



**State of Oklahoma
Office of Management and Enterprise
Services/ ISD Procurement**

Amendment of Solicitation

Date of Issuance: 05/21/2014 Solicitation No. 6950000523
 Requisition No. 6950002364 Amendment No. 001

Hours and date specified for receipt of offers is changed: No Yes, to: _____ CST/CDT

Pursuant to OAC 580:15-4-5©, this document shall serve as official notice of amendment to the Solicitation identified above. Such notice is being provided to all suppliers to which the original solicitation was sent. Suppliers submitting bids or quotations shall acknowledge receipt of this solicitation amendment prior to the hour and date specified in the solicitation as follows:

- (1) Sign and return a copy of this amendment with the solicitation response being submitted; or,
- (2) If the supplier has already submitted a response, this acknowledgement must be signed and returned prior to the solicitation deadline. All amendment acknowledgements submitted separately shall have the solicitation number and bid opening date printed clearly on the front of the envelope.

ISSUED BY AND RETURN TO:

Office of Management and Enterprise Services
 ISD Procurement Attn: Hurtisine Franklin
 3115 N. Lincoln Blvd.
 Oklahoma City, OK 73105

Hurtisine Franklin
 Contracting Officer
(405) 521-6419
 Phone Number
Hurtisine.Frankln@omes.ok.gov
 E-Mail Address

Description of Amendment:

a. This is to incorporate the following:

Submitted by Sharon Short:

Question 1

a) The Solicitation (Section A.10) states that submitted offers constitute a contract when accepted by the State. Will the State accept incorporation of a vendor's standard commercial terms and conditions as part of its response?

Response 1

a) The Bidder shall not incorporate as part of their bid response unless stated as a mandatory requirement within the solicitation. Bidder's terms and conditions must be submitted with the bid response.

Please refer to the following section of the RFP

E.9.6. Section Six – Offeror Agreements

Offeror shall provide any required software licenses, maintenance, or service agreements.

Note: Any software licensing, maintenance, or service agreements the offeror requires, should they be the successful contractor, not submitted with contractor's original offer shall not be considered

b. All other terms and conditions remain unchanged.

Supplier Company Name (**PRINT**) _____ Date _____

Authorized Representative Name (**PRINT**) _____ Title _____ Authorized Representative Signature _____



Question 2

Will the State agree to pay a termination fee in the event of a termination for convenience prior to the end of the initial term of the contract awarded?

Response 2

Please refer to the following sections of the RFP:

A.24. Termination for Convenience

A.24.1. The State may terminate this Contract, in whole or in part, for convenience if the State Chief Information Officer determines that termination is in the State's best interest. The State shall terminate this Contract by delivering to the Vendor a notice of termination for convenience specifying the terms and effective date of termination. The Contract termination date shall be a minimum of sixty (60) days from the date the notice of termination is issued by the State. Similarly, an Interlocal Entity may terminate its obligations to Vendor upon a determination by the proper authority for such Interlocal Entity that termination is in the Interlocal Entity's best interest and notice of termination by such Interlocal Entity shall be provided in accordance with the foregoing requirements set forth in this subsection.

A.24.2. If this Contract or certain obligations hereunder are terminated pursuant to this section, the State, State Entity, or Interlocal Entity, as applicable, shall be liable only for Products delivered and accepted and such termination shall not be an exclusive remedy but shall be in addition to any other rights and remedies provided for by law.

A.15. Rejection of Offer

The State reserves the right to reject any offers that do not comply with the requirements and specifications of the solicitation. An offer may be rejected when the offeror imposes terms or conditions that would modify requirements of the solicitation or limit the offeror's liability to the State. Other possible reasons for rejection of offers are listed in OAC 580:15-4-11

Attempts to impose unacceptable conditions on the State, or impose alternative terms not in the best interest of the State shall not be tolerated. Continued attempts to impose unacceptable conditions or terms on the State shall result in a determination of your non-responsiveness of your offer due to the lack of compliance with the terms and conditions of negotiation or the solicitation

Question 3

Will the State agree to a standard commercial provision limiting the liability of the vendor for direct damages and excluding the liability of the vendor for consequential damages in connection with the performance of the contract?

Response 3

Please refer to the following section of the RFP

A.15. Rejection of Offer

The State reserves the right to reject any offers that do not comply with the requirements and specifications of the solicitation. An offer may be rejected when the offeror imposes terms or conditions that would modify requirements of the solicitation or limit the offeror's liability to the State. Other possible reasons for rejection of offers are listed in OAC 580:15-4-11.

Attempts to impose unacceptable conditions on the State, or impose alternative terms not in the best interest of the State shall not be tolerated. Continued attempts to impose unacceptable conditions or terms on the State shall result in a determination of your non-responsiveness of your offer due to the lack of compliance with the terms and conditions of negotiation or the solicitation

Question 4

Will the State accept any qualifications to the State's Information Security Policies (Section A.47)?



Response 4

As part of our continuing due diligence on behalf of the state of Oklahoma to increase and maintain the state's security posture; the State will not accept any qualifications to the State's information Security Policies

Question 5

Please provide the number of internal vs. external users.

Response 5

Approximately 508+ internal and external users

Approximately 600 SFT processes on Windows, Linux, and internal FTP applications

Question 6

Please provide use cases that involve internal, external, or mixed usage.

Response 6

a) OTC performs Windows-based SFT processes to and from a number of remote users.

b) OTC performs Linux-based SFT processes to and from a number of remote users.

c) OTC performs internal SFT processes to and from number file servers to our IBM mainframe.

d) OTC uses an internal application (Tax Information Bus, or "TIB") that utilizes secure folders on a FTP server for remote users to upload/download files, and uses FTP processes to transfer files from the FTP server to various internal locations for processing

Question 7

Please explain existing system in place to satisfy above use cases.

Response 7

a) OTC performs Windows-based SFT processes to and from a number of remote users

b) OTC performs Linux-based SFT processes to and from a number of remote users.

c) OTC performs internal SFT processes to and from number file servers to our IBM mainframe.

d) OTC uses an internal application (Tax Information Bus, or "TIB") that utilizes secure folders on a FTP server for remote users to upload/download files, and uses FTP processes to transfer files from the FTP server to various internal locations for processing.

Question 8

Are you looking for a cloud or premise based solution?

Response 8

OTC is seeking a premise-based solution

Question: 9 (****Duplicate) Submitted by Sharon Short

Are you looking for a cloud or premise based solution?

Response 9

OTC is seeking a premise-based solution

Submitted by Christine Rafati:

Question 1

What is the user count that we should be pricing out?



Response 1

Please refer to RFP Section F- Pricing is not requested based upon user count-

Question 2

If enterprise-wide pricing, how many employees should we base this on?

Response 2

Please refer to RFP Section F- Pricing is not requested based upon user count.

Submitted by Patrick O'Brien:

Question 1

How many agency employees would require access to the secure email system?

Response 1

Approximately 900 employees

Question 2

a) How many partners (unique sets of credentials) would be required for the automated file transfers?

b) How many outbound connections to partners and utilizing which protocols?

c) How many inbound connections from partners and utilizing which protocols?

Response 2

a) partners: approximately 550 partners total (500 incoming and 50 outgoing)

b) outbound connections to partners: 50-100 connections per day (all SFTP)

c) inbound connections and protocols: 250/day (99% SFTP; 1% SSL Web)

Question 3

A "Disaster Recovery Plan" is requested but no requirements are given. Does the OTC require Active: Passive, Active: Active? Do you have Primary and DR site? Multiple sites? Fail over to a vendor supplied Cloud solution? Any other DR information you could offer would be appreciated.

Response 3

All bidders should disregard RFP Section D4.4. Disaster Recovery Plan This requirement is not relevant to this specific Solicitation.

Submitted by Jerry Mueggenborg:

Question 1

Where is the data going to be stored: on-prem, in cloud, or hybrid

Response 1

On-premise

Question 2

There exists no such accreditation as NIST promulgates 18 different federal information processing standards.

If a prospective client asks if ShareFile is FIPS compliant, then we should request that the prospective client reference the standard by publication number, title, and date so that we may self-assess



Response 2

The software must utilize only FIPS 140-2 validated encryption algorithms

Question 3

Is FIPS level 2 compliance a mandatory feature of the solution and if we do not offer this feature will our proposal not be considered?"

Response 3

Please refer to the following RFP Section C.3 Subsection C.3.3 & Section A General Terms and Conditions Section A.55 Subsection A.55.1

C.3.3. Security Requirements

The proposed solution must be fully capable of but not limited to the following:

C.3.3.1. The systems hardware/software must be FIPS 140-2 level 2 compliant

C.3.3.2. Each user must have unique login IDs

C.3.3.3. All authentications must be encrypted using a FIPS 140-2 level 2 compliant algorithm

A.55. Mandatory and Non-Mandatory Terms

A.55.1. Whenever the terms "shall", "must", "will", or "is required" are used in this RFP, the specification being referred to is a mandatory specification of this RFP. Failure to meet any mandatory specification may cause rejection of the Offeror's Proposal.

A.55.2. Whenever the terms "can", "may", or "should" are used in this RFP, the specification being referred to is a desirable item and failure to provide any item so termed shall not be cause for rejection.

Submitted by Patrick O'Brien:

Question 1

C.3.1.14. Ability to send encrypted emails to both internal and external recipients

1. How many internal recipients are there?
2. What are the average numbers of files transferred to an internal recipient?
3. What is the average file size of files transferred to an internal recipient?
4. How many external recipients are there?
5. What are the average numbers of files transferred to an external recipient?
6. What is the average file size of files transferred to an external recipient?

Response 1

1. **There are approximately 900 employees, all with the potential to send encrypted emails at any time.**
2. **OTC currently does not transfer files via email, currently OTC does not have an encrypted email solution**
3. **Unquantifiable**
4. **Unquantifiable**
5. **Unquantifiable**
6. **Unquantifiable**

Question 2

B.8. Information Security: "The successful Contractor will be required to submit a signed, notarized affidavit attesting that a Secure Systems Development Lifecycle was used in the development of the proposed solution."

Is this for COTS software or for customer software?



Response 2

Please refer to RFP Section C.1. Overview- Second Paragraph

OTC is seeking proposals from qualified suppliers for implementation, testing and on-going maintenance, and support of a secure Managed File Transfer (sMFT) system. This COTS-sMFT system will fully meet the minimum requirements of the agency. It will provide interface capabilities with internal and external input and output sources. It will utilize, if possible, existing OTC computer hardware, software, and operating systems, providing all are current, applicable, and not end-of-life. Operate in a completely integrated environment based on shared functions and data. Provide user-friendly interfaces and tools that give administrators and users access to the system's functions and data as required. It is the intent of the OTC to implement the latest commercially available version of the COTS-sMFT, free of any customization, however, if customization must occur, the OTC and the successful contractor will discuss in detail the required customization and will be approved by OTC on a case-by-case basis only

Question 3

Offsite and Offshore Services: "In accordance to State and Federal Confidentiality requirements there shall be no services performed offsite during implementation and during the performance of the resulting contract. All services shall be performed onsite with prior approval by OTC. o work with the Agency in the design and implementation"

Does this hold true for ongoing support as well?

Response 3

Please refer to RFP Section B.9.Offsite and Offshore Services

"In accordance to State and Federal Confidentiality requirements there shall be no services performed offsite during implementation and during the performance of the resulting contract.

Question 4

C.3.1.7. Ability to send and receive large files (minimum of 2 gigabytes)

Is this for automated file transfers or for manual (P2P) transfers?

C.3.1.8. Ability to auto rename source or destination files to add date & time stamp or other data into the file name

Please provide some examples of "other data"

C.3.1.10. Automated scheduled jobs that route the data (either incoming or outgoing) to the appropriate folder based on a configurable filename filter

Please provide examples of file names and associated filter criteria

C.3.1.14. Ability to send encrypted emails to both internal and external recipients

How many internal recipients are there?

What are the average number of files transferred to an internal recipient?

What is the average file size of files transferred to an internal recipient?

How many external recipients are there?

What are the average number of files transferred to an external recipient?

What is the average file size of files transferred to an external recipient?

C.3.2.1. Ability to transfer files between internal processes and users or between internal and external users and processes



**State of Oklahoma
Office of State Finance
Information Services Division**

Solicitation

Please provide a few example use cases for files “between internal processes and users”

Please provide a few example use cases for files “between internal and external users and processes”

C.3.2.2. Ability to securely transfer files between Windows, Linux, Solaris, Apple, and IBM mainframe systems

Is software from us required to be installed on each and every one of these platforms or can existing file transfer software on some of these platforms be used and connected to from us for transfers?

C.3.2.3. Support the following file transfer protocols: FTPs, SFTP, SSL/TLS, SSH/SCP, FTP

Please provide a few example use cases for each protocol.

For SSL/TLS is this in conjunction with FTP, HTTP and/or what protocols?

Please specify when you use SSH FTP (SFTP) versus SSH/SCP

C.3.2.8. Ability to execute custom external programs before or after transfer as part of the automation process

a) This includes but is not limited to, python scripts, VB6 programs, and IBM mainframe job

Is this regarding internal communications automated on both ends?

Is this regarding internal communications manual on both ends?

Is this regarding internal communications manual to/from automated?

Is this regarding external communications automated on both ends?

Is this regarding external communications manual on both ends?

Is this regarding external communications manual to/from automated?

For the mainframe, can jobs be executed remotely via a standards-based protocol?

C.3.2.10. Auto convert between EBCDIC and ASCII

Is this required only for file transfers to/from the mainframe?

C.3.2.11. Ability to handle multiple file transfers in the same manual request (Ex. highlight multiple files, then send/receive in a batch)

Is this for manual to manual or automated to manual or manual to automated?

Is this for a protocol transfer or for secure email?

C.3.2.13. The server software must be able to be installed and run on Intel-based hardware.

Intel hardware with which operating systems (Windows [which versions], Linux [which flavors/versions], Sun [which flavors/versions], etc.)?

What other hardware platforms are required to be supported (and their associated operating systems)?

Response 4

C.3.17

Both

C.3.18

Append ‘user id’ and ‘tax type’ in front of the file names and replaces ‘space’ with ‘underscore’ in file names to files sent to the TIB server.

filename becomes userid. tax type. filename

example: 4-30-14 Onelink list of Audit Leads OKC.xlsx renamed to



indaudokc.indaudit.4-30-14_Onelink_list_of_Audit_Leads_OKC.xlsx

Based on this info the file is placed into the specified folder for that user to pick up.

C.3.1.10

Watch an incoming folder for files that match a job-specific naming convention (ex: partner1*.in, *.exe,) and move them to another folder for processing. The target folder will vary based on the filename.

The following is a portion of a configuration file (“*” or “star” matches zero or more characters):

[1099 Misc]

Filter=*22303*.*

Destination File=\\gtxpfsr01\ftiprod\$\HOLD\IRS 1099 Misc\

[Appeals]

Filter=*ED047.APP*.*

Destination File=\\gtxpfsr01\ftiprod\$\HOLD\IRS Appeals\

[BMF]

Filter=*80725*.*

Destination File=\\gtxpfsr01\ftiprod\$\IRS_BMF\

C.3.1.14

There are approximately 900 employees, all with the potential to send encrypted emails at any time.

OTC currently does not transfer files via email, currently OTC does not have an encrypted email solution

Unquantifiable

Unquantifiable

Unquantifiable

Unquantifiable

C.3.2.1

Internal user #1 ? Internal user #2 (via encrypted email)

Internal Process #1 ? Internal location on another system

Internal user #1 ? External user #1 (via encrypted email)

Internal Process #2 ? Transfer to external partner’s system.

External Partner System ? Our DMZ system for receiving files

C.3.2.2

Existing file transfer software can be utilized such as SSH or SSL. Local software can be used for internal servers if needed, but we don’t want to require all users (internal or external) to install client software if we can avoid it.

C.3.2.3

The internal server supports FTPs and SFTP for transfer of files to and from remote servers.

OTC works with multiple types of systems and external users that may require different protocols.

The proposed solution must support any of them as needed

If a protocol is not encrypted, it will require sending it though an encrypted tunnel such as SSL/TLS.



C.3.2.8

The proposed must include all the above cases

Jobs can be executed remotely using JES

C3.2.10

Yes

C.3.2.11

For all cases

Both

C.3.2.13

VMware

Windows 7, Windows server 2008r2, Windows server 2012, Red Hat Linux 5/6, Solaris 10/11, Z/OS 1.13

Question 5

General:

What are your governance/compliance requirements specifically for file transfers?

What are your SLA requirements for file transfers?

Response 5

Reference RFP Section B.7.Agency Policies IRS PUBLICATION 1075 COMPLIANCE

IRS Pub 1075 mandates FIPS 140-2 compliant encryption algorithms.

SLA requirements for file transfer – To Be Determined

Question 5a

What are your disaster recovery/business continuity requirements?

Response 5a

All bidders should disregard RFP Section D4.4. Disaster Recovery Plan This requirement is not relevant to this specific Solicitation.

Question 5b

What is your current traffic, then anticipated traffic within one year, then within 3 years

- Number of automated-to-automated file transfers by protocol during the peak hour?
- Number of manual-to/from-automated file transfers by protocol during the peak hour?
- Number of manual-to-manual file transfers by protocol during the peak hour?

Response 5b

Current traffic volumes are about 2,500 internal and external ftp/month, at a steady pace, with no significant growth forecast in one year or three years

a thru c - Unquantifiable

For the three cases above combined: estimated @ 30/hr.

For the three cases above (1a, 1b, 1c) approx. 1mb estimate



Question 6

What is your current traffic, then anticipated traffic within one year, then within 3 years...

Number of automated-to-automated file transfers by protocol during the peak hour?

Number of manual-to/from-automated file transfers by protocol during the peak hour?

Number of manual-to-manual file transfers by protocol during the peak hour?

What is the average file size for each of the above?

Response 6

**Currently estimated @ 30/hr.- for the three cases above
Approx.1 MB is the best estimate - for the three cases above.**

Question 7

Scope: How much of the implementation would you like us to take on (developing the project plan, managing the project plan, architecture design, installation, general configuration, backend integration, notification setup, SLA setup, security setup, internal user/computer setup, external user/computer setup, contacting and coordinating with internal parties, contacting and coordinating with external parties, testing, go-live, etc.) – we could do all or a subset of each of these.

Response 7

Please refer to the following RFP Sections Specific to this solicitation - C.3. Mandatory Specifications/Requirements, C.5. Implementation/Workplan and C.8. Project Management. Section A General Terms and Conditions A.16. subsection section A.16.1

A.16. Award of Contract

A.16.1. The State may award the contract to more than one offeror by awarding the contract(s) by item or groups of items, or may award the contract on an ALL OR NONE basis, whichever is deemed by the State to be in the best interest of the State of Oklahoma.

C.3. Mandatory Specifications/Requirements

Mandatory requirements are the minimum capabilities, features, and/or technical standards that must be met by the proposed solution to be determined responsive.

The Offeror shall clearly state their ability to meet the Minimum System requirements and will state how the requirements will be met, what assurances of success the proposed approach will provide. Offeror shall provide a detailed narrative, describing installation and configuration requirements and the proposed method to meet the requirements of this RFP. Offeror should provide examples, samples, and or screenshots as applicable to the proposed solution.

C.5. Implementation/Workplan

Offeror shall submit a proposed implementation and support plan.

Offeror must submit a proposed work plan to include an approach for the implementation of the product that will meet the requirements as specified and estimated timelines for each phase of the work plan

C.8. Project Management

The successful Contractor's Project Manager/Account Executive providing corporate oversight of the project will work directly with in the OTC Project Manager and the event that a component of the is provided through a subcontractor, the subcontractor's Project Manager and technical and technical representative will be required to work with the OTC Project Manager



Project Schedule– Within 15 days following award the final Project Schedule, Implementation/Work Plan, will be developed by the contractor with input from the OTC Project Manager. The agreed-upon project schedule may not be modified without the mutual written consent of the OTC Contract Monitor and the Contractor's Project Manager/Account Executive.

Additional Project Management Support–If the project encounters difficulty, OTC may require meetings or progress/status reports. The Contractor shall maintain and support such additional project management support in the format and at the frequency deemed necessary by OTC, at no additional cost. At the discretion OTC, such support may take the form of written reports, conference calls, and/or face-to-face meetings, as required.

Requirements/Change Management- The successful contractor shall establish and enforce a system of requirements management/change management based upon the requirements of this RFP, the commitments made in the proposal response and the final approved requirements document. Changes to the final approved requirements must be approved in writing by the OTC Project Manager and Contractor and any additional cost associated with the change must be identified at the point of approval. Any changes that involve additional cost or changes to the scope of the contract must be approved by OTC and OMES/ISD Procurement.

Submitted by Sharon Short:

Question 1

What is State of Oklahoma's vision in regards to how the file transfer will be initiated by users?

Will they be using an email client, such as Outlook to send files to the MFT server?

Or will they be logging on to some form of web portal and submit files through that?

Or will users be initiating file transfers through a separate workflow, such as a 3rd party application, and it is that application that will collect files that need to be sent and a list of recipients via user input or some form of business workflow automation?

Response 1

Manual incoming/outgoing transfers via encrypted Outlook,

Manual incoming/outgoing via transfer client such as Filezilla to DMZ server,

Manual incoming via web portal to DMZ server,

Automated incoming and outgoing by any secure protocol to/from DMZ server.

Automated transfers between internal systems.

OTC currently does not have a workflow application that can automatically transfer to multiple outgoing systems based on a distribution list.