



REQUEST FOR COMPETITIVE SEALED PROPOSAL

BUDGET DEVELOPMENT SOFTWARE SOLUTION

Solicitation No.: R-17-013-JAM

Addendum 1 | August 18, 2017

RESPONSES TO QUESTIONS

1. QUESTION: Whether companies from Outside USA can apply for this? (like, from India or Canada)
ANSWER: *Yes.*
2. QUESTION: Whether we need to come over there for meetings?
ANSWER: *If the firm cannot come in, the firm can present or join through WebEx.*
3. QUESTION: Can we perform the tasks (related to RFP) outside USA? (like, from India or Canada)
ANSWER: *Yes.*
4. QUESTION: Can we submit the proposals via email?
ANSWER: *No, only hard copy submissions will be accepted.*
5. QUESTION: Can you please confirm if SAWS has participated in any product demos prior to the release of the RFP? If so, with which vendors?
ANSWER: *SAWS has been presented demos from Infor – dEPM and Hyperion.*
6. QUESTION: Can you provide the estimated number of users that will need access to the solution? The solicitation states that the solution should support up to 250 users. Can you please provide an estimate for how many users SAWS would like to have when you go live?
ANSWER: *This depends on the application and role configuration.*
7. QUESTION: Have you determined what their role or user type will be on the new system? For example, how many people will need to have access to the database, how many will be responsible for data entry, and/or how many will need read only functionality, etc.?
ANSWER: *SAWS will need to first understand the processes and functionality of the application in order to make that determination.*

8. QUESTION: Can you kindly clarify if the budget system is to be “Hosted” or if you wish pricing based on “SaaS” (Software as a Service/ subscription fee), or both. Some of the language in the RFP is somewhat confusing in that both terms, “Hosted” and “subscription fee” are used. Typically “hosted” means you would purchase the licenses outright and the application itself is then hosted off site, in the cloud. SaaS or subscription fee is also hosted off site in the cloud, but the licenses are not purchased outright, but rather ‘leased/rented’ on a subscription basis. Can you please clarify if you have a preference for a purchased/Hosted solution, or a SaaS - Software as a Service subscription fee solution?
- ANSWER: ***Both Hosted and SaaS or either.***
9. QUESTION: On page 1/37 the RFP states: “The Budget Software Solution shall be capable of supporting up to 250 total system users”. However on page 16/37 it states “Unlimited Concurrent Licenses”. Can you clarify if the number of user licenses needed is 250 or unlimited?
- ANSWER: ***The user licenses needed is 250 Concurrent Licenses.***
10. QUESTION: On page 6/37 the RFP states: “Adherence to Affirmative Action and Small, Minority and Woman Business (SMWVB) participation = 15 pts” (15%), however, on page 31/39 it states: “The SMWB goal on this project is 40%” Can you please clarify.
- ANSWER: ***Exhibit B has been modified in this Addendum with an attached document detailing the scoring. Please see attached.***
11. QUESTION: What is SAWS annual operating (including Capital or CIP) budget?
- ANSWER: ***SAWS’ annual operating (including Capital or CIP) budget is 720 Million.***
12. QUESTION: Has SAWS viewed budget solutions before the release of the RFP document? (Within the last 2 years) If so, which solutions?
- ANSWER: ***SAWS has viewed budget solutions such as Infor - dEPM and Hyperion.***
13. QUESTION: What HR system is currently used by SAWS (or is the Lawson GL system also the HR system)?
- ANSWER: ***SAWS’s HR system is Infor-Lawson.***
14. QUESTION: Can the RFP be provided in an editable format, such as MS Word?
- ANSWER: ***The document will only be released in the format provided on the solicitation website.***
15. QUESTION: Can you provide an overview your general organizational structure – as it relates to budgeting? For example, below is a common organization structure:10 Divisions 50 Departments 200 Cost Centers (budgeting done at this level, then rolled up)
- ANSWER: ***Please reference the SAWS Budget Book on the SAWS’ website: www.saws.org***

16. QUESTION: Please provide an example of the GL account hierarchies/Chart of accounts. Are Departmental Allocations needed? For example, some Departments (Cost Centers) allocate all of their expenses to other Departments or Cost Centers in the budgeting process. These are sometimes referred to as Internal Service Providers or ISPs. A common example of an ISP can be the Information Technology (IT), or Legal department. ISP budgets are developed in detail just like any other department, and then their expenses are allocated out to other budget elements – other departments. Is this type of departmental allocations needed?
- ANSWER: *SAWS currently does not do this; however this functionality may be needed in the future.*
17. QUESTION: Do you wish to share budget/financial and other information with the public via an easy to use web portal which is fully integrated with the budgeting tool?
- ANSWER: *SAWS currently does not do this; however this functionality may be needed in the future.*
18. QUESTION: Our budgeting application consists of 4 primary modules, and the number of users for each module is configurable (purchase only what modules you need, and purchase only the number of user licenses needed per module). The 4 modules are Capital, Operating, Salary/Position Planning and Performance/KPI. Can you describe how many licenses (users) are required for each module, as below? How many Capital budgeting user licenses are required? How many Operating budgeting user licenses are required? How many Salary/Position budgeting user licenses are required? How many Performance (KPI's) Measures user licenses are required? If you'd like, any of these modules can be quoted separately, as an 'optional' item if so requested.
- ANSWER: *Assume 250 users for each and for all modules.*
19. QUESTION: Do department managers (or the equivalent) manage all budgeting data for each position's costs (salary, wages, benefits, etc.) within their department?. Or alternatively, is the salary & benefit budgeting done by a smaller group (maybe within Finance or HR) on behalf of the departmental users?
- ANSWER: *The salary and benefit budgeting is done by a smaller group on behalf of the departmental users.*
20. QUESTION: What is the total number of positions (staff) at SAWS expressed as FTE's?
- ANSWER: *SAWS employs approximately 1750 total employees.*
21. QUESTION: For the majority of positions, are staffing costs calculated based on Steps and Grades (a matrix or grid)? If not, can you explain how position costs are calculated?
- ANSWER: *SAWS calculates staffing costs based on Grades.*
22. QUESTION: Please specify the number of people to be trained initially for budgeting.
- ANSWER: *SAWS anticipates about 10-15 people to be trained initially for budgeting.*
23. QUESTION: Do you want training to be performed onsite or done remotely? Remote (internet conferencing) is becoming more common and is more economical.
- ANSWER: *Please provide pricing/fee for both onsite and remote training.*

24. QUESTION: For the Professional Services component of the bid, are you requesting a ‘fixed price’ or time & material?
ANSWER: *For the Professional Services component, provide fee as a Fixed Price.*
25. QUESTION: In reviewing the RFP, it states that services are expected to begin in December 2017. It then says that SAWS would like to implement the system no later than December 31, 2017. Should this completion date be December 31, 2018?
ANSWER: *SAWS would like to begin implementation of the system no later than December 31, 2017. The implementation date for the software to be in production is April 2018.*
26. QUESTION: What is the desired budget open date? (Go Live Date)
ANSWER: *SAWS’ desired date for “Go Live” is by April 2018.*
27. QUESTION: Does SAWS use sub-accounts in Lawson? Does SAWS budget by sub-account?
ANSWER: *SAWS does not currently use sub-accounts in Lawson or budget by sub-account.*
28. QUESTION: Described required allocation capabilities
ANSWER: *Budgets are allocated to each of SAWS’ core businesses utilizing various allocations. An example method would be based on the number of customers. As an alternative, the percentages used to allocate the costs could be developed outside of the budget software and inputted into the budget software to perform the allocations.*
29. QUESTION: How frequently does SAWS intend to load actuals into the budget application?
ANSWER: *SAWS intends to load actuals into the budget application at least on a monthly basis.*
30. QUESTION: How frequently does SAWS intend to load budget data back into Lawson?
ANSWER: *SAWS intends to load budget data back into Lawson at least on a monthly basis.*
31. QUESTION: What other data sources and target exist besides Lawson? Is any information prepared in spreadsheets or data marts?
ANSWER: *SAWS currently imports and exports from Excel. SAWS does not currently export to the Data Warehouse but that functionality should exist.*
32. QUESTION: Please share current issues or limitations with the Lawson Budgeting and Planning that SAWS would like to overcome with this new software solution and implementation.
ANSWER: *SAWS is interested in any technology advancements that improves the budget development process and provides improved monitoring of progress against the budget throughout the year.*
33. QUESTION: The RFP mentions that “the Budget Software Solution shall be capable of supporting up to 250 total system users.” Moreover, the Price Proposal form suggests “unlimited” licenses – we assume that this is inaccurate, but please clarify. Assumed a targeted user base, does SAWS want pricing for all 250 users or a lesser initial user count?
ANSWER: *See Answer to Question #9 above.*

34. QUESTION: Does SAWS desire a solution that is mobile- or tablet-friendly?
ANSWER: ***SAWS does not required a solution that is mobile- or tablet-friendly; however, if the functionality exists SAWS would like to see the demo.***
35. QUESTION: In conjunction with the requirement for what-if scenarios, does SAWS desire a ‘sandbox’ capability whereby one can created separate versions, alter/update within the same application forms, and then publish back to the base version, if desired?
ANSWER: ***Yes.***
36. QUESTION: The RFP mentions that “the Software shall provide an operating budget production module that allows users to produce a budget document that combines management data, performance measurements numbers of authorized positions/full-time equivalents, and financial data.” Does SAWS desire the software to help capture narrative content (e.g. Executive Summaries, etc.) and combine with the listed data?
ANSWER: ***If the software offers the functionality, SAWS would like to see the demo.***
37. QUESTION: For the requested help desk service, does SAWS desire services beyond traditional software support where support requests can be created/submitted through various channels (i.e. phone call, web application, etc.)?
ANSWER: ***Yes.***
38. QUESTION: Does SAWS prefer firms with experience implementing proposed solutions for public utilities?
ANSWER: ***The implementing firm should have experience implementing the proposed solution. Experience in public sector implementation is preferred.***
39. QUESTION: Regarding the desired implementation date (12/31/2017) and timeline (where the award is to occur this November), please provide the earliest possible start date for this project. Also, please explain the expectation of rollout by 12/31/2017 – is it intended for the software to be installed/provisioned by this date or completely configured and deployed?
ANSWER: ***See answer to Question #25.***
40. QUESTION: Typically, we provide additional information in our proposals via a data sheet. Would something of this nature count toward the 50 page limit of the response?
ANSWER: ***Yes. Only required forms do not count towards the page limitation.***
41. QUESTION: For Prime contractors without SMWB status, we understand that the 5 point maximum (item “c” on page 11) is possible based on the number of subcontractors involved, while the Exhibit B highlights a 40% goal. Please explain how this goal influences scoring (total of 15 points) versus the number of subcontractors involved.
ANSWER: ***Exhibit B has been modified in this Addendum with an attached document detailing the scoring. Please see attached.***

MODIFICATIONS TO SOLICITATION

Exhibit B – Remove the Good Faith Effort Plan in its entirety and replace with the revised version attached to this Addendum titled SMWVB Community Outreach Plan and Identified SMWVB Subcontractors. This version should be used by Respondents when submitting a response for this project.

Exhibit F – Insert the attached Software as a Service (SaaS) Provider Information Security and Privacy Assessment Questionnaire to this solicitation; complete and submit with the proposal package submission.

END OF ADDENDUM 1

This Addendum, including these six (6) pages, is twenty-four (24) pages with attachments in its entirety.

Attachments: Exhibit B – SMWVB Community Outreach Plan – three (3) pages
Exhibit F - Software as a Service (SaaS) Provider Information Security and Privacy Assessment Questionnaire – fifteen (15) pages



EXHIBIT "B"

SMWVB COMMUNITY OUTREACH PLAN AND IDENTIFIED SMWVB SUBCONTRACTORS

NAME OF PROJECT:

SECTION A - PROPOSER INFORMATION:

Name of Firm:

Address:

City:

State:

Zip:

Contact Person:

Telephone:

Email Address:

Fax:

Is your firm Certified:

Yes

No:

If certified, Certification Number:

Type of Certification:

MBE

WBE

SBE

VBE

Prime's Percent Participation of this Project:

_____ %

SECTION B – COMMUNITY OUTREACH PLAN – Ten (10) Points maximum

All Respondent Firms must submit a Community Outreach Plan. If a SMWVB Community Outreach Plan is not submitted, no points will be awarded **and** the proposal may be considered non responsive.

Respondents are to provide the following information, and other pertinent information associated with their Community Outreach Plan submission. **This section of the Proposal shall be limited to three (3) sheets (8 1/2 x 11).**

1. Respondents must identify potential opportunities for SMWB utilization for non-legal services and/or non-professional services (i.e. courier services, printing, court reporting, etc.). **Two (2) Points**
2. Respondents must provide a plan describing your firm's attempt to maximize participation of SMWBs (i.e. listing of outreach activities, SMWVB listings or directories, advertisement mediums used for soliciting bids, etc.). **Two (2) Points**
3. Respondents must provide a description of prior participation levels on previous projects where SMWVBs participation occurred. SMWVB information should be broken down into the following categories – small, minority and women owned. **Two (2) Points**
4. Respondents must provide a plan to track and report actual utilization of SMWVBs. **Two (2) Points**
5. Respondents must provide the name and contact information of person appointed to coordinate and administer the SMWVB outreach, tracking and reporting efforts. **Two (2) Points**

Small Business Enterprise (SBE) status of the Prime - Five (5) Points maximum:

1. If the Respondent Firm is a certified Small Business Enterprise (SBE), and has an office in the San Antonio Metropolitan Statistical Area, five (5) points will be awarded.

Non-SMWB Status of Prime and SMWB Subcontractor Participation - Five (5) Points maximum:

2. If the Respondent Firm is **not** a certified Small Business Enterprise (SBE), but has proactively identified SMWB subcontractors for non-professional support services (i.e. courier services, printing, reporting, etc.), the Respondent Firm will receive additional points, based on number of SMWB sub-contractor identified:
 - One (1) SMWB Sub-contractor Identified = one (1) points
 - Two (2) SMWB Sub-contractors Identified = three (3) points
 - Three (3) or more SMWB Sub-contractors Identified = five (5) points

SECTION C – IDENTIFIED SUBCONTRACTORS/SUPPLIERS

1. List ALL IDENTIFIED SUBCONTRACTORS/SUPPLIERS that may be utilized on this project/contract. (Including non-SMWVBs)

Name & Address of Company	Scope of Work/Supplies to be Performed/Provided by Firm	If Firm is Certified, <i>Provide Certification Number and attach copy of Certification Affidavit</i>	Type Certification (i.e. SBE, MBE, WBE, VBE)
1.			
2.			
3.			
4.			

AFFIRMATION

I hereby affirm that the above information is true and complete to the best of my knowledge. I further understand and agree that, this document shall be attached thereto and become a binding part of the contract.

Name and Title of Authorized Official:

Name: _____

Title: _____

Signature: _____ Date: _____

NOTE: This SMWB Community Outreach Plan and Identified SMWVB Subcontractor Form is reviewed by SAWS Contracting Department. For questions and/or clarifications, please contact Marisol V. Robles, SMWVB Program Manager at (210) 233-3420.

DEFINITIONS:

Prime Consultant/Contractor: Any person, firm partnership, corporation, association or joint venture which has been awarded a San Antonio Water System contract.

Subconsultants/subcontractor: Any named person, firm partnership, corporation, association or joint venture identified as providing work, labor, services, supplies, equipment, materials or any combination of the foregoing under contract with a prime consultant/contractor on a San Antonio Water System contract.

Small, Minority, Woman, and Veteran-owned Business (SMWVB): All business structures Certified by Texas State Comptroller's Office or the South Central Texas Regional Certification Agency that are 51% owned, operated, and controlled by a Small Business Enterprise, a Minority Business Enterprise, a Woman-owned Business Enterprise, or a Veteran-owned Business Enterprise.

Small Business Enterprise (SBE): A business structure that is Certified by the South Central Texas Regional Certification Agency as being 51% owned, operated and controlled by someone who is legally residing in or a citizen of the United States, and the business structure meets the U.S. Small Business Administration's (SBA) size standard for a small business within the appropriate industry category.

Minority Business Enterprise (MBE): A business structure that is certified by the Texas State Comptroller's Office or the South Central Texas Regional Certification Agency as being 51% owned, operated, and controlled by an ethnic minority group member(s) who is legally residing in or a citizen of the United States. For purposes of the SMWB program, the following are recognized as minority groups:

- a. **African American** – Persons having origins in any of the black racial groups of Africa.
- b. **Hispanic American** – persons of Mexican, Puerto Rican, Cuban, Spanish or Central or South American origin.
- c. **Asian-Pacific American** – persons having origins in any of the original peoples of the Far East, Southeast Asia, the Indian subcontinent or the Pacific Islands.
- d. **Asian-Indian American** – persons whose origins are from India, Pakistan, Bangladesh or Sri Lanka.
- e. **American Indian/Native American** – persons having no less than 1/16 percentage origin in any of the American Indian Tribes, as recognized by the U.S. Department of the Interior's Bureau of Indian Affairs and as demonstrated by possession of personal tribal role documents.

Women Business Enterprise (WBE): A business structure that is Certified by the Texas State Comptroller's Office or the South Central Texas Regional Certification Agency as being 51% owned, operated and controlled by a woman or women who are legally residing in or citizens of the United States.

African American Business Enterprise (AABE): A business structure that is Certified by the Texas State Comptroller's Office or the South Central Texas Regional Certification Agency as being 51% owned, operated and controlled by African American minority group member(s) who are legally residing in or are citizens of the United States.



ATTACHMENT F

Software as a Service (SaaS) Provider Information Security and Privacy Assessment Questionnaire

Purpose: This form is to be used to conduct security assessment on Vendor

Note/Instructions:

- The Software as a Service (SaaS) is a software distribution model in which applications are hosted by a vendor or service provider and made available to customers over a network, typically the Internet.
- This document is for the sole use of the intended recipient(s) and may contain confidential and privileged information belongs to SAWS. Any unauthorized review, use, disclosure or distribution is prohibited. If you are not the intended recipient, please contact the sender by reply email and destroy all copies of the original message.
- The Vendor shall provide answers or information to the questions or statements below.
- In the event that the Vendor cannot meet SAWS security and or privacy requirements, the Vendor may submit an exception with alternative countermeasures to address the risk. SAWS Network Security Services Manager may approve or reject the exception request depending upon the risk associated with the exception request.
- Followed by the Vendor's response SAWS Network Security Services will conduct a security risk assessment with following scoring methodology:
 - A = Meet completely,**
 - B = Partially meets. The Vendor may require to provide additional requested details**
 - C = Doesn't meet. The Vendor may require to provide missing/additional detail.**

The Vendor's Information:

Vendor's Organization Name	
Address	
Information Security Contact Person Name	
Email	
Phone	
Date this Questionnaire Completed	



1.0 BUSINESS PROCESS AND DATA EXCHANGE REQUIREMENTS

#	Question	Response from Vendor	Score	Additional Information/Clarification Required from Vendor
1.1	Please provide a detailed description of the business process that will be supported by the Vendor as it relates to the requirements of the RFP			
1.2	Has Vendor adopted and implemented information security and privacy policies that are documented, are accessible to SAWS and conform to ISO 27001/2 – Information Security Management Systems (ISMS) Standards or other industry standards.			
1.3	<p>What data exchange needs to occur between SAWS and the Vendor? What data will be stored at the Vendor location? (Provide data attributes with examples)</p> <p>Example: (PCI Credit Card Info, SSN, DLN, Patrons Name, Address, telephone, employee performance data, etc.)</p>			



1.4	<p>In the event that Vendor is required to store Private Information (PI) or Personally Identifiable Information (PII) or Sensitive Information (SI) about peoples in the Vendor's business systems -- how will the Vendor maintain the confidentiality of the Information in accordance with applicable federal, state and local data and information privacy laws, rules and regulations.</p>			
1.5	<p>What mechanism and/or what types of tool will be used to exchange data between SAWS and the Vendor? Example: (VPN, Data Link, Frame Relay, HTTP, HTTPS, FTP, FTPS, etc.)? What versions of SSL are used?</p>			
1.6	<p>What types of data Storage (work in progress storage and backup storage) will be required at the Vendor site Example: (PCI Credit Card Info, SSN, DLN, Patrons Name, Address, telephone, employee ID number, HR evaluation data, etc.)</p>			
1.7	<p>Is there any e-mail integration required between SAWS and the Vendor?</p> <p>Example: The vendor may require an e-mail account on SAWS e-mail Server.</p>			



1.8	Will any integration with ERP systems be required and how will the data be exchanged, e.g. HR, Finance, etc.?			
1.9	Has the Vendor ever been subjected to either an electronic or physical security breach? Please describe the event(s) and the steps taken to mitigate the root causes. What damages or exposure resulted? Are records of breaches and issues maintained and will these records be available for inspection by SAWS?			
1.10	Does the Vendor maintain formal security policies and procedures to comply with applicable statutory or industry practice requirements/standards? Are records maintained to demonstrate compliance or certification? Does the Vendor allow client audit of these records? NOTE: PLEASE PROVIDE SUPPORTING DOCUMENTATION.			
1.11	What are the internet and the browser security configuration of the vendor application? What security standards and requirements are maintained to ensure application security at the user interface? (A set of detailed documentation should be			



	provided to support the compliance.			
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2.0 APPLICATION/SOLUTION CONFIGURATION

#	Question	Response from Vendor	Score	Additional Information/Clarification Required from Vendor
2.1	What is the name of the application the Vendor will host to provide services to SAWS? (List all) Is the application on-premise or hosted?			
2.2	What functionality will be provided to SAWS employees or SAWS customers / citizens through the application?			
2.3	Is the Vendor using a subcontractor or 3rd party service provider? (List all). If yes, then what data privacy and information security agreements are in place between the Vendor and any subcontractor to ensure appropriate and accountable treatment of information. Also SAWS requires that this questionnaire shall be completed by each subcontractor as well.			



2.4	<p>What is the Vendor's Application hosting hardware and software platform? Also please provide detailed description including SP and a patch or security applications in use</p> <p>Example: Windows or Unix Operating System (OS) and other detail</p>			
2.5	<p>How do the Vendor's application and database architecture; manage segregation of SAWS data, from other customers' data?</p>			
2.6	<p>Describe the Vendor's server and network infrastructure. Please provide server and network infrastructure deployment topology, including data flow architecture including but not limited to security management applications, firewalls, etc.</p>			
2.7	<p>Please provide detail proposed solution which will be developed as a part of the implementation to support this project. (For example detailed solution architecture, secured data flow to support business processes, etc.).</p>			



3.0 DATA PROTECTION

#	Question	Response from Vendor	Score	Additional Information/Clarification Required from Vendor
3.1	How is SAWS data kept physically and logically secure at the Vendor location? Example: Locked storage, Digitally, Encrypted etc. If encrypted please provide the encryption standard used. How are keys kept separated from the data?			
3.2	What application level protections are in place to prevent vendor/Vendor or subcontractor staff from being able to view protected information i.e.: encryption, masking, etc.?			
3.3	What controls does the Vendor exercise over the qualification and performance of their team? Of their subcontractor's teams? (For example criminal background verification prior to employment, providing security training after employment and managing Role Based Access Control (RBAC) during employment and network and application access termination upon employment termination.			

4.0 DATA BACK-UP



#	Question	Response	Score	SAWS's Security Assessment
4.1	What method is used to keep data secure during backup process?			
4.2	Is encryption technology used to encrypt; whole, or selective data? If so, how is the data encrypted?			
4.3	What types the "media" used for data backup (Tape, Hard Disk Drive or any other devices)?			
4.4	Are the backups encrypted? If yes, please provide encryption specification, with type of encryption algorithm and detail process of encryption handling. If No, please provide detail description (with process, tools and technology) to keep data secured during the back-up process.			

5.0 DATA RETENTION

#	Question	Response from Vendor	Score	Additional
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				Information/Clarification Required from Vendor
5.1	What is the retention period for the data being backed up? The data retention process shall comply with SAWS data retention policy.			
5.2	Are the data back-up tapes/media stored at the Vendor location or off-site?			
5.3	If the Vendor's backups are stored with another company, please provide: <ul style="list-style-type: none"> a. Company Name: b. Address: c. Contact person detail (Phone and Email): d. What contractual commitments are in place to guarantee security performance from these vendors 			
5.5	What is the media transfer process (i.e. The lock box process used to send tapes off-site)?			



5.6	Who has access to the media lockbox? (Provide Name and Role)			
5.7	Who is authorized to access back-up media? (Provide Name and Role)			
5.8	What is the backup media receiving and release authorization process? (Please submit a soft copy of the process)			

6.0 ACCOUNT PROVISIONING AND DE-PROVISIONING (The Vendor must receive formal pre-authorization from the City’s Information Security Manager prior to provisioning and de-provisioning of application access account).

#	Question	Response from Vendor	Score	Additional Information/Clarification Required from Vendor
6.1	What is the account provisioning/removal process? Example: how are users accounts created and managed?)			
6.2	What is the account deprovisioning/removal process? Example: how are users accounts created and managed?)			



6.3	How will SAWS employees gain access to required application(s)?			
6.4	Does the application(s) have the capability to restrict access only from SAWS network?			

7.0 PASSWORD MANAGEMENT

#	Question	Response from Vendor	Score	Additional Information/Clarification Required from Vendor
7.1	What will be the Policy and Procedures for the logging, authentication, authorization and password management scheme? (Please provide a soft copy of the process)			
7.2	Where are the login and password credentials stored?			
7.3	Are the password credentials stored with encryption? If yes please provide encryption scheme detail.			



7.4	<p>The vendor application must comply with following password requirements. Does the vendor application meet these requirements:</p> <ol style="list-style-type: none"> 1. First time password must be unique to an individual and force the user to change it upon initial login. 2. How is a forgotten or expired password changed by the customer? 3. SAWS requires first time password to have a time-out capability of no more than 7 days. 4. The email notification must not be CC'd to anyone else except the user. 5. The permanent / long term password must be changed frequently, at least TWICE a year 6. E-mail notification must be sent to the user whenever the 			

	<p>password has been updated.</p> <p>7. User should not be able to view data or conduct business unless an initial password has been updated with a different password.</p> <p>8. The Vendor shall notify SAWS users; that when creating a new password, the user shall not use their SAWS LDAP password.</p> <p>9. The password must have 8 characters or more and they must contain at least one character from each line below i.e. each line shall contribute at least one character:</p> <ul style="list-style-type: none"> • abcdefghijklmnopqrstu vwxyz • ABCDEFGHIJKLMNOP QRSTUVWXYZ • 0123456789 • !@#\$%^&*()- +=`~,><^"?:;{[]} 			
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7.5	Does the Vendor support or provide Single Sign On capabilities? If so please explain how. Does the vendor support SAML 2.0?			
7.6	Does the Saas vendor support two factor authentication and if so how?			

8.0 AUDIT MANAGEMENT

#	Question	Response from Vendor	Score	Additional Information/Clarification Required from Vendor
8.1	Is access to SAWS data audited?			
8.2	What events are audited, access, modification, etc., and to what level?			
8.3	What is the retention policy for audit logs?			
8.4	Will SAWS be able to get access to audit logs and what is the procedure and timeline?			

9.0 CONFIGURATION MANAGEMENT

#	Question	Response from Vendor	Score	Additional Information/Clarification



				Required from Vendor
9.1	What is the vendors configuration/change control policy?			
9.2	How are customers notified of system updates?			
9.3	What is the process for applying critical updates, e.g. Heartbleed?			
9.4	Is the vendor application vulnerability tested by a third party?			

10.0 INCIDENT MANAGEMENT

#	Question	Response from Vendor	Score	Additional Information/Clarification Required from Vendor
10.1	Does the vendor have an incident response policy and can SAWS get a copy?			
10.2	What is the vendor's timeline to notify customer of a potential breach?			

----- End Of Document -----