

PKI (Trust Infrastructure) Proposal

Proposal #:
Return by:
Attention:
Date: June 19, 2000

University of Alabama at Birmingham REQUEST FOR PROPOSAL

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1.0 INTRODUCTION

1.1 Purpose of Procurement

The University of Alabama at Birmingham (UAB) intends to provide a trust infrastructure to facilitate the academic, research, service, medical and administrative activities across the UAB campus and potentially among the three institutions of the University of Alabama System. Ensuring that faculty, staff, students and potentially patients can accomplish these activities in an online environment with trust and confidence is essential.

UAB seeks a vendor whose products will allow the phased development of a coherent information security and access mechanism for UAB that manages two integral facets of the relationship between UAB information systems and its users (students, faculty, staff, and alumni): the first is the individual's role at UAB, the second is what information will be useful and necessary to that individual. In basic technology terms, this requires centralized security and directory infrastructures.

1.2 Basic Guidelines For This Request For Proposal

The proposals shall be evaluated in accordance with the evaluation criteria set forth in this Request for Proposal (RFP). Subsequent to the opening of the sealed proposals, discussions may be conducted by UAB with responsible offerors who submit proposals determined to be reasonably susceptible of being selected for award for the purpose of clarification to assure full understanding of and responsiveness to the solicitation requirements. Offerors shall be accorded fair and equal treatment with respect to any opportunity for discussion and revision of proposals; and such revisions may be permitted after submissions and prior to award for the purpose of obtaining best and final offers.

In conducting any such discussions, there shall be no disclosure of any information derived from proposals submitted by competing offerors. All such discussions shall be coordinated by the UAB Issuing Officer named below:

Name: Scott Spruiell
Title: Contract Manager, Procurement Contracts
University of Alabama at Birmingham
Purchasing Department
701 20th Street S., Suite 620
Birmingham, AL 35294-0106
Telephone: 205-934-4515
E-Mail: bss@uab.edu

Award(s) shall be made to the responsible offeror(s) whose proposal(s) is determined in writing to be the most advantageous for UAB taking into account all of the evaluation factors set forth in this RFP. No other factors or criteria shall be used in the evaluation. UAB reserves the right to reject any and all proposals submitted in response to this request.

1.3 Calendar of Events

Release of RFP	06/26/2000
Deadline For Written Questions	07/10/2000
Proposals Due	07/17/2000
Contract Award (On/about)	08/04/2000
Contractor Begins Work (On/about)	09/01/2000

1.4 Evaluation Criteria

- Functionality
- Cost
- Vendor Reputation
- Vendor credibility, current and long term
- University and Health Care Market Penetration

The University reserves the right to accept or to reject any or all responses and is not necessarily bound to accept the lowest response if that response is contrary to the best interest of the University. In making an award, intangible factors such as vendor's service, integrity, reputation, and past performance will be weighed.

1.5 Restrictions on Communications With Staff

From the issue date of this RFP until a contractor is selected and the selection is announced, offerors are not allowed to communicate with any University Staff except through the Issuing Officer named herein, or as it relates to existing work agreement(s) or other proposed work agreements which might be under negotiation. For violation of this provision, UAB shall reserve the right to reject the proposal of the offending offeror. All questions concerning this RFP must be submitted in writing (fax may be used) to the Issuing Officer. No questions other than written will be accepted. No response other than written will be binding upon UAB.

2.0 BACKGROUND

UAB is a Carnegie classification Research I academic institution and hospital serving approximately 16,000 students and 15,000 employees. The University has more than 125

buildings and occupies an area in excess of 70 square blocks. The University budget exceeds \$1 billion.

UAB ranks among the top of 25 of all Universities nationally in the amount of federal research grant and contracts awarded. More than sixty percent (60%) of all federal research money for Alabama institutions is awarded to UAB.

The University of Alabama at Birmingham, located within the state's principal urban area, is the senior public institution serving Alabama's economic, industrial, and cultural center. Its programs and services in the health professionals and in health care are preeminent within the state and it is a regional and national resource in health-related research, training, and service.

3.0 DESCRIPTION OF REQUIREMENTS

The vendor must describe the manner in which it meets these general requirements. The vendor proposal must include responses to all items listed in this section. Each proposal response must explicitly reference the corresponding RFP section number. Proposals that do not address these questions risk being disqualified.

- 3.1 The solutions must have minimum user impact; the goal is to simplify the electronic environment of the user population, not to add to help desk burdens.
- 3.2 The solutions must enable the infrastructure to be easily leveraged by 3rd party software (including that of major ERP vendors), hardware products and internal developers.
- 3.3 The solutions must use open, Internet standards including the X.509v3 digital certificate standard and the LDAPv3 directory standard.
- 3.4 The solutions must provide the potential for single sign-on to University applications across multiple platforms.
- 3.5 The solutions must provide the potential for improved communications and cooperation with extra-institutional entities, including the exchange of patient records with other institutions and financial data with the Department of Education, and participation in major research efforts such as the Partnership for Advanced Computing Infrastructure (PACI) computing grid.

The vendor must describe the manner in which it incorporates the following features into the infrastructure

- 3.6 Automated administration of client certificates
 - 3.6.1 Automated issuance of certificates including a description of the user interface

- 3.6.2 Integration with an LDAP infrastructure, specifically Sun-Netscape Alliance IPlanet Directory Server, including validation, and storing of certificates and public keys in the LDAP
- 3.6.3 Accomplishment of user mobility on and off campus, i.e. minimal device and location dependence
- 3.7 Functionality that permits UAB to be recognized as a CA by major internet browsers, including Netscape and Internet Explorer
- 3.8 Availability of onsite and vendor-hosted client certificate services
- 3.9 Scalability to include the Health System and the entire University of Alabama System. This feature must allow multiple entities within the University System to have different security domains to address specific, local security needs and interests and, at the same time, enable secure information-sharing across security boundaries.
- 3.10 Integration with Smart Card technology
- 3.11 Certification requirements for different levels of certificates.
- 3.12 Certificate revocation
- 3.13 Certificate renewal

4.0 PHASED IMPLEMENTATION

The vendor must bid three phases of implementation. The University may discontinue the implementation at the end of any phase. The vendor proposal must include responses to all items listed in this section. Each proposal response must explicitly reference the corresponding RFP section number. Proposals that do not address these questions risk being disqualified.

4.1 Phase 1, Server Certificates

UAB plans to implement certificates for a minimum of 100 UAB campus web servers.

- 4.1.1 The vendor will define the process used to validate UAB servers.
- 4.1.2 The vendor will provide incremental pricing for up to 2000 server certificates.
- 4.1.3 The vendor will provide renewal pricing for these certificates.

4.2 Phase 2, Pilot of Client Certificates

UAB will pilot a limited number of vendor hosted client/user certificates (500) to develop our processes for requesting certificates, verifying the identity of the requesters, issuing certificates, and updating our LDAP directory with the certificate prior to full implementation. These certificates will be used initially for authentication.

UAB clients consist of UAB employees (faculty and staff) and enrolled students. We will use a subset of these groups for the pilot and include pilot applications with researchers, administrators and students. The existing UAB LDAP Directory (Sun-Netscape Alliance IPlanet Directory Server) is created from the Human Resources and Registrar's official databases of validated employees and enrolled students.

- 4.2.1 The vendor will define all hardware, software and consulting required for implementation; all software must utilize a Solaris platform (specify levels supported)
- 4.2.2 The vendor will provide detailed pricing for the pilot, required software, pilot certificates and consulting costs
- 4.2.3 The vendor will describe any certificate expiration limitations or extensions for the pilot
- 4.2.4 The vendor will provide pricing for renewal should the pilot extend beyond the life of the certificates
- 4.2.5 The vendor will price different levels of certificates.

4.3 Phase 3, Full Implementation

At full implementation, UAB will require 100,000 certificates.

- 4.3.1 UAB requires that the vendor provide incremental pricing estimates that will be extensible for one year after the completion of the pilot. The vendor must identify educational discounts and opportunities for additional considerations such as site references and promotional articles.
- 4.3.2 The vendor will provide pricing for both on-site and vendor-hosted certificates.
- 4.3.3 The vendor will define all hardware, software and consulting required for implementation of on-site certificate management, and provide detailed pricing for the software and consulting. All software must utilize a Solaris platform.
- 4.3.4 The vendor will provide annual certificate renewal pricing.

4.3.5 The vendor will price different levels of certificates and is encouraged to provide alternative pricing models, such “per seat.”

5.0 Terms and conditions

5.1 Vendor Restriction Against Hiring University Employees

For the duration of this project, the vendor must agree that neither the vendor nor any subcontractors will solicit for employment or employ any University staff member involved in this project.

5.2 Continuity of Work During Disputes

The vendor must agree that no work stoppage, interruption, or delay will be permitted should any dispute arise between the vendor and UAB or any of the vendor’s subcontractors in the course of this project or during the resolution (by whatever procedural or legal means) of the dispute.

5.3 Ownership of Work

All software, documentation, processes, procedures or other intellectual properties that may result from this project beyond delivered vendor products are and will remain the sole property of UAB.

5.4 Confidentiality of Information

Subject to the open records laws of the State of Alabama, all data and information revealed or accessible to the vendor or their subcontractors concerning University contracts, staff, students, systems, processes and procedures shall be held in strict confidence by the vendor.

5.5 Insurance

The contractor shall bear the full and complete responsibility for all risk of the damage or loss of equipment, products or money resulting from any cause whatsoever and shall not penalize UAB for any losses incurred in association with this Proposal. Any insurance policy or policies shall cover the entire consulting agreement at UAB including all areas that may in the future be placed under the control or use of the Contractor.

The contractor shall maintain, during the life of the contract, the following minimum insurance requirements:

<u>Kind of Insurance</u>	<u>Minimums of Liability</u>
Worker’s Compensation (Including Employer’s Liability)	Alabama State Statute

Comprehensive General	\$1,000,000 each occurrence/ \$3,000,000 annual aggregate
Combined Single Limit	
Product Liability	\$5,000,000 each occurrence
Automobile Liability	
Combined Single Limit	\$2,000,000 each occurrence

These policies shall contain a covenant requiring thirty (30) days written notice to UAB before cancellation, reduction or other modifications of any kind to the required coverage.

The Contractor, at its cost, must provide acceptable evidence of compliance with the worker's compensation insurance requirements of the State of Alabama. In the event that the Contractor fails to maintain and keep in force the insurance and Worker's Compensation coverage as herein provided, UAB shall have the right to terminate the Agreement. UAB and Contractor shall each be listed as the named insured in said policy(ies) so that each is independently protected to the face amount of the policy.

Upon notification of award and prior to issuance of Agreement, the Contractor shall provide UAB with Certifications of Insurance with the required kinds of insurance and minimum liabilities specified, issued by an insurance company licensed to do business in the State of Alabama and signed by an authorized agent. In the event of cancellation, material change or intent not to renew any of the insurance requirements specified, thirty (30) days written notice shall be give UAB by the party initiating any revision.

5.6 Indemnification

The Contractor hereby covenants and agrees, at its sole cost and expense during the term of this Agreement, to indemnify and hold harmless UAB and UAB's officers, agents and employees against and from any and all claims or demands by or on behalf of any person, firm, corporation or governmental authority, arising out of, attributable to or in connection with the use, occupation, possession or transactions of the Contractor concerning the consulting service performed and rendered hereunder, including, but without limitation, any and all claims for injury or death to persons or damage to property. The Contractor also covenants and agrees, at it sole cost and expense, to hold harmless UAB and UAB's officers, agents, and employees from and against all judgement, costs, counsel fees, expenses and liabilities incurred in connection with any such claim and any action or proceeding brought thereon, and in case any action is brought against UAB or against any of UAB's officers, agents or employees, by reason of any such claim, the Contractor upon notice from UAB will resist and defend such action or proceeding by qualified counsel. However, the provisions of this section shall not

apply to any claims arising from the negligent or willfully wrongful acts or omissions of UAB, or its officers, agents or employees.

UAB shall not be responsible or be held liable for any injury or damage to persons or property resulting from the use, misuse, or failure of any equipment used by Contractor or any of the Contractor's agents, servants, or employees, even if such equipment is furnished by UAB to Contractor. The acceptance or use of any such equipment by Contractor shall be construed to mean that Contractor accepts full responsibility for, and agrees to indemnify UAB against any and all loss, liability, and claims for any injury or damage whatsoever resulting from the use, misuse, or failure of such equipment, whether such damage or injury is to an employee, agent, or servant or the property of the Contractor, other Contractors, UAB, or other persons.

The successful vendor shall assume all liability for and indemnify and hold harmless UAB, its officers, employees, and agents, from all damages and liability for injury to any person or persons, and injury to or destruction of property, including the loss thereof, by reason of any activities or occurrence arising from the performance of its obligations under this agreement, whether such activities or operations are being performed by the vendor or by a subcontractor of the vendor, or by anyone directly or indirectly employed by them, occurring on or about the premises, while performing the work specified within these bid requirements and shall also assume all liability for injury and/or damages to adjacent or neighboring property by reason of the performance of its obligations hereunder. Any claims, which the vendor may have against UAB, shall be submitted to the Alabama State Board of Adjustment.

5.7 Laws to be Observed

The University of Alabama at Birmingham terms and conditions and the laws of the state of Alabama shall govern any contract resulting from this request.

The Vendor shall observe, perform and comply with or require compliance with all federal, state, and local laws, ordinances, rules and regulations and all amendments thereto which in any manner may affect the operation and Vendor's activities undertaken pursuant to this Agreement. The Vendor shall also comply with all state and local building, fire, health, zoning laws, codes and/or regulations that affect or that are applicable to Vendor's activities and operations hereunder. The final agreement shall be governed and construed in accordance with the laws of the State of Alabama.

Comprehensive General Liability includes, but is not limited to: Consumption or use of products, existence of equipment or machines on location and contractual obligations to UAB.

The laws of the state of Alabama shall govern this contract.

5.8 Negotiations

UAB reserves the right to enter into contract negotiations with the selected proposer. If UAB and the selected proposer cannot negotiate a successful contract, UAB may terminate negotiations and begin negotiating with the next selected proposer. This process will continue until a contract has been executed or all proposals have been rejected. No proposer shall have any rights against UAB arising from such negotiation.

5.9 Exceptions to Proposals

Include any exceptions to the Contract terms presented in this document. It will be assumed that the Contractor accepts all terms presented unless the exceptions are clearly stated in the proposal response. UAB reserves the right to reject any proposal exceptions.

5.10 Questions

Any questions concerning the proposal request should be directed to Scott Spruiell, Procurement Contracts by phone: 205-934-4245, fax: 205-934-6719 or e-mail: bss@uab.edu

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C/o Scott Spruiell
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