



New! State Exchange System

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What is the SES??

- FedRAMP certified cloud storage
- Secure uploads and downloads
- Granular file-level access controls
- Selected vendor: Accellion
- Software: Kiteworks
- Provided by FTA for state use

Why Build the SES?

- Need has been growing over time
- Started with state-to-state data exchange for compliance programs
 - No uniform, consistent secure technology
- Made urgent by the Security Summit
 - Need for states to securely provide files to Industry partners in a standardized way
 - Letters of Intent (LOIs)
 - State schemas

Competitive Procurement

- Modeled after state procurement process
- Research into potential products/services
- Narrowed down to top three
- Scored against desired features/functions
- Interviews with companies
 - Experience in state government market
 - Experience with government accountability and audit
 - Willingness to work with implementation having multiple points of control

Procurement, cont.

- Accellion Kiteworks was recommended
- Purchase approved by FTA Board at the Annual Meeting in June
- 250 licenses in initial purchase
 - License is needed to store content
 - No license needed to read or download
- Initial funding provided by FTA
- No funding from non-state sources

Implementation: Governance Team

- One of two teams set up to plan and oversee implementation
- Governance: policy and oversight to ensure regulatory compliance and fairness across states
 - Allocation of licenses
 - System administration policy

Governance Team Members

- Terri Steenblock, Minnesota
- Tom Buonomo, Vermont
- Ruth Moore, California FTB
- Jeff Hancock, Indiana
- Doreen Warren, Idaho
- Staffed by Jonathan Lyon, John Feldmann, Ryan Minnick, and Terry Garber, FTA

Implementation: Technical Team

- Establish state implementation standards
 - Naming conventions for folders and files
 - Initial folder and file structures
 - Initial permissions scheme
- E-Standards consensus process
- Goal is to enable Jacob and Thomas to do initial implementation, to make system as turn-key as possible for states
- Their administrative rights would then be removed

Technical Team Members

- Chris Dahl, Minnesota
- Tanya Perry, Vermont
- Deb Dotzenrod, Iowa
- Pete Johann, Iowa
- Raja Sambandam, New Mexico
- Quon Chen, California FTB
- Jacob Dubreuil, FTA contractor
- Thomas Birdsong, Accellion
- Staffed by FTA

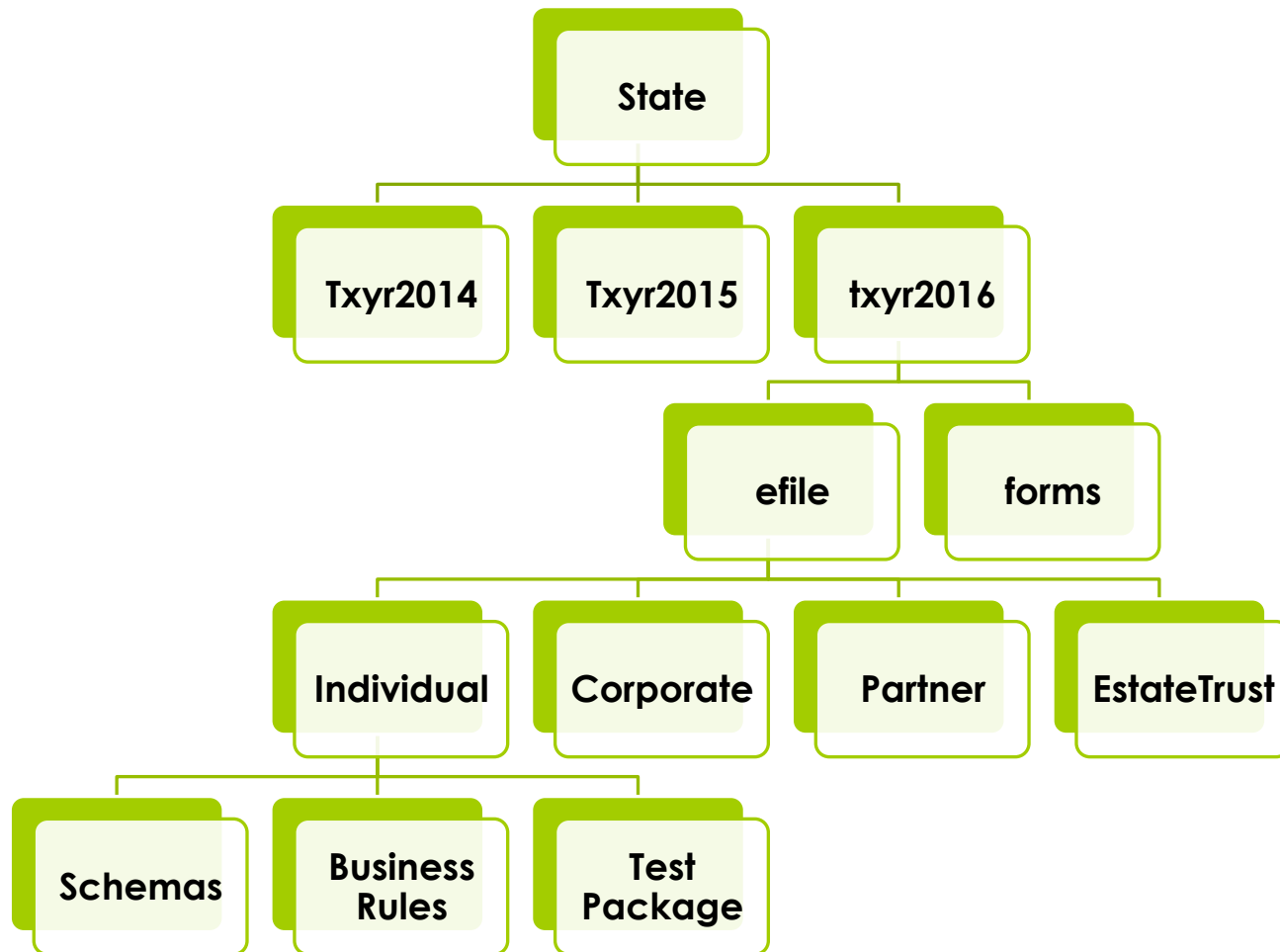
Functional Design

- One overall domain
- Within that, multiple independent state administrative sub-domains
- Each state has complete access control over its folders and files
- No user can “see” data in another sub-domain unless granted access
- FTA has its own sub-domain

Folder Structure Design

- Face it – there is no “perfect” structure
- Year within tax type or tax type within year is a matter of preference
- Technical team reached consensus on initial structure
- Comments welcome, but try it for this year
 - Please do not change standard structure

So show us already!!



State Administration

- Two licenses per state
- Must be assigned to individuals
 - Upload files
 - Grant and revoke permissions
 - Create any new folders for state use
 - Should be competent with simple technical functions
 - Not rocket science!
 - “SharePoint on steroids”

Scenario: Industry Approvals

- Industry partner has been approved
 - Known in the state, past support
 - New partner passes vetting process
- State user grants partner access to LOI for this tax year
- Industry Partner signs and returns LOI
- State user grants partner download access to schemas, business rules, test packages for appropriate tax type

Intentions and Cautions

- Intention to have system live for use by Friday August 26 so that states can load files by August 31
- Intention to next set up folders for State Feedback reports to Industry
- Caution: Industry Partners still have to go to each state to obtain files
- BUT – one system, one protocol

More Intentions and Cautions

- Intention to use SES for collaborative development of working documents
 - State, Industry, and FTA personnel actively working on the project
 - State would sponsor selected Industry individual for Contributor license
- Intention to use SES for state-to-state compliance exchanges such as SFE
- BUT – no PII or STI in the system until Kiteworks completes FedRAMP certification

Differentiation from the ISAC

- State control of administration
 - Flexibility to add folders and files
 - Direct control of access permissions
- “State sharing” is not within scope for first year of the ISAC
 - State system was needed now
- Who knows what the future will hold?



Questions?