assignment policies.
 - 4.3.3.2.1.2. Approval policies.
 - 4.3.3.2.1.3. Detachment policies.
 - 4.3.3.2.1.4. Visibility.
 - 4.3.3.2.1.5. If not, describe why or how you may be able to meet this requirement.
- 4.3.3.2.2. Indicate ability to support multiple policy expression formats to include rule-based, role-based, and workflow-based.
 - 4.3.3.2.2.1. If not, describe why or how you may be able to meet this requirement.
- 4.3.3.2.3. Indicate ability to represent and manage policies in a graphical user interface.
 - 4.3.3.2.3.1. If not, describe why or how you may be able to meet this requirement.
- 4.3.3.2.4. Indicate the ability of the system to promote configuration over customization of policies.
 - 4.3.3.2.4.1. If not, describe why or how you may be able to meet this requirement.
- 4.3.3.2.5. Indicate if both static and dynamic policy are supported.
 - 4.3.3.2.5.1. If not, describe why or how you may be able to meet this requirement.
- 4.3.3.2.6. Indicate if the system allows for both business (constituent type, job family, department) and technical (logical grouping of entitlement) roles and policies to be assigned.
 - 4.3.3.2.6.1. If not, describe why or how you may be able to meet this requirement.
- 4.3.3.2.7. Indicate ability for the system to provide role modeling and editing tools with administrator capability of creating, modifying, and detecting roles from the editing tool.
 - 4.3.3.2.7.1. If not, describe why or how you may be able to meet this requirement.
- 4.3.3.2.8. Indicate if different views of role data are provided including user role assignment from a user object, role membership from a role object, entitlements from a role object or discovery of all roles that include specific entitlement.
 - 4.3.3.2.8.1. If not, describe why or how you may be able to meet this requirement.

- 4.3.3.2.9. Indicate if a hierarchal role model is supported.
 - 4.3.3.2.9.1. If not, describe why or how you may be able to meet this requirement.
- 4.3.3.2.10. Indicate how the system applies a mechanism to reapply roles and policies to users when a policy has been updated.
 - 4.3.3.2.10.1. If not, describe why or how you may be able to meet this requirement.
- 4.3.3.2.11. Indicate the ability of the system to identify assigned entitlements that do not match a user role or policy assignment.
 - 4.3.3.2.11.1. If not, describe why or how you may be able to meet this requirement.
- 4.3.3.2.12. Indicate if the system utilizes data mining techniques to discover existing entitlements, and user relationships based upon similar access to propose new roles that simplify processing.
 - 4.3.3.2.12.1. If not, describe why or how you may be able to meet this requirement.
- 4.3.3.2.13. Indicate if top-down role modeling tools are provided to aid in the design and management of roles.
 - 4.3.3.2.13.1. If not, describe why or how you may be able to meet this requirement.
- 4.3.3.2.14. Indicate is there is support provided for access assignment expiration dates with workflow routing.
 - 4.3.3.2.14.1. If not, describe why or how you may be able to meet this requirement.
- 4.3.3.2.15. Indicate ability to support import application roles or responsibilities from the University's current systems such as but not limited to:
 - 4.3.3.2.15.1. [PeopleSoft.](#)
 - 4.3.3.2.15.2. [Salesforce.](#)
 - 4.3.3.2.15.3. [ServiceNow.](#)
 - 4.3.3.2.15.4. [Canvas.](#)
 - 4.3.3.2.15.4.1. If not, describe why or how you may be able to meet this requirement.
- 4.3.3.2.16. Indicate is the system allows definition of limited scope access administrations.
 - 4.3.3.2.16.1. If not, describe why or how you may be able to meet this requirement.

4.3.3.3. Certification

4.3.3.3.1. Indicate if access certifications are based on workflow processes.

4.3.3.3.1.1. If not, describe why or how you may be able to meet this requirement.

4.3.3.3.2. Indicate if reviewers have the ability to view access by roles and certify users assigned to a role as well as the entitlements associated with a role.

4.3.3.3.2.1. If not, describe why or how you may be able to meet this requirement.

4.3.3.3.3. Indicate if reviewers have the ability to view access by entitlement and to certify all users assigned to a specific entitlement.

4.3.3.3.3.1. If not, describe why or how you may be able to meet this requirement.

4.3.3.3.4. Indicate if access certification scope may be limited to a particular individual or specific group of users.

4.3.3.3.4.1. If not, describe why or how you may be able to meet this requirement.

4.3.3.3.5. Indicate if the University is provided the flexibility to define the intervals in which access certifications will be run, including the ability to run annually, semiannually, quarterly, weekly, or daily.

4.3.3.3.5.1. If not, describe why or how you may be able to meet this requirement.

4.3.3.3.6. Indicate if the system supports a delta certification that includes only the user or entitlement data that has changed since the last certification.

4.3.3.3.6.1. If not, describe why or how you may be able to meet this requirement.

4.3.3.3.7. Indicate if the access certification display highlights any user or entitlement that is out of compliance with policy.

4.3.3.3.7.1. If not, describe why or how you may be able to meet this requirement.

4.3.3.3.8. Indicate if the system can support sponsor review certifications allowing sponsors to certify that a user is still under his/her sponsorship.

4.3.3.3.8.1. If not, describe why or how you may be able to meet this requirement.

- 4.3.3.3.9. Indicate if the system allows the reviewer to download the certification files as a spreadsheet and complete it offline for subsequent upload to the certification tool.
 - 4.3.3.3.9.1. If not, describe why or how you may be able to meet this requirement.
- 4.3.3.3.10. Indicate if the system will display the risk score associated with the users' access.
 - 4.3.3.3.10.1. If not, describe why or how you may be able to meet this requirement.

4.3.4. Workflow

- 4.3.4.1. Indicate if the system has a web-based, user-friendly interface provided to managing all work list items.
 - 4.3.4.1.1. If not, describe why or how you may be able to meet this requirement.
- 4.3.4.2. Indicate if communication options can be set for each workflow step to send after the step is approved or denied.
 - 4.3.4.2.1. If not, describe why or how you may be able to meet this requirement.
- 4.3.4.3. Indicate if administrative overrides are available to block notifications per the workflow step.
 - 4.3.4.3.1. If not, describe why or how you may be able to meet this requirement.
- 4.3.4.4. Indicate if a workflow approver may delegate workflow tasks to another approver for a designated time period.
 - 4.3.4.4.1. If not, describe why or how you may be able to meet this requirement.
- 4.3.4.5. Indicate if both static and dynamic approval routed can be supported.
 - 4.3.4.5.1. If not, describe why or how you may be able to meet this requirement.
- 4.3.4.6. Indicate if conditional workflow processing is delivered as part of the workflow engine where workflow steps can be dynamically determined by the outcome of other workflow steps.
 - 4.3.4.6.1. If not, describe why or how you may be able to meet this requirement.
- 4.3.4.7. Indicate if multiple approvers can be described through the use of a group.
 - 4.3.4.7.1. If not, describe why or how you may be able to meet this requirement.

- 4.3.4.8. Indicate if attachments can be included by a requestor or an approver.
 - 4.3.4.8.1. If not, describe why or how you may be able to meet this requirement.
- 4.3.4.9. Indicate if a request is submitted on behalf of another person the system can document and display approval for any workflow step where the approver is the same as the submitter,
 - 4.3.4.9.1. If not, describe why or how you may be able to meet this requirement.
- 4.3.4.10. Indicate if the system alerts the requestor, approvers, and the person submitting the request, when a request is blocked with the ability to suppress the notifications if needed.
 - 4.3.4.10.1. If not, describe why or how you may be able to meet this requirement.

4.3.5. Fulfillment and Connectors

- 4.3.5.1. Indicate if the system has the ability to connect and provision users to multiple target systems.
 - 4.3.5.1.1.1. If not, describe why or how you may be able to meet this requirement.
- 4.3.5.2. Indicate if the system has the ability to utilize an intermediate system such as a workflow system, email system, or ticketing system in conjunction with changes that include creating, updating, and removing accounts on one or more target systems.
 - 4.3.5.2.1. If not, describe why or how you may be able to meet this requirement.
- 4.3.5.3. Indicate ability to configure account creation and delete policies such as but not limited to:
 - 4.3.5.3.1. Minimum required attributes.
 - 4.3.5.3.2. Conditions or criteria.
 - 4.3.5.3.3. Account name formatting.
 - 4.3.5.3.4. Account placement.
 - 4.3.5.3.5. Matching policies.
 - 4.3.5.3.6. Disable.
 - 4.3.5.3.7. Suspend.
 - 4.3.5.3.8. Delete.
 - 4.3.5.3.8.1. If not, describe why or how you may be able to meet this requirement.
- 4.3.5.4. Indicate if a delivered connector can be provided for:
 - 4.3.5.4.1. [Canvas.](#)

- 4.3.5.4.2. [Grouper.](#)
- 4.3.5.4.3. [PeopleSoft.](#)
- 4.3.5.4.4. [Salesforce.](#)
- 4.3.5.4.5. [LDAP.](#)
- 4.3.5.4.6. [Active Directory \(AD\).](#)
- 4.3.5.4.7. [Azure AD.](#)
- 4.3.5.4.8. [OnBase.](#)
- 4.3.5.4.8.1. If not, describe why or how you may be able to meet this requirement.
- 4.3.5.5. Indicate if a well-documented Software Development Kit (SDK) is provided for building custom connector. Include a link to this document.
 - 4.3.5.5.1. If not, describe why or how you may be able to meet this requirement.
- 4.3.5.6. Indicate if the system can support incoming and outgoing [Service Provisioning Markup Language \(SPML\)](#).
 - 4.3.5.6.1. If not, describe why or how you may be able to meet this requirement.
- 4.3.5.7. Indicate if the system supports System for Cross-Domain Identity Management (SCIM) 2.0 for outbound and inbound requests.
 - 4.3.5.7.1. If not, describe why or how you may be able to meet this requirement.
- 4.3.5.8. Indicate if the system can provide the ability to easily suspend a connector without affecting other connectors.
 - 4.3.5.8.1. If not, describe why or how you may be able to meet this requirement.
- 4.3.5.9. Indicate if the system can provide the ability to monitor each individual connector, including error and status display.
 - 4.3.5.9.1. If not, describe why or how you may be able to meet this requirement.
- 4.3.5.10. Indicate if the system can provide the ability to send notifications to an external system in the event of a failure.
 - 4.3.5.10.1. If not, describe why or how you may be able to meet this requirement.
- 4.3.5.11. Indicate if additional established connectors are provided.
 - 4.3.5.11.1. If not, describe why or how you may be able to meet this requirement.
- 4.3.5.12. Indicate if out of the box integration with MDM is available.
 - 4.3.5.12.1. If not, describe why or how you may be able to meet this requirement.

- 4.3.5.13. Indicate if the system supports logging to [Splunk](#) .
 - 4.3.5.13.1. If not, describe why or how you may be able to meet this requirement.

4.3.6. Password Management

- 4.3.6.1. Indicate the ability to dynamically change authentication requirements based on behavioral or environmental factors such as initial log in from a domestic location and secondary log in from internationally.
 - 4.3.6.1.1. If not, describe why or how you may be able to meet this requirement.
- 4.3.6.2. Indicate if different rules can be assigned to different groups/roles.
 - 4.3.6.2.1. If not, describe why or how you may be able to meet this requirement.
- 4.3.6.3. Indicate if a verified alternate email can be used for account recovery.
 - 4.3.6.3.1. If not, describe why or how you may be able to meet this requirement.
- 4.3.6.4. Indicate if there is API support for custom password validation rules.
 - 4.3.6.4.1. If not, describe why or how you may be able to meet this requirement.
- 4.3.6.5. Indicate if the system supports dev/test/qa/production architecture and migration between environments.
 - 4.3.6.5.1. If not, describe why or how you may be able to meet this requirement.
- 4.3.6.6. Describe what complexity rules are supported.

4.3.7. Deployment and Administration

- 4.3.7.1. Indicate if the system has the ability to be installed, configured, or operational fully, or in-part as a SaaS offering.
 - 4.3.7.1.1. If not, describe why or how you may be able to meet this requirement.
- 4.3.7.2. Indicate if the solution required a dedicated database. If so, which databases solutions are supported?
 - 4.3.7.2.1. If not, describe why or how you may be able to meet this requirement.
- 4.3.7.3. Indicate if the system has proactive availability/incident monitoring.
 - 4.3.7.3.1. If not, describe why or how you may be able to meet this requirement.

4.3.7.4. Indicate if time to respond and mean time to recovery are published and adhered to by the service provider.

4.3.7.4.1. If not, describe why or how you may be able to meet this requirement.

4.3.7.5. Indicate if the system has a mechanism to move configurations, workflows, and policies between development, test, and production environments.

4.3.7.5.1. If not, describe why or how you may be able to meet this requirement.

4.3.7.6. Indicate if the system allows the University the ability to customize the content and look of all Web forms.

4.3.7.6.1. If not, describe why or how you may be able to meet this requirement.

4.3.7.7. Indicate if the system includes a mechanism for authentication for administrators.

4.3.7.7.1. If not, describe why or how you may be able to meet this requirement.

4.3.7.8. Indicate if the system supports user authentication methods that allow all password stores to be maintained onsite.

4.3.7.8.1. If not, describe why or how you may be able to meet this requirement.

4.3.7.9. Indicate if the system can support containerization/orchestration.

4.3.7.9.1. If not, describe why or how you may be able to meet this requirement.

4.3.7.10. Indicate if the system configuration can be versioned and applied outside of [GUI](#).

4.3.7.10.1. If not, describe why or how you may be able to meet this requirement.

4.3.7.11. Indicate if the system can be installed on-prem.

4.3.7.11.1. If not, describe why or how you may be able to meet this requirement.

4.3.8. Single Sign On (SSO)

4.3.8.1. Indicate if the system can act as an identity provider.

4.3.8.1.1. If not, describe why or how you may be able to meet this requirement.

4.3.8.2. Indicate if the system has single sign one (SSO) capability.

- 4.3.8.2.1. If not, describe why or how you may be able to meet this requirement.
- 4.3.8.3. Indicate if the system has the ability to implement social sign on for externally facing apps such as but not limited to:
 - 4.3.8.3.1. Facebook.
 - 4.3.8.3.2. Google.
 - 4.3.8.3.3. Twitter.
 - 4.3.8.3.4. LinkedIn.
 - 4.3.8.3.5. If not, describe why or how you may be able to meet this requirement.
- 4.3.8.4. Indicate if the system supports certificate based authentication.
 - 4.3.8.4.1. If not, describe why or how you may be able to meet this requirement.
- 4.3.8.5. Indicate if the system can act as an [OIDC](#) provider.
 - 4.3.8.5.1. If not, describe why or how you may be able to meet this requirement.
- 4.3.8.6. Indicate if the system supports the [CAS](#) protocol.
 - 4.3.8.6.1. If not, describe why or how you may be able to meet this requirement.
- 4.3.8.7. Indicate if the system supports passwordless authentication, WebAuthN, or [FIDO2](#) sign on.
 - 4.3.8.7.1. If not, describe why or how you may be able to meet this requirement.
- 4.3.8.8. Indicate if the system's clients can easily configure and customize user facing forms.
 - 4.3.8.8.1. If not, describe why or how you may be able to meet this requirement.
- 4.3.8.9. Indicate if the system can support the inCommon and eduGAIN Federations including the [REFEDS Assurance Framework 1.0](#) and Multi Factor Authentication (MFA) Profile.
 - 4.3.8.9.1. If not, describe why or how you may be able to meet this requirement.
- 4.3.8.10. Indicate if the system supports the ability to interrupt the sign in web flow.
 - 4.3.8.10.1. If not, describe why or how you may be able to meet this requirement.

4.3.8.11. Indicate if the system has the ability to allow user impersonation for testing.

4.3.8.11.1. If not, describe why or how you may be able to meet this requirement.

4.3.8.12. Describe MFA platforms that the system can support.

4.3.8.13. Describe two-factor authentication systems that the product will support.

4.3.9. Customer Identity Access Management

4.3.9.1. Indicate if a Customer Identity Access Management solution is part of the Proposed Solution.

4.3.9.1.1. If not, describe why or how you may be able to meet this requirement.

4.3.9.2. Indicate if the University can easily configure user-facing forms to match existing site configurations.

4.3.9.2.1. If not, describe why or how you may be able to meet this requirement.

4.3.10. Support and Training

4.3.10.1. Describe trainings proposed to the University and the number of hours to include but not limited to:

4.3.10.1.1. Phone.

4.3.10.1.2. Chat.

4.3.10.1.3. Online.

4.3.10.1.4. On-site.

4.3.10.1.5. Remote.

4.3.10.1.6. Documentation.

4.3.10.2. Describe product support model and ongoing support provided for the contract term for University administrators and end users.

4.3.11. Implementation

4.3.11.1. Provide implementation process to include information that will be required to be provided by the University for a successful implementation.

4.3.11.2. Provide an implementation timeline to include expected roles and responsibilities from the University and the Successful Proposer.

- 4.3.11.3. Describe the process to transfer data from the University's current system to the proposed Solution.

4.4. Accessibility and Information Technology Security Requirements.

4.4.1. Accessibility

- 4.4.1.1. Indicate whether the proposed solution meets the Web Content Accessibility Guidelines 2.0 at the AA Level.
 - 4.4.1.1.1. If not, describe why or how you may be able to meet this requirement.
 - 4.4.1.1.2. If available, provide a roadmap of how accessibility conformance will be met.
- 4.4.1.2. Provide list of testing procedures to including operating systems, browsers, compatibility on mobile devices, and assistive technologies such as but not limited to screen readers, speed dictation, magnification, and keyboard only navigation.
- 4.4.1.3. Proposer may provide one or more of the following accessibility documents for the version of the system offered. Successful Proposer will be required to provide an Accessibility Conformance Report (ACR), which is a completed Voluntary Product Accessibility Template (VPAT) prior to completion of the contract:
 - 4.4.1.3.1. [Accessibility Conformance Report \(ACR\)](#)
 - 4.4.1.3.2. Completed checklist for conformance to Web Content Accessibility Guideline.
 - 4.4.1.3.3. Any 3rd party results from conformance testing.

4.4.2. Vendor Hosting

- 4.4.2.1. If the proposed system is cloud or vendor hosted, Proposer may provide any of the following documents. Successful Proposer will be required to complete either the University's simplified version of the Higher Education Community Vendor Assessment Toolkit ([NAUVAT](#)) or the [Higher Education Community Vendor Assessment Toolkit](#).
 - 4.4.2.1.1. The University's simplified version of Higher Education Community Vendor Assessment Toolkit ([NAUVAT](#)).
 - 4.4.2.1.2. [Higher Education Community Vendor Assessment Toolkit](#).
 - 4.4.2.1.3. Proof of acceptance into the [Cloud Security Alliance \(CSA\)](#).
 - 4.4.2.1.4. Completed [Service Organization Control 2 \(SOC2\)](#) report.
 - 4.4.2.1.5. Proof of acceptance into the [IMS Global Learning Consortium](#).

4.4.3. Application Architecture

4.4.3.1. Provide integration options available to include but not limited to:

- 4.4.3.1.1. [API](#).
- 4.4.3.1.2. [XML](#).
- 4.4.3.1.3. [Flat file](#).
- 4.4.3.1.4. [Tincan](#).

4.4.3.2. Provide integration and file transfer methods available to include but not limited to:

- 4.4.3.2.1. Frequency.
- 4.4.3.2.2. Security.
- 4.4.3.2.3. Limitations.

4.4.3.3. Describe available customization for user interface to include branding, theme, field properties and values.

4.4.3.4. Provide application architecture diagrams including a full description of the data communications architecture for all components of the proposed Solution.

4.4.3.5. Indicate whether the proposed Solution can provide a single-tenant or multi-tenant environment.

4.4.3.5.1. If not, describe why or how you may meet this requirement.

4.4.4. Network & Operating Environment

4.4.4.1. Describe the ability to maintain multiple operating environments for development, testing, training, and production.

4.4.5. Identity and Access Management

4.4.5.1. Describe in detail the ability to integrate with current security authorization systems such as [SAML](#), [CAS](#), [LDAP](#), and [Active Directory](#).

4.4.5.1.1. Indicate if Single Sign-On (SSO) is required.

4.4.5.2. Describe the provisioning process, including but not limited to provisioning, auto-provisioning, permission assignment based on known attributes, and de-provisioning for accounts with SSO.

4.4.5.3. Indicate if the proposed Solution supports SSO.

4.4.5.3.1. If not, does the proposed Solution support [multi-factor authentication](#) (MFA) such as DUO.

4.4.5.4. Describe your provisioning/deprovisioning processes and password complexity capabilities for accounts that are not SSO supported.

4.4.6. Solution Support

- 4.4.6.1. Describe in detail support model(s) for the proposed Solution including an escalation path for incident resolution too include accessibility issues.
- 4.4.6.2. Indicate if the proposed Solution has the ability to provide for disaster recovery at both the application (configuration) and database level.
- 4.4.6.3. Provide support documentation options to include an accessible format.
- 4.4.6.4. Describe patch management strategy to include outage windows.
 - 4.4.6.4.1. Indicate responsible party for administering upgrades/patches to include how often upgrades/patches are applied.
- 4.4.6.5. Indicate if proposed Solution has the ability to provide end-user application support through a built-in remote access utility.

4.4.7. Database Management System

- 4.4.7.1. Provide documented best practices including but not limited to optimum database configuration and client maintenance.
- 4.4.7.2. Indicate the platform or type of database(s) the proposed Solution incorporates such as but not limited to [SQL](#) and [Oracle](#).

4.4.8. Mobile Technology

- 4.4.8.1. Describe the mobile capabilities of the proposed Solution.
- 4.4.8.2. Describe the integration capabilities of the proposed Solution with other mobile technologies such as but not limited to [ModoLabs](#).
- 4.4.8.3. Indicate if the proposed Solution has the ability for offline cache mode such as but not limited to Android, Windows, and iOS.

4.5. Additional Services. Proposer may offer additional goods and/or services not specifically requested in this RFP, including associated costs. The University shall determine, in its sole discretion, which additional goods/service options are the most beneficial from both a cost and service standpoint, and may further negotiate these options to include or omit, at any time throughout the Contract or any renewal term, dependent on the needs of the University.

4.6. Quality Assurance Plan. Proposals shall provide a quality assurance plan that details the methods by which the Proposer guarantees performance.

5. **PRICING AND PAYMENT**

- 5.1. Proposer shall submit a detailed cost proposal in the format found in Exhibit 2 to include all aspects of providing the scope of work associated with this RFP.
- 5.2. Any pricing and/or revenue offerings in a Proposal may be considered a final offer by the University, whether stated as amounts or percentages, and/or whether or not offered on an all-or-none basis, unless otherwise specified in the Proposal. The University may accept or reject in part or entirely a Proposal's pricing and/or revenue offerings, unless otherwise specified in the Proposal. A Proposal's pricing and/or revenue offering may not be modified after Opening unless the University, at its sole discretion, permits such modification. The University may reject any Proposal in which the pricing and/or revenue offering does not conform to the prescribed manner and method in this RFP.
- 5.3. Method of Payment & Discount for Early Payment. The University's preferred method of payment is via credit card. Each Proposal shall indicate whether Proposer will:
 - 1) Accept payment via credit card at the time of purchase without assessing credit card fees;
 - 2) Offer an early payment discount (and describe the offering);
 - 3) Offer an early payment discount if paid via credit card;
 - 4) Accept payment via a Single Use Account when the invoice is processed through Accounts Payable. A Single Use Account is a card-based payment solution that acts like a check by providing a 16-digit virtual account number for each payment.

6. **QUALIFICATIONS** The University is soliciting Proposals from Persons which are in the business of providing services as listed in this RFP. Failure to include any requested information may be grounds for rejection of the Proposal.
- 6.1. **Prior Experience.** Proposals shall present a corporate history/management summary and evidence that the Proposer and/or its officers have been engaged for a minimum of three (3) years in providing similar products and services as described herein. Proposer may also describe Proposer's growth for the past three (3) years.
- 6.1.1. Describe any restructuring, mergers, and/or downsizing that has occurred over the past three (3) years or is anticipated in the next two (2) years.
- 6.1.2. Detail Proposer's experience with similar/like projects.
- 6.2. **Disputes/Litigation.**
- 6.2.1. Describe the material issues of any current patent or copyright lawsuits or any other legal actions against Proposer including, but not limited to, parties of dispute, description of technology involved, equipment affected, jurisdiction, and date of legal complaint.
- 6.2.2. Describe litigation disputes for the past 5 years related to similar projects or Proposer's ability to perform.
- 6.3. **Proposer References.**
- 6.3.1. Provide, at minimum, three (3) references, not including the University, identifying firms with requirements similar to those of the University. Provide the name of the firm, contact person, email and the telephone number.
- 6.3.2. The University may, but is not required to, contact the provided references and/or additional references not provided by Proposer. The University may give preference to those references that are most similar to the University.

7. RFP PROCESS

- 7.1. Intent / Right to Terminate and Recommence RFP Process. The University intends to enter into a Contract with one or more Proposers whose Proposal(s) are considered to be in the best interests of the University. However, the University may terminate this RFP process at any time up to notice of Award, without prior notice, and without liability of any kind or amount. Further, the University reserves the right to commence one or more subsequent RFP processes seeking the same or similar products or services covered hereunder.
- 7.2. Communications Regarding the RFP.
- 7.2.1. No department, school, or office at the University has the authority to solicit or receive official Proposals other than Contracts, Purchasing and Risk Management. All solicitations are performed under the supervision of the Chief Procurement Officer and in accordance with University policies and procedures.
- 7.2.2. Any and all questions regarding this RFP shall be directed to the Purchasing unit of Contracts, Purchasing and Risk Management and to no other office or individual at the University. Any Proposer who improperly attempts to communicate with unauthorized University personnel regarding the RFP may face disqualification at the discretion of the University.
- 7.2.3. All formal inquiries or requests for significant or material clarification or interpretation, or notification to the University of errors or omissions relating to this RFP must be in writing, and directed by email to: Kaitlyn.Jones@nau.edu. All formal inquiries must be submitted at least thirteen (13) calendar days before the time and date set for closing this RFP. Failure to submit inquiries by this deadline may result in the inquiry not being answered. Addenda will be posted to the University's bid board at <https://in.nau.edu/contracting-purchasing-services/nau-bid-board/>, it is the responsibility of the Proposer to obtain any addenda to this RFP. Failure to receive addenda shall not constitute a basis for claim, protest, or reissuance of the RFP.
- 7.2.4. The University may answer informal questions orally. The University makes no warranty of any kind as to the correctness of any oral answers and uses this process solely to quickly provide minor clarifications. Oral statements or instructions shall not constitute an addendum to this RFP. Proposer shall not be entitled to rely on any verbal response from the University.
- 7.3. Schedule of Events. The following is the schedule that will apply to this RFP, but may change in accordance with the University's needs.

11/23/2022	Issuance of RFP
12/07/2022	Technical Questions/Inquiries due no later than 5:00 PM/MST
01/05/2023	RFP is Due 01/05/2023, no later than 3:00PM PM, MST
TBD	Proposer Presentations

7.4. Submitting Proposals.

7.4.1. All Proposals shall be submitted, and all communications with University shall be made in accordance with the terms of this RFP.

7.4.2. Proposals are to be addressed and delivered to Attention to Associate Vice President Becky McGaugh, Northern Arizona University Contracts, Purchasing, and Risk Management at 545 E. Pine Knoll Drive Flagstaff, AZ 86011 on or before 01/05/2023 at 3:00PM Arizona Local Time at which time a representative of University will announce publicly the names of those firms or individuals submitting Proposals. No Proposals will be accepted after this time. No other public disclosure will be made regarding the RFP until after issuance of a notice of intent to Award or notice of Award of the Contract. No telephone, electronic or facsimile proposals will be considered. Conditional Proposals shall not be considered. If responding by United States Postal Services mail, allow additional time for on-campus delivery. Proposals will be opened at the Zoom meeting identified below. **Proposals received after Opening will be returned to the Proposer unopened.**

Join Zoom Meeting: P23KJ005 IAM Bid Opening

Link:

<https://nau.zoom.us/j/82786331302?pwd=TzBtZUtkSmtJWFbVtZnN5cVVqSmxCZz09>

Topic: Bid Opening P23KJ005, Identity Access Management System

Day and Time: Date 01/05/2023, 03:00 p.m., Local Arizona Time

Meeting ID: 827 8633 1302

Password: 125281

Dial by PHONE:

1-669-900-6833 US

877-853-5247 US Toll-free

7.4.3. Proposal shall be submitted in the format shown in Exhibit 1. Proposals should include page numbers. The University reserves the right to reject, without prior notice, any Proposal that it deems overly complex, disorganized, or difficult to evaluate. The University reserves the right to make such a decision without any input or communication from any other party.

7.4.4. The University may, at its sole option, ask the Proposer to provide information that is not included in the Proposal or evaluate the Proposal as submitted.

- 7.4.5. Proposals shall be signed by an individual with authority to bind the Proposer. The University may reject any Proposal if it is not signed as indicated and/or required by the areas, spaces, or forms provided within this RFP.
- 7.4.6. Proposers are to submit one (1) original Proposal to the University, in hardcopy form, along with one (1) copy(s) in electronic form, on a CD, flash drive or other removable storage device, in either Microsoft Word or as an Adobe PDF file.
- 7.4.7. Proposals must be submitted in a **marked and sealed container** (e.g. an envelope or box) and the exterior of the container must clearly and conspicuously display the following identifying information in addition to any other information otherwise required for transmittal: 1) the Name of the Proposer; 2) Title of Proposal; 3) RFP Number; and 4) Date and Time Proposals are Due.
- 7.4.8. Proposer is encouraged to use recycled paper and double-sided copying for the production of all printed and photocopied Proposal documents.
- 7.4.9. As a public institution that is subject to Arizona's Public Records laws, the University discourages Proposers from submitting confidential and/or proprietary information to the University. If the Proposer needs to submit confidential or proprietary information with its Proposal, the Proposer must submit such information in a separate envelope from the Proposal and clearly and conspicuously mark the submittals as "Confidential/Proprietary Information." The University will have sole discretion to determine whether any submitted information is actually confidential and/or proprietary. The envelope must also contain the reason(s) why the enclosed material is to be considered confidential or proprietary if deemed confidential by the University. Trade secrets or other proprietary data contained in the proposal documents shall be maintained as confidential in accordance with procedures promulgated by the Procurement Officer and subject to limitations in Arizona or Federal law. Contract terms and conditions, pricing, and information generally available to the public are not generally considered confidential information. Any watermarks, footnotes, or reference to confidential and/or proprietary throughout the Proposal will be disregarded as boilerplate markings.

7.5. Discussions with Proposers.

- 7.5.1. Following the opening of the Proposals, the University may conduct Discussions, including oral in-person presentations, with Responsible Proposers whose Proposals are determined, by the University, to be reasonably susceptible to being selected for Award. The University also reserves the right to select the most Responsive and Responsible Proposer(s) without further discussion, negotiation, or prior notice. The University may presume that any Proposal is a best-and-final offer.
- 7.5.2. During Discussions provided for by Section 7.5.1, the University may accept revisions of Proposals and negotiate price changes. Selected Proposers

participating in Discussions shall be accorded fair treatment with respect to any opportunity for Discussions or revisions of Proposals. If revisions are permitted, all selected Proposers will be invited to submit a final Proposal revision.

- 7.5.3. During any Discussion period, the University will not disclose any information derived from Proposals submitted, or from Discussions with other Proposers. Once a Contract is executed, the RFP file, and the Proposals contained therein, are in the public record and will be disclosed upon request.
- 7.5.4. After determining the Proposal(s) that is the most advantageous to the University, the University reserves the right to negotiate, prior to Award, with such Proposer(s) to finalize the terms of the Contract, resolve minor errors, clarify necessary details or responsibilities, obtain the lowest and best pricing, or otherwise as necessary to finalize the Contract.
- 7.5.5. Notification of Non-Selection. The University reserves the right not to notify Proposers not selected for further consideration or Award. The University may, in its sole discretion, post Awards to its website.

8. EVALUATION CRITERIA

8.1. Selection of Successful Proposer. The Award shall be made to the Responsible Proposer whose Proposal is determined to be the most advantageous to the University based on the evaluation factors set forth in this RFP. Price, although a consideration, will not be the sole determining factor.

8.2. Criteria. The evaluation of Proposals will be based on the following criteria with the indicated points possible for each category:

8.2.1. Proposer's Qualifications, Project Resources, Client References (refer to Section 6).

Points: 20

8.2.2. Scope of Work (refer to Section 4)

Points: 50

8.2.3. Pricing (refer to Section 5).

Points: 25

8.2.4. Exceptions to the Terms and Conditions of the RFP (refer to Section 3.2). Points may or may not be assigned to this category, however Proposals that are contingent upon changes to the University's terms and conditions may, if the University at its sole discretion determines not to accept the alternate terms and conditions, be considered non-responsive.

8.2.5. Overall responsiveness to RFP.

Points: 5

9. CONTRACT TERMS AND CONDITIONS AND INSURANCE

The University will require the Successful Proposer to enter into a written agreement that includes or incorporates the mandatory Terms and Conditions set forth in Exhibit 4 hereto. Proposals that are contingent upon any changes to these mandatory terms and conditions, and insurance requirements may be deemed to be non-responsive and may be rejected.

Proposals must state, in detail, any exceptions taken to the terms and conditions included in Exhibit 4.

10. CERTIFICATIONS AND FORMS

Each Proposal must include the following certifications and forms signed by an individual with authority to bind the Proposer. University forms of certification are attached as Exhibit 3. Failure to include any of the following certifications may result in the Proposal being rejected as nonresponsive.

10.1. Certification of Proposal

10.2. Anti-Lobbying Certification

10.3. Proposer Information

EXHIBIT 1 – PROPOSAL FORMAT

In order to facilitate direct comparison, submit Proposal using the following format, listed in order, and index tabbed to match. Failure to follow instructions regarding format may result in rejection of Proposal. Include the following with Proposal:

1. Completed and signed RFP Certification (refer to Exhibit 3).
2. Completed and signed Anti-Lobbying Certification (refer to Exhibit 3).
3. Completed and signed Proposer Information (refer to Exhibit 3).
4. Proposer's Qualifications (refer to Section 6.).
5. Project Resources (refer to Section 3.3).
6. Proposer References (refer to Section 6.3).
7. A detailed technical Proposal (refer to Section 4).
8. Exceptions to the Terms and Conditions of the RFP (refer to Section 3.2).
9. Pricing Proposal (refer to Section 5).

EXHIBIT 2-PRICING PROPOSAL

Submit the below pricing spreadsheet with Proposal.

Pricing Proposal

EXHIBIT 3 – CERTIFICATIONS

REQUEST FOR PROPOSAL CERTIFICATION

Date:

Contracts, Purchasing, and Risk Management
Northern Arizona University

The undersigned certifies, pursuant to Arizona Revised Statute [38-503](#), that to the best of his/her knowledge (check one):

- ☐ There is no officer or employee of Northern Arizona University who has, or whose relative has, a substantial interest in any Contract award subsequent to this RFP.
- ☐ The names of any and all public officers or employees of Northern Arizona University who have, or whose relative has, a substantial interest in any Contract award subsequent to this RFP are identified by name as part of the submittal.

The undersigned further certifies, in accordance with Federal Acquisition Regulation 52.209-5, that Proposer (check one) ☐ **IS** or ☐ **IS NOT** currently debarred, suspended, or proposed for debarment by any federal entity. The undersigned agrees to notify the University of any change in this status, shall one occur, until such time as an award has been made under this procurement action. The debarred list (List of Parties Excluded from Federal Procurement and Non-Procurement Programs) can be found at:
<https://www.sam.gov/portal/SAM/#1>.

In compliance with RFP Number: _____ and after carefully reviewing all the terms and conditions imposed therein, the undersigned agrees to furnish such goods and/or services in accordance with the specifications/scope of work according to the Offer submitted or as mutually agreed upon by subsequent negotiation.

Name of Proposer		
Name of Contact		Title of Contact
Address 1		Address 2
City	State	Zip Code
		-
Telephone Number		E-mail address
() -		
Print Name of Proposer's Authorized Agent		Signature of Proposer's Authorized Agent
Title of Proposer's Authorized Agent		Date
AN AUTHORIZED AGENT OF THE OFFEROR SHALL SIGN THE PROPOSAL CERTIFICATION		

ANTI-LOBBYING CERTIFICATION

Certification and Disclosure Regarding Payments to Influence Certain Federal Transactions (Sept 2007). In accordance with the Federal Acquisition Regulation, 52.203-11:

(a) The definitions and prohibitions contained in the clause, at FAR 52.203-12, Limitation on Payments to Influence Certain Federal Transactions, included in this solicitation, are hereby incorporated by reference in paragraph (b) of this certification.

(b) The Proposer, by signing its offer, hereby certifies to the best of his or her knowledge and belief that on or after December 23, 1989.

(1) No Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress on his or her behalf in connection with the awarding of this contract;

(2) If any funds other than Federal appropriated funds (including profit or fee received under a covered Federal transaction) have been paid, or will be paid, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress on his or her behalf in connection with this solicitation, the Proposer shall complete and submit, with its offer, OMB standard form LLL, Disclosure of Lobbying Activities, to the Contracting Officer; and


(3) He or she will include the language of this certification in all subcontract awards at any tier and require that all recipients of subcontract awards in excess of \$100,000 shall certify and disclose accordingly.


(c) Submission of this certification and disclosure is a prerequisite for making or entering into this contract imposed by Section 1352, Title 31, United States Code. Any person who makes an expenditure prohibited under this provision or who fails to file or amend the disclosure form to be filed or amended by this provision, shall be subject to a civil penalty of not less than \$10,000, and not more than \$100,000, for each such failure.

Name of Proposer		
Name of Contact		Title of Contact
Address 1		Address 2
City	State	Zip Code
		-

Telephone Number	E-mail address
() -	
Print Name of Proposer's Authorized Agent	Signature of Proposer's Authorized Agent
Title of Proposer's Authorized Agent	Date
AN AUTHORIZED AGENT OF THE OFFEROR SHALL SIGN THE ANTI-LOBBYING CERTIFICATION	

PROPOSER INFORMATION

 NORTHERN ARIZONA UNIVERSITY <small>Contracts, Purchasing, and Risk Management</small>	NORTHERN ARIZONA UNIVERSITY SUBSTITUTE W-9 & VENDOR AUTHORIZATION FORM Contracts, Purchasing and Risk Management Services 928-523-4557	DO NOT SEND TO IRS RETURN TO NAU
Foreign individuals/business entities doing business within the U.S. should complete the Foreign Substitute W-9 available at http://nau.edu/Contracting-Purchasing-Services/Forms/ .		
1. Taxpayer Identification Number (TIN):		<input type="checkbox"/> Employer ID Number (EIN) <input type="checkbox"/> Social Security Number (SSN)
2 LEGAL NAME: <small>(must match TIN above)</small>		
3. DUNS # (If applicable)		
4. LEGAL MAILING ADDRESS:	(Where check, tax information, and general correspondence is to be sent)	
DBA (Doing Business As):		
Address:		
Address Line 2:		
City:	State:	ZIP Code:
5. Remit to Address:	<input type="checkbox"/> Same as Legal Mailing Address	
Address:		
Address Line 2:		
City:	State:	ZIP Code:
6. Contact Name:		
Phone Number:		
Email Address:		
7. ENTITY TYPE		
<input type="checkbox"/> Individual (not a business)	<input type="checkbox"/> Sole proprietor (Individually owned business) or sole proprietor organized as LLC or PLLC	<input type="checkbox"/> Corporation (NOT providing health care, medical or legal services)
<input type="checkbox"/> The US or any of its policital subdivisions or instrumentalities	<input type="checkbox"/> A state, a possession of the US, or any of their policital subdivisions or instrumentalities	<input type="checkbox"/> Tax-exempt organizations under IRC §501
<input type="checkbox"/> Corporation (providing health care, medical or legal services)		
<input type="checkbox"/> Partnership, LLP or partnership organized as LLC or PLLC		
8. Business Purpose:		
<input type="checkbox"/> Medical <input type="checkbox"/> Merchandise <input type="checkbox"/> Legal <input type="checkbox"/> Other, Specify:		
9. Product or Service Provided/ Purpose of Payment:		

 Contracts, Purchasing, and Risk Management	NORTHERN ARIZONA UNIVERSITY SUBSTITUTE W-9 & VENDOR AUTHORIZATION FORM Contracts, Purchasing and Risk Management Services 928-523-4557	DO NOT SEND TO IRS RETURN TO NAU
10. FEDERAL INFORMATION – REQUIRED		
What is the Federal classification type of your business? – see definitions on link below. (S.B.A. Small Business definition FAR 19.001 and size standards FAR 19.102) http://www.sba.gov/size		
LARGE Business? YES <input type="checkbox"/> NO <input type="checkbox"/> SMALL Business? YES <input type="checkbox"/> NO <input type="checkbox"/>		
Please check <u>all that apply</u> to your business for Federal Supplier Type:		
Service Disabled Veteran Owned (VD) <input type="checkbox"/>	Small Disadvantaged (SD) <input type="checkbox"/>	Women Owned (WO) <input type="checkbox"/>
Veteran Owned (VO) <input type="checkbox"/>	Minority Institution (MI) <input type="checkbox"/>	HUB Zone (HZ) <input type="checkbox"/>
Note: Supplier type will be verified through the System for Award Management https://www.sam.gov		
11. Residency (Select one):		
<input type="checkbox"/> U.S. Person, Includes Resident Alien <input type="checkbox"/> Nonresident Alien performing services outside the U.S.		
12. CERTIFICATION		
Under penalties of perjury, I certify that : <ol style="list-style-type: none"> 1. The number shown on this form is my correct taxpayer identification number (or I am waiting for a number to be issued to me), 2. I am not subject to backup withholding. 3. I am a U.S. person (including a resident alien). Cross '3' if non-resident doing business outside the U.S. 4. I certify that the organization and its principals are not debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded by any federal department or agency from doing business with the federal government. See Federal Acquisition Regulation section 52.209-6 for more information regarding debarment. The Internal Revenue Service does not require your consent to any provision of this document other than the certification required to avoid backup withholding.		
Payment Term: Net 30 in accordance with A.R.S. 35-342		
PRINT NAME:	SIGNATURE:	
Title:	Date:	
NAU Contact Name and Phone/Email:		
AN AUTHORIZED AGENT OF THE OFFEROR SHALL SIGN THE VENDOR INFORMATION		

Northern Arizona University is an Equal Opportunity/Affirmative Action Institution.

EXHIBIT 4 – TERMS AND CONDITIONS

Proposals that are contingent upon any changes to these mandatory contract terms and conditions may be deemed nonresponsive and may be rejected. All exceptions must be submitted with justification and alternate language and **MUST** be submitted with the Proposal.

Terms and Conditions

The University's Terms and Conditions are available [here](#).

Insurance

Without limiting any liability of or any other obligation of Contractor, Contractor shall procure and maintain (and cause its subcontractors to procure and maintain), until all of their obligations have been discharged or satisfied, including any warranty periods under this Contract, insurance against claims that may arise from or in connection with the performance of work hereunder by Contractor, its agents, representatives, employees or subcontractors, the minimum insurance coverages listed below, unless otherwise agreed to in writing. Contractor's insurance shall be placed with companies licensed in the State of Arizona or hold approved non-admitted status on the Arizona Department of Insurance List of Qualified Authorized Insurers. Insurers shall have an "A.M. Best" rating of not less than A- VII. The University in no way warrants that the above required minimum insurer rating is sufficient to protect the Contractor from potential insurance insolvency. Self-insurance may be accepted in lieu of or in combination with the insurance coverage requested.

- a. **Commercial General Liability** of \$1,000,000 minimum limit for each occurrence and \$2,000,000 general aggregate, to include coverage for bodily injury, property damage, personal and advertising injury, and broad form contractual liability coverage. The policy shall be endorsed to include direct primary Garagekeepers Legal Liability coverage.

Each Occurrence	\$1,000,000
Damage to Rented Premises	\$50,000
Personal and Advertising Injury	\$1,000,000
General Aggregate	\$2,000,000
Products – Completed Operations Aggregate	\$1,000,000
Liquor Liability (if applicable)	\$1,000,000
Garage and Liability (Premises and Operations)	\$1,000,000
Garagekeepers Legal Liability – Direct Primary Coverage:	
Per Auto	\$500,000
Comprehensive – Aggregate	\$1,000,000
Collision	\$500,000

- b. **Automobile Liability** of \$1,000,000 minimum Combined Single Limit each occurrence, to include coverage for bodily injury and property damage for any owned, hired, and/or non-owned automobiles assigned to or used in the performance of this Contract. Policy shall be endorsed to include coverage for towing. Policy shall be endorsed to include Garagekeepers coverage on a direct primary basis with the following limits and deductibles:

(1) Per Auto	\$500,000
(2) Comprehensive – Aggregate	\$1,000,000
(3) Collision	\$500,000

- c. **Workers Compensation** coverage for all employees which meets Arizona statutory benefits and Employers' Liability insurance with a minimum limit of \$1,000,000 each accident, \$1,000,000 disease – each employee, and \$1,000,000 disease – policy limit.

- i. This requirement shall not apply to each Contractor or subcontractor that is exempt under ARS § 23-901 and when such Contractor or subcontractor executes the appropriate form (Sole Proprietor Waiver or Independent Contractor Agreement).

d. **Technology Errors and Omissions Insurance**

Each Claim	\$1,000,000
Annual Aggregate	\$2,000,000

With the Following Requirements:

- Systems analysis;
- Software design;
- Systems programming;
- Data processing;
- Systems integration;
- Outsourcing including outsourcing development and design;
- Systems design, consulting, development and modification;
- Training services relating to computer software or hardware;
- Management, repair and maintenance of computer products, networks and systems;
- Marketing, selling, servicing, distributing, installing and maintaining computer hardware or software, and
- Data entry, modification, verification, maintenance, storage, retrieval or preparation of data output;
- In the event that the professional liability insurance required by this Contract is written on a claims-made basis, Contractor warrants that any retroactive date under the policy shall precede the effective date of this Contract; and that either continuous coverage will be maintained or an extended discovery period will be exercised for a period of two (2) years beginning at the time work under this Contract is completed.
- The policy shall cover professional misconduct or lack of ordinary skill for those positions defined in the Scope of Work of this contract.

e. **Network Security Errors and Omissions Insurance**

Each Claim	\$1,000,000
Annual Aggregate	\$2,000,000

With the Following Requirements:

- Hostile action or a threat of hostile action with the intent to affect, alter, copy, corrupt, destroy, disrupt, damage, or provide unauthorized access/unauthorized use of a computer system including exposing or publicizing confidential electronic data or causing electronic data to be inaccessible.
 - Computer viruses, Trojan horses, worms and another type of malicious or damaging code.
 - Dishonest, fraudulent, malicious, or criminal use of a computer system by a person, whether identified or not, and whether acting alone or in collusion with other persons, to affect, alter, copy corrupt, delete, disrupt, or destroy a computer system or obtain financial benefit for any party or to steal or take electronic data.
 - Denial of service for which the insured is responsible that results in the degradation of or loss of access to internet or network activities or normal use of a computer system;
 - Loss of service for which the insured is responsible that results in the inability of a third party, who is authorized to do so, to gain access to a computer system and conduct normal internet or network activities.
 - Access to a computer system or computer system resources by an unauthorized person or an authorized person in an unauthorized manner; and
 - Loss or disclosure of confidential information no matter how it occurs.
 - In the event that the professional liability insurance required by this Contract is written on a claims-made basis, Contractor warrants that any retroactive date under the policy shall precede the effective date of this Contract; and that either continuous coverage will be maintained or an extended discovery period will be exercised for a period of two (2) years beginning at the time work under this Contract is completed.
 - The policy shall cover professional misconduct or lack of ordinary skill for those positions defined in the Scope of Work of this contract.
- f. Policies for Commercial General Liability and Automobile Liability shall be endorsed to include the State of Arizona, and its departments, agencies, boards, commissions, universities, officers, agents, and employees as additional insureds with respect to liability arising out of the activities performed by or on behalf of Contractor. Such additional insured shall be covered to the full limits of liability purchased by the Contractor, even if those limits are in excess of those required by this Contract.

- g. Policies for Commercial General Liability, Automobile Liability, and Workers Compensation shall contain a waiver of subrogation endorsement in favor of the State of Arizona, and its departments, agencies, boards, commissions, universities, officers, officials, agents, and employees for losses arising from work performed by or on behalf of Contractor.
- h. Such coverage shall stipulate that the insurance afforded the Contractor shall be primary and that any insurance carried by Northern Arizona University, the Arizona Board of Regents, or the State of Arizona shall be excess and not contributory insurance, as provided by ARS §41-621(E).
- i. With the exception of ten (10) days' notice of cancellation for non-payment of premium, Contractor's insurance shall not be permitted to expire, be suspended, be cancelled, or materially changed for any reason without thirty (30) days prior written notice to the University.
- j. Contractor will furnish the University with valid certificate(s) of insurance required by this Contract and coverage must be in effect at or prior to commencement of work under this Contract and remain in effect for the term of this Contract.
- k. The University's project or purchase order number and project description will be noted on each certificate of insurance.
- l. The Certificate Holder shall be listed as "State of Arizona, Arizona Board of Regents and Northern Arizona University".
- m. Failure on the part of Contractor to maintain these requirements or provide evidence of renewal, shall constitute a material breach of this Contract upon which the University may immediately terminate this Contract, or, in the University's sole discretion, procure or renew such insurance and pay any and all premiums in connection therewith, and all monies so paid by the University shall be repaid by Contractor to the University upon demand, or the University may offset the cost of the premiums against any monies due to Contractor.
- n. Costs for coverage broader than those required or for limits in excess of those required shall not be charged to the University.
- o. The University reserves the right to request and receive proof of insurance and/or certified copies of any or all of the above policies and/or endorsements at any time throughout the term of this Contract.

Contractor's certificate(s) of insurance may include all subcontractors as insureds under its policies as required by this Contract, or Contractor will furnish to the University upon request, copies of valid certificates and endorsements for each subcontractor. Coverages for subcontractors will be subject to the minimum requirements identified above.