RFI Announcement

National Association of State Workforce Agencies (NASWA)
Center for Employment Security Education and Research (CESER)
Information Technology Support Center (ITSC)

Request for Information:

Cloud Use in Unemployment Insurance (UI) System Solutions
For NASWA/ITSC and UI State Workforce Agencies

This Request for Information (RFI) is in support of the Unemployment Insurance (UI) Information Technology (IT) systems owned, managed and operated by state agencies across the country. Generally, state UI agencies or centralized state IT offices support and host these state based UI IT systems.

As part of the overall nationwide UI IT Modernization planning, the U.S. Department of Labor (USDOL) and the Information Technology Support Center (ITSC) are conducting market research on how to leverage cloud technology solutions to compliment multi-state consortia and single state modernization projects, and to achieve cost-effective sustainability of these systems.

The RFI in PDF format, registration information for the webinar and Industry Day supporting this RFI, and updates are posted on:

http://www.itsc.org/Pages/cloudRFI.aspx

Important Dates:

RFI Publication Date: June 16, 2014
RFI Webinar: June 24, 2014
Industry Day for Cloud Providers: July 18, 2014
Final Clarification Questions: July 18, 2014
Questions and Responses Posted: July 25, 2014
RFI Responses Due: August 22, 2014 by 5:00 p.m. EDT to UICloudRFI@itsc.org
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Cloud Use in Unemployment Insurance (UI) System Solutions  
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Introduction

This Request for Information (RFI) is in support of the Unemployment Insurance (UI) Information Technology (IT) systems owned, managed and operated by state agencies across the country. Generally, state UI agencies or centralized state IT offices support and host these state based UI IT systems.

As part of the overall nationwide UI IT Modernization planning, the U.S. Department of Labor (USDOL) and the Information Technology Support Center (ITSC) are conducting market research on how to leverage cloud technology solutions to compliment multi-state consortia and single state modernization projects, and to achieve cost-effective sustainability of these systems.

Over the past decade, a number of state UI Agencies have initiated UI IT modernization projects to streamline their business processes and to update the technology basis of their systems. The majority of legacy state UI systems are rooted in COBOL, CICS, and flat file database technologies. The results of these modernization projects have been mixed. Further, some State UI agencies that have succeeded in implementing new modern systems have difficulty in supporting, operating, maintaining and cost-effectively evolving these new UI IT systems. In addition, many states that still depend on legacy-based technologies find it very expensive to continue to support these inflexible, difficult-to-change systems.

To promote more efficient and cost effective state UI IT modernization efforts, USDOL has invested a substantial amount of funding in multi-state consortia development projects. These consortia are building systems that support common core functionality across all consortium member states, along with state specific business processing components. These consortia are also pursuing shared, outsourced application maintenance and support, and infrastructure hosting of the new systems.

Purpose

The goal of this RFI is to engage the vendor community and obtain information that will support innovative approaches to implementing and managing UI IT infrastructure among the 53 states and jurisdictions that operate UI programs. We also want to obtain information regarding the interests and capability of all qualified industry sources to participate in a managed pool of cloud community resources that can provide one or more cloud solutions to the UI system that are cost effective, innovative, and sustainable. The approaches should promote multi-tenancy or shared computing and software resources, and cross domain security by leveraging industry offerings such as Infrastructure as a Service (IaaS), Software as a Service (SaaS), Platform as a Service (PaaS) and other options/models that can be offered to meet the specific business requirements.
within a UI Cloud Community. Depending on information gathered in responses to this RFI, this RFI process may lead to one or more competitively awarded Proof of Concepts (PoCs).

**Timeline of Events**

In order to better inform participating vendors regarding the structure of the UI program, the state of play of state UI systems, and what we hope to accomplish from this RFI, we are planning two events to amplify the RFI and better enable vendors to assess whether they are likely respondents. We are planning an initial Webinar as well as an Industry Day.

The RFI timeline of events is shown below:

<table>
<thead>
<tr>
<th>Project Activity</th>
<th>Timeline</th>
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<tbody>
<tr>
<td>RFI Published</td>
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<td>RFI Responses Due</td>
<td>August 22, 2014</td>
</tr>
</tbody>
</table>

The “Understanding the Federal-State Unemployment Insurance System and IT Infrastructure” Webinar will be hosted by USDOL and ITSC on June 24, 2014, from 11:00 a.m. to 12:30 p.m. Eastern Time. The purpose of this webinar is to walkthrough the RFI, provide additional information about the federal-state UI system, the status of UI IT Modernization, respond to clarifying questions, and explain the role of ITSC with the states and its relationship with USDOL. To register for this webinar, please visit [http://www.itsc.org/Pages/cloudRFI.aspx](http://www.itsc.org/Pages/cloudRFI.aspx).

As part of this RFI information gathering and exploration process, the USDOL, in collaboration with ITSC, will also host an Industry Day for Cloud Providers on Friday, July 18, 2014, from 10:00 a.m. to 1:00 p.m. Eastern Time. All interested cloud providers are invited to participate in this hosted event to ask any additional clarifying questions regarding the RFI (see RFI Details section below). The Industry Day for Cloud Providers will be held at the following location:

**U.S. General Services Administration**
**18th and F Streets NW**
**Washington D.C. 20001**
**First Floor Conference Center (Rooms: 1459, 1460, and 1461).**
Due to space limitations, cloud providers will be limited to two participants at the in person event. However, the event will also be live streamed with an opportunity for those participating by live stream to pose questions through a chat feature. To register for the in-person or virtual Industry Day please visit, http://www.itsc.org/Pages/cloudRFI.aspx.

Note: Both the Webinar and Industry Day are designed to afford the opportunity for vendors to ask additional questions or comments. All questions and answers from the Webinar and Industry day will be posted on the ITSC RFI website at: http://www.itsc.org/Pages/cloudRFI.aspx. All interested vendors should note that Industry Day (July 18, 2014) will be the final opportunity to pose any questions regarding this RFI.

NASWA/ITSC reserves the right to invite vendors in for detailed discussions, clarifications to responses and presentations subsequent to the RFI response due date.

Finally, this RFI process may provide information that leads to potential Proof of Concept projects implemented through one or more separate competitive processes in the fall of 2014, and likely to include State or Consortium partners. Some possible proof of concept examples include: joint development of an UI component (for example, a specific UI function such as claims intake, monetary determination, benefits charging) using PaaS in collaboration with multiple states; migrating an existing state or ITSC UI component from one IaaS service provider to another; enhancing an existing SaaS tool/product that can be configured to implement a UI component; or demonstrating the use of other “hybrid” approaches/solutions that meet specific UI business requirements.

Organization Background

**USDOL** – USDOL is the federal agency responsible for oversight of the federal/state Unemployment Insurance program. USDOL provides states with administrative funding to operate their UI programs and ensures that states operate their programs in compliance with federal law. USDOL also provides technical assistance to states to support their effective and efficient administration of the program. To learn more about the USDOL and Unemployment Insurance, you may visit their website at: http://www.doleta.gov.

**NASWA** - The National Association of State Workforce Agencies (NASWA) is an organization of state administrators of unemployment insurance laws, employment services, training programs, employment statistics, labor market information and other programs and services provided through the publicly funded state workforce system. The mission of NASWA is to serve as an advocate for state workforce agencies, as a liaison to workforce system partners, and as a forum for the exchange of information. NASWA was founded in 1937. Since 1973, it has been a private, non-profit corporation, financed by annual dues from its member agencies and other revenue. To learn more about NASWA, you may visit the NASWA website at: http://naswa.org/.
CESER - NASWA’s Center for Employment Security Education and Research (CESER). Created in 1994 is a leading education, research and information technology center focused on workforce development and unemployment insurance issues.

ITSC - The Information Technology Support Center (ITSC) was created in 1994 by USDOL in partnership with the state of Maryland, to promote the development of information technology enhancements and information technology sharing among the state UI agencies. On September 1, 2009, NASWA/CESER became the home of the ITSC. ITSC is funded by grants from USDOL’s Employment and Training Administration’s (ETA) Office of Unemployment Insurance (OUI). The ITSC directly supports state UI agencies with UI IT initiatives. ITSC is governed by a Steering Committee composed of state UI Directors, state IT Directors, state workforce agency administrators along with staff from the USDOL Office of Unemployment Insurance. To learn more about ITSC, you may visit the ITSC website at: http://itsc.org/.

Unemployment Insurance a Federal - State Partnership

The federal-state UI program created by the Social Security Act (SSA) of 1935, is a social insurance program. It is designed to provide benefits to individuals out of work, generally through no fault of their own, for periods between jobs. In order to be eligible for benefits, jobless workers must demonstrate workforce attachment, usually measured by amount of wages and/or weeks of work, and must be able and available for work. The program also functions as an economic stabilizer by putting purchasing power in the hands of UI beneficiaries.

The UI program is a federal-state partnership based upon federal law, but administered by state employees under state law. Because of this structure, the program is unique among the country's social insurance programs. The UI program is also unique in that it is almost totally funded by employer federal and state taxes. Only three states collect taxes from employees. Under the Federal Unemployment Tax Act (FUTA), employers pay federal taxes for state UI administration funds, which are distributed to states through grants by the U.S. Department of Labor (USDOL). Employers also pay state UI taxes to fund the UI benefits that claimants receive.

Federal law defines certain requirements for the program. The SSA and the Federal Unemployment Tax Act (FUTA) set forth broad coverage provisions, some benefit provisions, the federal tax base and rate, and administrative requirements. The major functions of the federal government are to: set broad overall policy; ensure conformity and substantial compliance of state law, regulations, rules, and operations with federal law; determine administrative funding requirements and provide funding to states for proper and efficient administration of the program; monitor state performance; provide technical assistance as necessary; and hold and invest all money in the unemployment trust fund until drawn down by states for the payment of benefits. For a detailed description of the Unemployment Insurance Program visit the USDOL website at: http://www.dol.gov/dol/topic/unemployment-insurance/
Unemployment Insurance Information Technology Systems

State UI agencies must collect state unemployment taxes, process claims and pay unemployment benefits to eligible individuals. To perform these functions they rely heavily on both benefits and tax IT systems. Many states are in the process of modernizing their IT systems that support the unemployment insurance program. See “A National View of UI IT Systems”, at http://naswa.org, a 2010 nationwide survey on the status of UI IT systems across the country. States are moving off of mainframe data center hosted systems to implement streamlined business processes using modern, flexible, web-based technologies and third-party software tools. These systems are now being built in Java, .net and other object oriented languages, tools and relational database management systems. A full UI Benefits and UI Tax system can range from a million to a couple of million lines of code, with hundreds of business rules. A significant data migration effort from legacy systems to new systems is also required. Overall, these modernization projects have encountered significant challenges. For those states that do ultimately implement a modernized, streamlined system, they soon incur growing costs to maintain, operate, and support these new UI IT platforms. States also face major challenges because in-house IT staff members are not skilled in newer technologies and states cannot compete with the private sector salaries for the type of skilled IT staff needed to support these new modern systems. Additionally, UI modernized states have difficulty in keeping pace with the technology updates needed to avert third-party product obsolescence.

States fund the development and operations of their UI IT systems through a number of different sources. The main source of funding is the annual administrative grant states receive from USDOL for the operation of their state UI program. In addition, USDOL may periodically allow states to apply for Supplemental Budget Requests (SBRs). The SBRs issued by USDOL in the last five years have provided funds for multi-state consortia to define their requirements and/or develop and implement new UI Benefits and/or Tax systems. Additional sources of funding include previously provided special federal distributions through the Reed Act or the American Recovery and Reinvestment Act (ARRA). Visit the USDOL website at: http://workforcesecurity.doleta.gov/dmstree/tegl/tegl2k1/tegl_18-01.htm for a detailed explanation of Reed Act funding for the administration of state Unemployment Insurance programs. Visit the USDOL website at: http://www.dol.gov/recovery/ for a complete description of ARRA funding. UI IT Modernization projects are sometimes partially funded by state funds as well. Most importantly, there is no targeted, continuous Federal funding stream to support state investments in large scale UI IT modernization projects.

A new paradigm in which states work together in groups of two, three or four states to modernize their UI IT systems as consortia is showing significant promise. All states have different laws governing their state UI system. Commonality of laws and functionality ranges from 75% to 85% across the nation. These new modern consortia based systems must be highly configurable to cost effectively exploit the common functionality and laws (75% to 85%) among states and also support the 15% to 25% of state unique laws and regulations. The consortia have been awarded grants from USDOL to develop shared, highly configurable, common UI IT solutions. Once these solutions are implemented and deployed, each consortium is planning on benefitting from an outsourced “SaaS-like” cloud solution and the sharing of ongoing maintenance and support costs to substantially reduce each state’s operational cost. The term SaaS-like is used to
emphasize that the states not only own their data residing in the system but also own the resulting application code work product resulting from the development process. A very high level view of each consortium is provided in the table below:

<table>
<thead>
<tr>
<th>Consortium Name</th>
<th>Scope</th>
<th>Status</th>
<th>Planned Deployment Date</th>
<th>Contractors</th>
</tr>
</thead>
<tbody>
<tr>
<td>WyCAN (WY, CO, AZ, ND)</td>
<td>UI Benefits, UI Tax, UI Appeals</td>
<td>In development</td>
<td>2016</td>
<td>HCL America (Developer and Application Support), SunGard (IaaS)</td>
</tr>
<tr>
<td>SCUBI (SC, NC, GA)</td>
<td>UI Benefits, UI Appeals</td>
<td>In development</td>
<td>2016</td>
<td>CapGemini (Developer and Application Support), Xerox (IaaS)</td>
</tr>
<tr>
<td>MRM (MS, RI, ME)</td>
<td>UI Benefits, UI Tax, UI Appeals</td>
<td>In development</td>
<td>2017</td>
<td>Tata Consultancy Services. IaaS will be procured as well.</td>
</tr>
<tr>
<td>VMW (VT, MD, WV)</td>
<td>UI Benefits, UI Tax, UI Appeals</td>
<td>RFP Phase</td>
<td></td>
<td></td>
</tr>
<tr>
<td>NJ/NY</td>
<td>UI Benefits, UI Tax, UI Appeals</td>
<td>Developing Requirements</td>
<td></td>
<td></td>
</tr>
<tr>
<td>NM/MA/FL</td>
<td>UI Benefits and UI Tax Common Module Development</td>
<td>Requirements for and Implementation of Common Modules under Development</td>
<td>On going</td>
<td></td>
</tr>
</tbody>
</table>

**RFI Details**

As part of the overall nationwide UI IT Modernization planning, and in conjunction with the USDOL, the Information Technology Support Center (ITSC) is ascertaining Industry’s interest in providing Cloud Services to the Unemployment Insurance (UI) Domain through a “Broker” that delivers Industry Cloud Services to the states or consortium of states in an organized, systematic, equitable, and uniform manner. Ultimately, USDOL and ITSC are exploring how Industry Cloud services can be systematically leveraged to more efficiently and cost effectively modernize and sustain UI IT systems across the nation.
A depiction of this UI Cloud Services concept is shown in Figure 1.

![Figure 1. UI Cloud Services Model](image)

In this vision, single states and consortia of states gain access to their needed and “best fit” Cloud Services from Industry via the Broker. The Broker$^1$ acts on the behalf of the states and consortia to liaison and connect the states to their appropriate Cloud services; the Broker will act in a complementary fashion to the currently ongoing UI IT state and consortium modernization projects. Cloud services may include Software as a Service (SaaS), Platform as a Service (PaaS), and Infrastructure as a Service (IaaS), as States or Consortiums, for example, may need to modernize their entire UI IT system, may desire to develop a common, shared UI IT system component across a consortium of states, or may want to benefit from the advantages of IaaS hosting services.

Regarding a SaaS service, it is important to emphasize again that the states and consortia not only own their data residing in the UI IT system but also own any application code work products resulting from a development process which the states procure. Also, Security compliance is driven by the National Institute of Standards and Technology (NIST) Cloud Computing Architecture and the Federal Information Security Management Act (FISMA). Moderate level Authority to Operate (ATO) and Federal Risk and Authorization Management Program (FedRAMP) requirements are expected to be addressed in any implementation.

For purposes of this Request for Information (RFI) three key questions vendors should address when responding are:

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$^1$ There are options as to what entity will fulfill this role but it will not be Industry. The Broker will serve as a conduit between and maintain independence among the states and consortia of states and UI cloud services and community(ies). Ultimately a Cloud Provider would be responsible for delivery of services to the state or consortium of interest.
1. Does your company see itself in this UI IT system space as a Cloud service provider?
2. What Cloud service role(s) do you think your organization can fulfill, and why?
3. Does your organization have ideas about innovative models for leveraging cloud technology for the UI system?

The UI Cloud Services model is intended to systematically allow UI state agencies to benefit from cloud computing in order to:

- More efficiently and cost effectively modernize UI IT state Benefits and Tax agency systems
- Reduce the cost of maintaining and supporting a UI IT single state or multi-state consortium modernized systems
- Promote the graceful evolution of a UI IT system over time, including its underlying technologies
- Maintain the confidentiality and security of the individual state data and protecting the identity of the UI customers and employers.

A few lower-level views and scenarios of the UI Cloud Services Model are presented to further illuminate this vision.

In Figure 2, Scenario 1, a state with a legacy-based UI IT system (generally composed of COBOL, CICS, and flat file database) wants to modernize their system based on streamlined processes and outsourcing of the operations and support of the System. The legacy-based State will be provided the “menu” of options available via the Broker, such as using a SaaS-like
Provider, or onboarding to a Consortium that has developed its Solution. The State and Broker will collaborate to determine, using a competitive bid process, the option that is best suited to the State’s functional needs and business and technical objectives. A business arrangement will then be established.

In Figure 3, Scenario 2, a consortium of states with modernized UI IT systems wants to collaboratively develop a new UI component or function using PaaS capabilities. Again, these states will coordinate with the Broker to determine the best PaaS solution given the needs of these states.

Figure 3. Scenario 2. Consortium of Modernized State use PaaS to Build a Common Function/Component
In Figure 4, Scenario 3, either a Modernized State or a Consortium acquires their appropriate IaaS services that meet their needs.

The guiding principles of this UI Cloud Service Model are:

- Enabling Single State and Consortia the agility and mobility to rapidly obtain UI IT System services that best fit their mission and fiscal needs;
- Promoting the graceful and cost-effective evolution of UI IT systems, taking advantage of new, proven technologies and averting technology obsolescence; and
- Benefitting from the security capabilities of Cloud services.

**Potential Proof of Concept Activities**

NASWA/ITSC and USDOL intend to use the information from this RFI to inform the feasibility of implementing Proof of Concept project(s), which will be focused on the UI Community Broker Model, and demonstrating such principles as agile onboarding to a cloud UI service, the mobility of a UI component between cloud services (e.g., from one hybrid SaaS product to another, one UI component from one IaaS to another IaaS, etc.) multi-state collaborative cloud-based UI component development, etc. Any future Proof of Concept activities will be conducted through an open competitive Request for Proposal (RFP) process.
RFI Response Requirements

This NASWA/ITSC RFI consists of a set of questions that vendors are asked to address in as much detail as possible, within the page limits provided, to allow NASWA/ITSC to fully understand the available cloud services and support offerings within a Broker business model. Respondents are requested to address each of the items elaborated upon below.

1) Company Overview

Provide a brief description of your company, services, business size (revenue, employees, customers), and point(s) of contact, including name, address, phone(s) and E-mail address along with a list of cloud computing partnerships that your company currently maintains and the type of partnership (e.g., service/solution provider, value-added reseller, etc.).

*Limit response to 1 page.*

2) Cloud Services Overview and Partnerships

Provide an overview of your Cloud Services offerings and all its service components, along with a list of all the underlying service partnerships, and the type of partnerships, your company currently maintains (e.g., service/solution provider, value-added reseller, etc.) Include the sectors and domains that your company has operated in within the past five years.

*Limit response to 1 page.*

3) UI Domain Community Cloud Broker Business Model

For each service offering relevant to a government Cloud (e.g., specify SaaS, PaaS, IaaS, or hybrid models), provide a detailed description of the services offered. Include the following information:

- Does your company see itself in the UI IT system space as a potential Cloud service provider? Has your company serviced UI systems or other complex government systems?
- What Cloud service role(s) do you think your organization can fulfill, and why?
- What timelines and steps does your company take to on-board a new customer (e.g., data transfers or migrations, application and external interface integration or deployment, etc.)?
- From your past experience, what are the biggest challenges and issues faced in working with new customers?
- Detailed Description of Services Offered
  - Standard Features versus Optional Features
  - Support for Single and Multi-Tenant Solutions
  - Use of Open Source versus Proprietary Technologies
- What kind of applications information/services can your organization host?
- How long would it take your company to start up a new hosting service?
• How do you demonstrate sufficient security?
• What ideas can you provide regarding Proofs of Concepts within the context of this RFI?

Limit response to 5 pages

4) Governance

Cloud technology services, and particularly in the UI IT domain Broker model, are new, emerging, and largely untested in the government sector. Therefore, an effective governance structure will be necessary to manage a cloud brokerage capability. Please address the following questions regarding governance:

• What is your recommendation for an ideal model of governance between the states, the Broker, and industry in the UI community cloud operating model?
• What is your recommendation for partnership forming among UI Community Cloud providers, and the interactions with the Broker?

Limit response to 3 pages

5) Content and Document Management Platform

Describe the ability for your solution to provide, natively or through pairing with a third-party, a content and document management platform that is compliant with Section 508 of the Rehabilitation Act of 1973 (29 USC 794d) and provides for:

• Workflow capabilities for multi-level creation, review and approvals
• Audit trail capabilities
• Retrieval of documents and/or supporting artifacts based on security roles and permissions in the system
• Capability to re-use content, rules and variables (i.e. reports, user interface, ability for ad-hoc query)
• Capability to export reports and/or results of searches to Excel (or Excel-type), PDF, etc.
• Allow for real-time access to status, metadata and supporting artifacts
• Integration with remote scanning solutions
• Capability for creating and re-using templates (content, document, query, etc.)
• Interface with other system interfaces via web services leveraging Application Programming Interface, eXtended Markup Language, Simple Object Access Protocol, Business Process Execution Language, Service-Oriented Architecture, etc.
• Freedom of Information Act (FOIA) support capabilities, or integration with external FOIA solutions

Limit response to 2 pages.
6) Network Connectivity Architecture: Capacity and Performance

For each service offering (e.g., specify SaaS, PaaS, IaaS, or hybrid models), provide an overview of Network Connectivity and Architecture, including:

- Regarding a SaaS approach, provide a profile of the bandwidth requirements for an individual user. If appropriate, based on configuration and/or usage differences, provide multiple profiles showing the configuration options matched to the bandwidth requirements.
- Private Network Connectivity options
- Monitoring and Reporting
- Any restrictions to replicate an environment to another provider
- Support for Internet Protocol version 6 (IPv6)
- Any other relevant information

*Limit response to 2 pages.*

7) Service Level Agreement (SLA)

For each service offering (e.g., specify SaaS, PaaS, IaaS, or hybrid models), provide an overview on the applicable Service Level Agreements (SLAs), including the following:

- The method of calculating service availability metrics.
- The Terms of Service (ToS) related to each service offering.
- Definitions of areas of responsibilities for SLAs and ToS (customer, partner, provider, etc.).
- Scheduled uptime and scheduled maintenance windows, and details on how and when the maintenance is scheduled and communicated to the customer and all relevant parties.
- Description of the process for adding new services to the Cloud suite.
- Service Support procedures (Tier 1, Tier 2, Tier 3).

*Limit response to 3 pages.*

8) Security Posture and Compliance

For each service offering (e.g., specify SaaS, PaaS, IaaS, or hybrid models), provide information on the Security Posture and Compliance, including the following:

- Compliance with Federal Security laws and regulations
  - Describe how the Cloud solution complies with the required Federal laws and regulations including, but not be limited to: Federal Information Security Management Act (FISMA), Privacy Act, National Institute of Standards and Technology (NIST) standards, etc.
  - Describe the level of FISMA certification the solution currently possesses (Low, Moderate, High).
o Describe how the solution complies, or will comply, with the FedRAMP certification requirements.

o Discuss which features and functions of the solution are considered not compliant with FISMA/FedRAMP requirements and the provider’s plans to meet these requirements.

o Describe the process, and results, for ensuring the service/solution support staff are considered trusted resources.

o Describe how the service/solution’s security documentation will be made available for review and discussion, and under what conditions. This would include, but not be limited to, the System Security Plan, Risk Assessment, Plan of Actions and Milestones (POA&M), etc. Discuss any restrictions or limitations that may impact such a review and acceptable remediation of the same.

o For the envisioned UI Community cloud environment, describe the service/solution’s ability to perform data extracts showing, for example, system configurations, roles, access rights, account management, etc., at the application and host levels. Describe how this obligation carries to third-party partners that provide supporting services and technologies to the Cloud solution.

- Security Posture - Data Protection
  o Describe encryption levels used to protect data at rest and in transit.
  o Describe the security of data at rest and how this is accomplished.
  o Beyond encryption, discuss how personally identifiable information is further protected against unauthorized disclosure and modification.

- Discuss ability to support Two-Factor Authentication and use of Class 3 and 4 Public-Key Infrastructure tokens.

- Provide details on the change management process and management of systems configuration baselines.

- Discuss details on the service/solution’s security lifecycle across all System Development Lifecycle (SDLC) phases with emphasis on the continuous monitoring program and processes to monitor the security posture and compliance.

- Discuss security reporting deliverables that will be made available to the customer, and their frequency.

*Limit response to 6 pages.*

9) Termination Services

For each service offering (e.g., specify SaaS, PaaS, IaaS, or hybrid models), provide details on Termination Services, including:

- Contract Termination Procedures
- What proprietary third-party products would inhibit a smooth transition to a similar service provider?
- Customer Data Recovery and Transfer options and procedures
- Customer Data Purge (online storage and offline storage)
- Service Level Agreements applicable to Data Recovery and Transfer processes
- Termination clauses and associated Penalty fees.
10) Service Disaster Recovery and Continuity of Operations Plan (COOP) and Testing

For each service offering (i.e. SaaS, PaaS, IaaS or other hybrid models), provide details on the Service Disaster Recovery and COOP Planning capabilities and exercises that will be performed, including:

- A detailed description of the Disaster Recovery and COOP capabilities of the service
- A detailed description of the exercises that have been performed to validate the Disaster Recovery and COOP scenarios. What metrics, reports and scheduled tests are available?
- SLA details (e.g. Recovery Time Objectives (RTO), Recovery Point Objective (RPO)) related to the Disaster Recovery and COOP activities to include the entire service through individual mailbox scenarios

11) Cloud Platform Services Pricing Models

For each service offering (e.g., specify SaaS, PaaS, IaaS, or hybrid models), provide your company’s or third party provisioning and pricing for Cloud Services enumerated. NASWA/ITSC is also interested in additional service offerings that would be beneficial to the UI IT user community.

- **Cloud Pricing Model** – provide your GSA/State rates and include the following:
  - Pricing Plans and Models (Standard/Optional)
  - Bundled Pricing versus Itemized Pricing
  - Unit type and unit of measure
  - One-time costs versus Reoccurring costs Unit type and measure
  - Minimum ordering quantity
  - Applicable volume discounts base

- **Cloud Provisioning Model** – Describe your provisioning model and ordering constraints to include:
  - Minimum incremental ordering quantities (e.g. per unit, per bundle)
  - Service activation time (ready for use)
  - Payment Schedules (e.g. annual, monthly)
  - Volume discounts – break points based on Quantity
  - Minimum contract performance period and minimum quantity

*Limit response to 1 page*

*Limit response to 3 pages.*
12) Transition Services to the Cloud – Pricing Model

As part of the transition to the Cloud solution, solution providers would be expected to complete the migration within the agreed upon implementation timeframe and be responsible for providing all required equipment and professional services to transition or setup the UI system to the cloud. States would ensure access to facilities and subject matter experts as required. Anticipated transition services are enumerated in the following Table, entitled Cloud Transitioning Services.

<table>
<thead>
<tr>
<th></th>
<th>Cloud Transitioning Services</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Data Migration From Existing Legacy Database Systems</td>
</tr>
<tr>
<td>2</td>
<td>Migration of currently state hosted applications that fit into the Cloud solution you are offering.</td>
</tr>
<tr>
<td>3</td>
<td>Migration of external interfaces that the UI system currently uses.</td>
</tr>
<tr>
<td>4</td>
<td>Migration of existing internal users.</td>
</tr>
<tr>
<td>5</td>
<td>Migration of existing External Users (Claimants/employers) if applicable.</td>
</tr>
<tr>
<td>6</td>
<td>Migration of Single Sign On (SSO) configuration if using state hosted enterprise model.</td>
</tr>
</tbody>
</table>

- **Cloud Transition Pricing Model** – Describe your pricing model for transitioning services:
  - Fixed Priced
  - Payment Delivery Schedules
  - Volume discounts – break points based on quantity

*Limit response to 2 pages.*

13) Cloud Support Services Pricing Model

For each service offering (e.g., specify SaaS, PaaS, IaaS, or hybrid models), provide your pricing and approach for Cloud Support Services, including:

- **Cloud Support Pricing Model**
  - Per Service, per Seat base
  - Fixed and/or Time and Material
  - Payment Delivery Schedules

*Limit response to 1 page.*

14) Additional Considerations

Provide any topics, solutions, or questions your company would like to submit related to the subject of this RFI for NASWA/ITSC consideration.

*Limit response to 4 pages*
RFI Description and Process

Participation in this market research is voluntary. All costs incurred in responding to or participating in this RFI will be the responsibility of the vendors, or other third-party organizations participating in the RFI, and not that of NASWA/ITSC.

Confidentiality

Any document submitted in response to this RFI that contains confidential information must be marked by a watermark on the appropriate pages as “Confidential”. The confidential information must be clearly identifiable to the reader as confidential. All other information will not be treated as confidential. Note all confidential information is for ITSC’s use in planning future cloud implementations.

Instructions and Response Guidelines

This is NOT a solicitation for proposals, proposal abstracts, or quotations. The response must be specific to each of the RFI requirements, listed above, to demonstrate that the respondent has the requisite skills and experience. Experience and past performance is requested of qualified respondents to include full detail of solutions provided by subcontractors.

Responses to this RFI should not exceed 35 pages, and must be in narrative form and provide details on the vendor capabilities. Responses must be viewable with Microsoft Word 2003 or Adobe Acrobat and printable on 8.5” x 11” paper, must use 12-point font, the margins of each page should be at least ½ inch, and each page should contain a page number in the footer.

This RFI is for information and planning purposes only and shall not be construed as a solicitation or as an obligation on the part of NASWA/ITSC to issue a Request for Proposal (RFP) or award a contract. Sources responding to this RFI should submit the minimum information necessary for NASWA/ITSC to make a determination that the source is capable of satisfying the requirements.

However, should such a future RFP materialize, no basis for claims against NASWA/ITSC shall arise as a result of a response to this RFI or NASWA/ITSC’s use of such information as either part of our evaluation process or in developing specifications for any subsequent RFP.

Responses must be received electronically by 5:00 p.m. Eastern Time on August 22, 2014. The interested parties will then receive a confirmation receipt within 24 hours of their submission. Responses will be sent to the email address of the sender along with any additional email addresses included in the submittal.

Please ensure that the submittal is in Microsoft Word or PDF format. All proposals must be submitted electronically to the following email address: UICloudRFI@itsc.org.
Telephone calls regarding this RFI will not be accepted. Questions may be submitted at both the Webinar and Industry Day events described in this RFI and also by email up to 5:00PM Eastern time, July 18, 2014. All questions received at the Webinar, Industry Day and through email will be posted on the ITSC RFI website along with the answers provided by ITSC and USDOL. This RFI is for planning purposes only and does not commit NASWA/ITSC to pay for the information requested, issue a solicitation, or award a contract. No solicitation document exists at this time.

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