

**Texas Department of Information  
Resources**



**STATEMENT OF WORK (SOW)  
FOR  
DELIVERABLES-BASED INFORMATION  
TECHNOLOGY SERVICES**

*Identity & Access Management Analysis*

*IT Assessment & Planning*

**Gartner, Inc.  
DIR-SDD-2042**

# Statement of Work

## Identity and Access Management Analysis

### 1. Introduction

The purpose of this Statement of Work (SOW), in accordance with [SB 1878](#) (84R), is to outline the IT Assessment and Planning services provided by Gartner, Inc. (Gartner) to perform analysis for the purpose of implementing new identification and access requirements for accessing certain information that is electronically stored by the state, including personal identifying information and sensitive personal information, as those terms are defined by [Section 521.002](#), Texas Business and Commerce Code.

### 2. Scope

#### 2.1 Approach Overview: Understanding and Business Context

Gartner's approach to this project breaks the effort into phases and tasks as defined in its methodology, described in Section 2.1.1 of its response to the SOW dated March 4, 2016, customized to address the DIR Identity Management Analysis project's requirements to ensure the successful procurement of a new IAM solution set. As a critical success factor, Gartner will involve project key stakeholders at critical decision points throughout the project.

#### 2.2 Identity and Access Management Assessment Tasks

The first phase of the project will be delivered as follows:

- Task 1 - Project Kickoff
- Task 2 – Current State Environment Discovery
  - Interviewing 12 focus groups
  - Sending Electronic Survey to 150 identified agencies and Institutions of Higher Education (IHEs)
  - Culling existing security maturity assessments for additional details
- Task 3 – Current State Data Analysis and Validation
  - Identification of Use Cases
  - Development of High-Level Requirements
  - Identification of complexities and potential solutions
- Task 4 – Research and Analysis of Vendor Options
  - Available market-place solutions review and analysis
  - Vendor solution architecture discussions with potential vendors/service providers
  - Development of relative costs and benefits from various technological options
  - Security considerations
  - Optional Workshop: Potential Vendor Solutions and Alternatives Workshop Presentation

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- Task 5 – Report, Review and Updates
  - Delivery and Review of First Draft Report
  - Report review and update
  - Delivery of Second Draft Report
  - Report review and update
  - Final Report Delivery
- Task 6– Summary Results Presentation

<b>2.2.1 Task 1: Project Kickoff</b>	<b><i>Deliverable(s) and Time Frame</i></b>
<p><b>Objective:</b></p> <ul style="list-style-type: none"> <li>■ Work closely with DIR to set the foundation for a successful engagement that is delivered on time, within budget, and meets DIR’s objectives.</li> <li>■ Refine the project schedule and expectations from those established in this Statement of Work (SOW).</li> </ul> <p style="text-align: center;"><b>Activities performed by Gartner:</b></p> <ul style="list-style-type: none"> <li>■ Conduct a kickoff meeting with DIR to establish and ensure understanding of the project objectives, scope, schedule and milestones, roles, responsibilities, communication plan, and required resources for Gartner and DIR.               <ul style="list-style-type: none"> <li>■ Additional conference calls may be used to supplement the kickoff meeting as necessary to complete the necessary communication and information transfer.</li> </ul> </li> <li>■ Discuss anticipated risks and mitigation plans, based on lessons learned from past experience.</li> <li>■ Gather any relevant background material from DIR, as well as logistics for onsite project activities including the information gathering interviews.</li> </ul> <p style="text-align: center;"><b>DIR responsibilities:</b></p> <ul style="list-style-type: none"> <li>■ Ensure attendance at kickoff meeting by Project Sponsor, Project Manager and other key stakeholders, as determined prior to kickoff.</li> <li>■ Identify relevant information necessary for the project, identify personnel required for participation in the defined tasks of the project, and establish timeframes and logistics for on-site interviews and activities.</li> <li>■ Establish a DIR “Core Team” (as necessary and mutually agreed upon) to support and participate in the activities of the engagement. A list of the typical roles represented for this effort are (1) project/program manager (2) line-of-business (3) enterprise architect (4) architect (5) domain expert; DIR and Gartner will collaborate on forming the DIR core team.</li> </ul>	<p><b>Deliverable(s):</b></p> <ul style="list-style-type: none"> <li>■ Kickoff meeting materials</li> <li>■ Draft project schedule</li> <li>■ Draft project plan</li> <li>■ Communications Plan</li> <li>■ Interview questions, participant list, schedule, and related travel logistics information</li> <li>■ Pre-interview survey</li> </ul> <p style="text-align: center;"><b>Time frame:</b></p> <ul style="list-style-type: none"> <li>■ Duration One (1) week</li> <li>■ Meeting Time: 90-120 minutes</li> </ul> <p style="text-align: center;"><b>Relevant Information and Supporting Material (not all of these may exist):</b></p> <ul style="list-style-type: none"> <li>■ Existing information regarding strategies, governance, architecture, infrastructure components, and related in-flight projects</li> <li>■ Documented business and use cases</li> <li>■ Functional requirements and specifications documents including infrastructure, process, data flow, and architecture diagrams</li> <li>■ Other documentation such as existing policies, procedures, and audit and incident reports</li> </ul>

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2.2.1 Task 1: Project Kickoff	<i>Deliverable(s) and Time Frame</i>
<ul style="list-style-type: none"> <li>■ Assign a project team leader who will effectively manage the execution of the project, including:               <ul style="list-style-type: none"> <li>■ Communicate factors (as soon as they are known, if any) that could affect the project’s schedule or the cost, quality, or delivery of Gartner’s consulting services</li> <li>■ Inform Gartner of the project’s status from DIR’s perspective so that Gartner can quickly address issues associated with direction and scope</li> <li>■ Provide timely feedback on questions and information requests submitted by Gartner.</li> </ul> </li> </ul>	

2.2.2 Task 2: Current State Environment Discovery	<i>Deliverable(s) and Time Frame</i>
<p><b>Objective:</b></p> <ul style="list-style-type: none"> <li>■ Ensure that both Gartner and DIR are working from the same baseline understanding of the business environment including the current-state of the infrastructure, the business drivers, and the strategic future-state requirements.</li> <li>■ This task is comprised of three primary subtasks               <ul style="list-style-type: none"> <li>■ Interviews with 12 focus groups</li> <li>■ Electronic survey of approximately 150 agencies and IHEs</li> <li>■ Compilation of IAM-related security maturity content</li> </ul> </li> </ul> <p style="text-align: center;"><b>Activities performed by Gartner:</b></p> <ul style="list-style-type: none"> <li>■ Review the documentation provided during kickoff. Through the review, acquire a sufficient overview of and background on the DIR business environment, the target processes and supporting infrastructure, and potential constraints and impacts. This will enable the consulting team to appropriately focus the follow-on interviews and information gathering activities.</li> <li>■ Conduct a series of focus group interviews with key technical personnel, functional organizations, sponsors, stakeholders, and executives. These interviews will allow stakeholders and impacted organizations to describe their existing responsibilities technological capabilities, requirements and desires. Interviews may be with individuals, or with small groups or who perform similar functions or have similar subject matter expertise.               <ul style="list-style-type: none"> <li>■ These interviews will be used by Gartner to (1) further identify business challenges that are expected to be addressed by the initiative (2) discuss perceived issues, pain points and critical</li> </ul> </li> </ul>	<p><b>Deliverable(s):</b></p> <ul style="list-style-type: none"> <li>■ Up to twelve (12) focus group interviews conducted over three (5) consecutive working days; used to capture the necessary information. All interviews will be conducted onsite at the DIR-selected location determined in advance.</li> <li>■ Delivery of electronic survey to 150 agencies and IHE</li> <li>■ Prior Assessment Analysis</li> </ul> <p style="text-align: center;"><b>Time frame:</b></p> <ul style="list-style-type: none"> <li>■ Duration: Three (3) weeks:               <ul style="list-style-type: none"> <li>■ Interviews</li> <li>■ Electronic Survey (1 week)</li> <li>■ Analysis and compilation IAM assessment content (1 week)</li> </ul> </li> </ul> <p style="text-align: center;"><b>Stakeholder Interview Topics:</b></p> <ul style="list-style-type: none"> <li>■ The interviews will lead the core team and stakeholders through detailed discussion and information sharing in order to gain an understanding of the following topics:               <ul style="list-style-type: none"> <li>■ The nature of the business, the scope of the enterprise, the structure of the organization, the interaction and dependencies of the business units, and the identification of the end-user population including internal</li> </ul> </li> </ul>

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2.2.2 Task 2: Current State Environment Discovery	<i>Deliverable(s) and Time Frame</i>
<p>success factors (3) understand the perspectives regarding current and future capabilities.</p> <ul style="list-style-type: none"> <li>■ Typically, these interviews include individuals and management from both IT and business organizations that are drawn from cross-functional groups. These groups may include (but not restricted to) IT architecture, application development, IT Engineering, IT/Data Center Operations including networks and system administration, IT Service Management, IT Security, Risk or Compliance management, directory services, Human Resources, Physical Security (badging), Internal Audit, functional business units/end-users, and other representatives that can be supported by the results of this project. The DIR and Gartner will collaborate to identify the best available resources for interview purposes.</li> </ul> <p style="text-align: center;"><b>DIR responsibilities:</b></p> <ul style="list-style-type: none"> <li>■ Collaborate with Gartner to identify appropriate facilities (e.g., buildings, labs, conference rooms, offices), and a suitable work area and resources (e.g., desk, phone, Internet, printer, fax) for when working on-site at DIR as necessary.</li> <li>■ Present applicable DIR-related IT initiatives, requirements, constraints, and a description of the current environment</li> <li>■ DIR and Gartner must work together to ensure the appropriate level of participation of Agency or Institution personnel</li> <li>■ Provide timely feedback on questions and information requests submitted by Gartner.</li> </ul>	<p>(e.g., employees, contractors) and external (e.g., customers, consumers, suppliers, partners) users.</p> <ul style="list-style-type: none"> <li>■ How the entity and its information technology operate and what makes it succeed or fail in terms of IAM.</li> <li>■ What is the organizational governance including (but not limited to) structure, change management and approval processes, identity lifecycle management, and regulatory compliance requirements.</li> <li>■ The end-user environment and devices and the nature of their interaction with the infrastructure, from both inside the enterprise and outside.</li> <li>■ The components and operational methodologies comprising the information and identity systems, and their operation within the enterprise, including (but not limited to) directory services, network operations, collaboration and content management including database and document repositories, identity lifecycle management including ERP systems, access control, monitoring and audit, and PKI.</li> <li>■ The threats, vulnerabilities, and consequences associated with information, information technologies, identities, and related access control.</li> <li>■ Information on previously identified incidents and audit findings.</li> <li>■ Other discussions, observations, and assessments as identified during the interviews will be collected for subsequent analysis.</li> </ul>

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<p style="text-align: center;"><b>2.2.3 Task 3: Current State Data Validation and Analysis</b></p>	<p style="text-align: center;"><b><i>Deliverable(s) and Time Frame</i></b></p>
<ul style="list-style-type: none"> <li>■ <b>Objective:</b> Ensure that both Gartner and DIR are working from the same baseline understanding of the environment including the current-state of the infrastructure, the business drivers, and the strategic future-state requirements.</li> <li>■ This task is comprised of three primary subtasks               <ul style="list-style-type: none"> <li>■ Identification of high-level Use Cases for IAM. (Use Cases are used to identify methods of authorization and authentication for various scenarios and are used to simply architecture development).</li> <li>■ Development of high-level requirements</li> <li>■ Identification of gaps with best practice, complexities and alternative decision points</li> <li>■ Milestone: DIR Data Validation Workshop</li> </ul> </li> </ul> <p style="text-align: center;"><b>Activities performed by Gartner:</b></p> <ul style="list-style-type: none"> <li>■ Review the information and documentation provided during the previous project kickoff and information gathering tasks. Through the review, acquire a sufficient overview of and background on the environment, the target processes and supporting infrastructure, and potential constraints and impacts. This will enable the consulting team to appropriately focus the follow-on requirements and gaps identification and definition activities.</li> <li>■ Taking the input from the previous tasks               <ul style="list-style-type: none"> <li>■ Identify the high level drivers and related requirements of both the current-state of the environment and the desired future-state;</li> <li>■ Define the strategic gaps between the current-state and desired future-state requirements as well as between the desired future-state and industry leading practices.</li> </ul> </li> <li>■ Develop and deliver a Workshop presentation that summarizes and documents the information gathered through the interviews, the provided documentation, the prior security maturity assessments, and the survey responses.</li> </ul> <p style="text-align: center;"><b>DIR responsibilities:</b></p> <ul style="list-style-type: none"> <li>■ DIR and Gartner must work together to ensure the appropriate level of participation of Agency or Institution personnel</li> <li>■ Provide attendance location and necessary supporting projection equipment and whiteboard or flip-chart capability.</li> </ul>	<p><b>Deliverable(s):</b></p> <ul style="list-style-type: none"> <li>■ An electronically delivered presentation that summarizes and documents the information gathered through the interviews, the provided documentation, the prior assessment documentation and the survey responses.</li> </ul> <p style="text-align: center;"><b>Time frame:</b></p> <ul style="list-style-type: none"> <li>■ Duration: Three (3) weeks:               <ul style="list-style-type: none"> <li>■ Compilation of current state data for validation (1 week)</li> <li>■ Preliminary Data Analysis (1 week)</li> <li>■ Workshop development (3 days)</li> <li>■ Milestone: Data Validation Workshop Presentation (2-4 hours)</li> </ul> </li> </ul> <p style="text-align: center;"><b>Workshop Contents:</b></p> <ul style="list-style-type: none"> <li>■ Summarization of data collection results</li> <li>■ Identification of high-level primary Use Cases</li> <li>■ Development of high-level requirements</li> <li>■ Identification of gaps, complexities and alternative decision points</li> </ul>

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<b>2.2.3 Task 3: Current State Data Validation and Analysis</b>	<b><i>Deliverable(s) and Time Frame</i></b>
<ul style="list-style-type: none"> <li>■ Provide interactive feedback during workshop sessions.</li> </ul>	

<b>2.2.4 Task 4: Research and Analysis of Vendor Solutions Workshop</b>	<b><i>Deliverable(s) and Time Frame</i></b>
<p><b>Objective:</b></p> <ul style="list-style-type: none"> <li>■ Identify and document vendor alternative solutions and develop recommendations that will address the gaps identified in the current-state environment, and are required to securely and effectively support the current and future business drivers, requirements, and initiatives of the state-wide architecture.</li> <li>■ The mitigation strategy and architecture will be developed using the established Gartner Reference Architecture, a mature and proven decision framework and methodology.</li> <li>■ This task is comprised of five primary subtasks <ul style="list-style-type: none"> <li>■ Identification of market-place solutions</li> <li>■ Initiation of objective and anonymous discussions for solution architecture with prospective enterprise-class solution providers</li> <li>■ Development of relative costs and benefits of various technological alternatives</li> <li>■ Identification of security-specific drivers and considerations</li> <li>■ Milestone: Potential Vendor and Alternative Solutions Workshop</li> </ul> </li> </ul> <p><b>Activities performed by Gartner:</b></p> <ul style="list-style-type: none"> <li>■ Leverage Gartner's extensive IAM-related research to identify enterprise class market solutions based on the Gartner Identity and Access Governance Reference Architecture Model, as well as our understanding of what other like-industry institutions are doing to meet similar requirements.</li> <li>■ Initiate discussions with capable enterprise-class solution providers to develop technological solutions based on their current offerings and technological roadmaps.</li> <li>■ Identify relative component costs and benefits of various technological alternatives.</li> <li>■ Identify security-specific drivers and implementation considerations.</li> </ul> <p><b>DIR responsibilities:</b></p>	<p><b>Deliverable(s):</b></p> <ul style="list-style-type: none"> <li>■ An electronically delivered report that summarizes and documents identified marketplace solutions, technological alternatives, and security-specific drivers and considerations.</li> <li>■ Optional Workshop: Potential Vendor Solutions and Alternatives Workshop Presentation</li> </ul> <p><b>Time frame:</b></p> <ul style="list-style-type: none"> <li>■ Three (3) weeks <ul style="list-style-type: none"> <li>■ Market place solution/alternative analysis (1 week)</li> <li>■ Vendor solutions architecture discussions and development of initial component cost estimates (1 week)</li> <li>■ Workshop development (3 days)</li> <li>■ Milestone: Potential Vendor and Alternative Solutions Workshop Presentation (2-4 hours)</li> </ul> </li> </ul> <p><b>Topics Assessed:</b></p> <ul style="list-style-type: none"> <li>■ Topics that will be addressed as part of the assessment: <ul style="list-style-type: none"> <li>■ Directory Structure and Distribution</li> <li>■ Federated Identity</li> <li>■ Roles</li> <li>■ Directory Tiers, Instances, and Roles</li> <li>■ Public Key Infrastructure</li> <li>■ Identity Auditing</li> <li>■ User Authorization</li> <li>■ User Authentication</li> <li>■ Reduced Sign-On</li> <li>■ Multi-Factor Authentication</li> </ul> </li> </ul>

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<b>2.2.4 Task 4: Research and Analysis of Vendor Solutions Workshop</b>	<b><i>Deliverable(s) and Time Frame</i></b>
<ul style="list-style-type: none"> <li>■ As necessary, provide applicable and relevant input in the resulting strategy and architecture.</li> <li>■ DIR and Gartner must work together to ensure the appropriate level of participation of Agency or Institution personnel</li> <li>■ Provide attendance location and necessary supporting projection equipment and whiteboard or flip-chart capability.</li> <li>■ Provide interactive feedback during workshop sessions.</li> </ul>	<ul style="list-style-type: none"> <li>■ Identity Lifecycle Management</li> <li>■ Accessing Identity Data Services</li> <li>■ Identity Content and Integration</li> <li>■ Directory Management and Security</li> </ul> <p><b>Report Contents:</b></p> <ul style="list-style-type: none"> <li>■ The Potential Vendor Solutions and Alternatives Workshop includes:               <ul style="list-style-type: none"> <li>■ Summarized results of vendor solutions and alternatives identified</li> <li>■ Initial costs and benefits of various technological alternatives</li> <li>■ Identification of security-specific drivers and considerations</li> </ul> </li> </ul>

<b>2.2.5 Task 5: IAM Architecture Assessment and Feasibility Report</b>	<b><i>Deliverable(s) and Time Frame</i></b>
<p><b>Objective:</b></p> <ul style="list-style-type: none"> <li>■ Establish the feasibility and high-level strategy required to effectively and efficiently migrate from the current-state environment to the future-state environment.</li> <li>■ Based on documentation and interviews and agency inputs, document and provide a report readable by non-technical stakeholders narrating and summarizing the methodology and process followed to develop recommended IAM architecture in accordance with the business drivers, requirements, gaps, vulnerabilities, and constraints as identified during the previous activities, including:           <ul style="list-style-type: none"> <li>■ The data collection methodology and results</li> <li>■ Vendor identification and analysis phase</li> <li>■ Vendor solutions identification and alternatives discussed including relative costs, benefits, and Identification of implementation challenges and risks including integration with existing agency/IHE infrastructures, and necessary effort and collaboration.</li> <li>■ Recommendations regarding department action or potential legislation that would secure sensitive information held by the state.</li> </ul> </li> </ul>	<p><b>Deliverable(s):</b></p> <ul style="list-style-type: none"> <li>■ Initial Draft Report</li> <li>■ Interim Draft Report(s)</li> <li>■ Final IAM Architecture Assessment and Feasibility Report</li> </ul> <p><b>Time frame:</b></p> <ul style="list-style-type: none"> <li>■ Duration: Seven (7) to eight (8) weeks</li> <li>■ Initial Draft IAM Architecture Assessment and Feasibility Report (provided to DIR no later than 75 days after the contract start) (1 week)</li> <li>■ Internal review cycle (1 week)</li> <li>■ DIR/Stakeholder review of initial report (14 days)</li> <li>■ Remediated Second Draft Report (7-14 days)</li> <li>■ Second Draft Review (possibly iterative) (7 days or more)</li> <li>■ Draft remediation and delivery of Final Report (7 days)</li> </ul>

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<b>2.2.5 Task 5: IAM Architecture Assessment and Feasibility Report</b>	<b><i>Deliverable(s) and Time Frame</i></b>
<p><b>Activities performed by Gartner:</b></p> <ul style="list-style-type: none"> <li>■ Develop and deliver a draft report that describes and documents the results of the architecture and vendor analysis as well as assesses the feasibility of the strategy and architecture recommendations.</li> <li>■ Disposition comments and update the report based on feedback from reviewers to provide a clean second draft report for review by DIR-identified personnel.</li> <li>■ Disposition comments and update the report from reviewers to provide a third and final report</li> </ul> <p><b>DIR responsibilities:</b></p> <ul style="list-style-type: none"> <li>■ As necessary, provide applicable and relevant input in the resulting strategy and architecture.</li> <li>■ Provide timely feedback on deliverables (draft and final), information requests, and project questions submitted by Gartner.</li> </ul>	

<b>2.2.6 Task 6: Results Closeout Presentation</b>	<b><i>Deliverable(s) and Time Frame</i></b>
<p><b>Objective:</b></p> <ul style="list-style-type: none"> <li>■ Present an overview of the project and a summary of the results to an audience of DIR senior management and stakeholders for this initiative.</li> <li>■ Obtain approval and signoff of the satisfactory completion of the engagement.</li> </ul> <p><b>Activities performed by Gartner:</b></p> <ul style="list-style-type: none"> <li>■ Prepare and deliver in-person and onsite, a presentation summarizing the project results.</li> </ul> <p><b>DIR responsibilities:</b></p> <ul style="list-style-type: none"> <li>■ Provide Gartner team members with access to appropriate facilities and a suitable briefing area for the onsite presentation.</li> <li>■ Select participants and coordinate the attendance of appropriate DIR personnel.</li> <li>■ Provide timely feedback on deliverables (draft and final), information requests, and project questions submitted by Gartner.</li> </ul>	<p><b>Deliverable(s):</b></p> <ul style="list-style-type: none"> <li>■ A two (2) hour presentation that represents the summary results of the engagement. <ul style="list-style-type: none"> <li>■ DIR will have the opportunity to review the presentation deck and provide consolidated feedback for one (1) revision cycle to prior to the live presentation.</li> <li>■ Unless otherwise indicated, report will be delivered in English, in MS-PowerPoint format.</li> </ul> </li> </ul> <p><b>Time frame:</b></p> <ul style="list-style-type: none"> <li>■ One (1) week <ul style="list-style-type: none"> <li>■ Presentation development</li> <li>■ DIR review and feedback</li> <li>■ Delivery of the on-site briefing</li> </ul> </li> </ul> <p><b>Presentation Contents:</b></p>

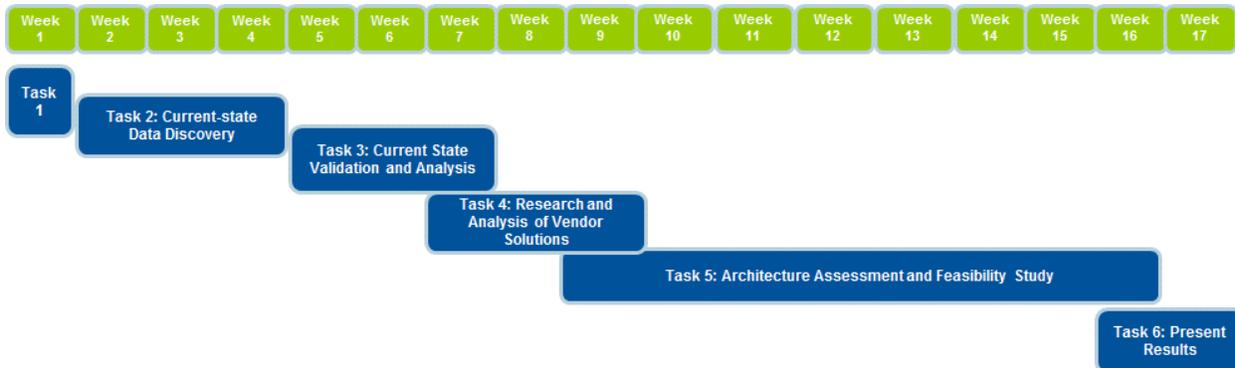
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2.2.6 Task 6: Results Closeout Presentation	<i>Deliverable(s) and Time Frame</i>
	<ul style="list-style-type: none"> <li>■ The high-level Table Of Contents for the management presentation deliverable includes:               <ul style="list-style-type: none"> <li>■ Project Overview</li> <li>■ Summary of current-state environment including business drivers and requirements, and gap analysis results</li> <li>■ Summary of the alternatives cost/benefits and feasibility analysis</li> <li>■ Summary of the recommended strategic architecture</li> <li>■ Conclusion(s) and next steps</li> </ul> </li> </ul>

### 3. Anticipated Timeline

Gartner anticipates completion of this engagement within 17 weeks, as shown in the figure below. This schedule is dependent on the assumptions included in this Statement of Work.

#### Estimated Engagement Schedule



### 4. Pricing

Deliverable	Services/Deliverables Description	Deliverables Cost
<b>Task 1</b>	Research and Analysis of Vendor Solutions	\$100,000

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Deliverable	Services/Deliverables Description	Deliverables Cost
<b>Task 2</b>	First Draft of Report	\$35,000
<b>Task 3</b>	Second Draft of Report	\$40,000
<b>Task 4</b>	Final Report (Acceptance)	\$74,750
<b>TOTAL COST</b>		<b>\$249,750</b>

### 5. Period of Performance

The period of performance is anticipated to complete by no later than September 30, 2016.

### 6. Invoices

Payment will be made in accordance with Appendix A, Section 7 of DIR Contract #DIR-SDD-2042 and in conjunction with the completion of deliverables as indicated in the Section 5 of this SOW.

### 7. Point of Contact

Department of Information Resources (DIR)  
Edward Block, Chief Information Security Officer  
300 W. 15<sup>th</sup> Street, Suite 1300  
Austin, Texas 78701  
Office: (512) 463-8807  
Email: [eddie.block@dir.texas.gov](mailto:eddie.block@dir.texas.gov)

George Monnat, Strategic Contract Manager – Technology Sourcing Office  
300 W. 15<sup>th</sup> Street, Suite 1300  
Austin, Texas 78701  
Office: (512) 463-8497  
Email: [george.monnat@dir.texas.gov](mailto:george.monnat@dir.texas.gov)

### 8. Exhibits

- Exhibit A – Gartner Project Team
- Exhibit B – Project Assumptions
- Exhibit C – Changes to Scope
- Exhibit D -- Task Orders

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This Statement of Work (SOW) is executed to be effective immediately upon the date of the last signature. This SOW is submitted under the terms and conditions of the Deliverables Based Information Technology Services Contract DIR-SDD-2042 dated April 5, 2013.

**Gartner, Inc.**

Authorized By: signature on file

Printed Name: George A. Love III

Title: Senior Managing Partner

Date: April 7, 2016

**Texas Department of Information Resources**

Authorized By: signature on file

Printed Name: Edward Block

Title: Chief Information Security Officer

Date: 04/13/2016

Office of General Counsel: signature on file

Date: 04/12/2016

**Texas Department of Information Resources**

Authorized By: signature on file

Printed Name: Grace Windbigler

Title: Director, Technology Sourcing Office

Date: 04/14/2016

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### **Exhibit A – Gartner Project Team**

Following are the Gartner project team members who will likely work on this engagement. If the individuals proposed herein are not available, Gartner will substitute another qualified professional with similar expertise and credentials.

- **Bob Smock**, Vice President, Security and Risk Management
  
- **Kimberly May**, Director, Gartner Consulting
  
- **Chris Weldon**, Associate Director, Gartner Consulting
  
- **Homan Farahmand**, Research Director, Identity and Access Management (GTP)
  
- **Alfredo Villalobos**, Vice President, Gartner

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### **Exhibit B – Project Assumptions**

The deliverables, schedule and pricing in this Proposal are based on the following assumptions:

- DIR and Gartner must work together to ensure the appropriate level of participation of Agency or Institution personnel
- DIR will provide available contact information for specific and primary points-of-contact in each of the organizations to be surveyed and interviewed.
- Survey responses will be received within 10 working days.
- Gartner personnel will perform all client-facing activities (e.g., Interviews/workshops) at DIR or other agency location as described in this proposal and/or as agreed to at the project kickoff. Gartner personnel may perform computer-facing activities from Gartner offices in order to ensure access to Gartner tools and resources.
- Any substantive requests for additional information (beyond the details described in the tasks above) that are made by DIR will be considered a change in scope for this engagement and will be handled accordingly using the agreed upon change control methodology.
- All deliverables will be developed using Microsoft products (for example, Project, Excel, Word and PowerPoint).
- Resumes of key personnel provided in this proposal assume a project start date of April 11, 2016. If the actual project start date is different, proposed individuals may not be available. In this event, we will work with DIR to identify alternative personnel with appropriate skills and background.
- DIR will designate a primary project manager for this project. The DIR project manager will be expected to work closely with Gartner as needed and will: (a) approve project priorities, detailed task plans and schedules; (b) facilitate the scheduling of Gartner interviews with appropriate DIR or State agency personnel; (c) notify Gartner in writing of any project or performance issues; and (d) assist in resolving project issues that may arise.
- DIR will review and approve deliverables within timeframes agreed upon in this proposal or as agreed to during the project kickoff. If no formal approval or rejection is received within that time, the deliverable will be deemed acceptable by DIR. For each deliverable, the DIR project manager or designated representative will consolidate all deliverable feedback and edits into a single document for Gartner to incorporate into the final deliverable

# **Statement of Work**

## **Identity and Access Management Analysis**

### **Exhibit C – Changes to Scope**

#### **Changes to Scope**

The scope of this engagement is defined by the Statement of Work. In the event that changes to scope are required during the term of the contract, DIR will provide written notice to Gartner describing the changes required including as applicable the purpose, scope, timeline and any other unique requirements, constraints, and assumptions for the requested service. Any additional services must be directly related to the awarded scope and intent of the SOW. Gartner and DIR will mutually determine a timeline for Gartner to provide a work plan and pricing for the additional services. Any additional services shall be quoted as a deliverables-based IT service at a firm fixed price inclusive of any and all additional fees or charges. Pricing for such additional services shall be based upon hourly rates that were the basis of the contract award for DIR-SDD-2042. Those hourly rates shall be provided in Exhibit D Task Orders, Hourly Rates Table. A request for pricing does not constitute a notice to proceed. If DIR chooses to proceed, it and Gartner will execute the respective Task Order, authorizing in writing the additional services.

As used herein, “changes” are defined as work activities or work products not originally planned for or specifically defined by this SOW. By way of example and not limitation, changes include the following:

- Activities not specifically set forth in this SOW
- Providing or developing any deliverables not set forth in this SOW
- Any change in the respective responsibilities of Gartner and DIR set forth in this SOW, including any reallocation or any changes in engagement or project manager staffing
- Any rework of completed activities or accepted deliverables
- Any additional work caused by a change in the assumptions set forth in this SOW
- Any delays in deliverable caused by a modification to the acceptance criteria set forth in this SOW
- Any changes requiring additional research analyst time or changes to research analyst resources

## Statement of Work Identity and Access Management Analysis

### Exhibit D - Task Orders

Task Orders can be used to manage amendments to this SOW on a deliverables-based fixed fee basis. Amendments include additional deliverables-based services, extension to period of service, and any changes to the scope, services, timeline, or tasking of existing approved work. A sample Task Order template is provided below:

	<b>TASK ORDER FORM</b>	DIR: SOW #
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Purpose:  
Task Summary

<b>Task Order Number</b>	Task Order Number:	<b>Task Order Create Date</b>	
<b>Task Order Name</b>		<b>Task Order Total Cost</b>	
<b>Client Project Manager</b>		<b>Gartner Project Manager</b>	
<b>Task Order Approval By:</b>		<b>Task order Approval Date</b>	
<b>Task Order Objectives</b>	•		

#### Hourly Rates Table

For the purposes of any additional work that may be determined to be required as specified in Exhibit C – Changes to Scope, the following hourly rates shall apply for each staff role/function that may be required under this SOW.

The following hourly rates are exclusive of any required travel.

Role/Function	Hourly Rate
Managing Partner/Senior Managing Partner	472.50
Vice President	446.25
Senior Director	414.75
Director	383.25
Associate Director	320.25
Senior Consultant	257.25
Consultant	199.50
Associate Consultant	168.00

**Statement of Work**  
**Identity and Access Management Analysis**