Electric Reliability Council of Texas, Inc. (ERCOT)

Contract Administration and Procurement

Request for Proposal

For:

Remote Access Platform for Citrix and VDI 3-15 DW

Date of Release:

March 13, 2015
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1 GENERAL INFORMATION

1.1 RFP Objective
ERCOT is evaluating options to meet a new NERC CIP compliance requirement. Specifically, the requirement is addressed in the CIP-005-5 R2 standard. The enumerated requirements are:

1. Utilize an Intermediate System such that the Cyber Asset initiating Interactive Remote Access does not directly access an applicable Cyber Asset.
2. For all Interactive Remote Access sessions, utilize encryption that terminates at an Intermediate System.
3. Require multi-factor authentication for all Interactive Remote Access sessions.

The objective of this Request for Proposal (RFP) is to identify ERCOT’s next generation remote access platform to support streaming applications and a virtual desktop infrastructure for access into the Electronic Security Perimeter (ESP).

1.2 ERCOT Background

1.2.1 Overview of Electric Reliability Council of Texas, Inc.

Electric Reliability Council of Texas, Inc. (ERCOT) manages the flow of electric power to 24 million Texas customers - representing 85 percent of the state's electric load. As the independent system operator for the region, ERCOT schedules power on an electric grid that connects 41,500 miles of transmission lines and 550 generation units. ERCOT also performs financial settlement for the competitive wholesale bulk-power market and administers retail switching for 6.7 million premises in competitive choice areas. ERCOT is a membership-based 501(c)(4) nonprofit corporation, governed by a board of directors and subject to oversight by the Public Utility Commission of Texas and the Texas Legislature. Additional information about ERCOT can be found at: http://www.ercot.com/.

1.3 Strategic Elements

1.3.1 Contract Term
ERCOT intends to award a contract resulting from this solicitation for an initial term from date of award as necessary to fulfill the goals of this RFP.
Any contract issued as a result of this solicitation is subject to cancellation, without penalty, either in whole or in part, for breach of contract. Such contract may also be canceled by ERCOT for convenience upon a thirty (30) day written notice.

1.3.2 Contract Elements

The term "contract" means the contract awarded as a result of this RFP and all exhibits attached hereto. At a minimum, the following documents will be incorporated into the contract: this RFP and all attachments and exhibits; any modifications, addendum or amendments issued in conjunction with this RFP; and the successful Respondent’s proposal. Respondent, if selected, must execute ERCOT’s Master Agreement, attached hereto as Attachment A., The actual work to be performed and the compensation for such work will be documented in a Statement of Work. If the Respondent currently has an active Master Agreement with ERCOT, only a new Statement of Work will be required.

1.4 Basic Philosophy: Contracting for Results

ERCOT’S fundamental commitment is to contract for value and successful results. A successful result is defined as the generation of defined, measurable, and beneficial outcomes that support ERCOT’s Missions, Objectives, and Goals, and satisfies all defined contract requirements.

1.5 Legal and Regulatory Constraints

1.5.1 Conflicts of Interest

ERCOT seeks to ensure a level playing field in the award of the contract. ERCOT has implemented an aggressive policy concerning actual or potential conflicts of interest to ensure fair and open competition, and has included language concerning actual and potential conflicts of interest in Section 8 of the Master Agreement (Attachment A). Respondents must carefully review and understand this language when developing proposals.

1.5.2 Former Employees of ERCOT

The Respondent must disclose any past employment of its employees and agents, or its subcontractors’ employees and agents, by ERCOT, including the individual’s name and the date such individual’s employment at ERCOT ended.

1.5.3 Interpretive Conventions

Whenever the terms “shall,” “must,” “or “is required” are used in this RFP in conjunction with a specification or performance requirement, the specification or requirement is mandatory on the potential
vendor. ERCOT may, at its sole discretion, reject any proposal that fails to address or meet any mandatory requirement set forth herein.

Whenever the terms “can,” “may,” or “should” are used in this RFP in conjunction with a specification or performance requirement, the specification or performance requirement is a desirable, but not mandatory, requirement.

1.6 ERCOT Point of Contact

The sole point of contact for inquiries concerning this RFP is:

Diana Wang
2705 West Lake Drive
Taylor, Texas 76574
(512) 248-3994
Fax: (512) 248-3118
Diana.Wang@ercot.com

All communications relating to this RFP must be directed to ERCOT contact person named above. All other communications between a respondent and ERCOT staff concerning this RFP are prohibited. In no instance is a respondent to discuss cost information contained in a proposal with the ERCOT point of contact or any other staff prior to proposal evaluation. Failure to comply with this section may result in ERCOT’s disqualification of the proposal.

1.7 Procurement Timeline

<table>
<thead>
<tr>
<th>Procurement Timeline</th>
<th>Date</th>
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<tbody>
<tr>
<td>RFP Release Date</td>
<td>3/13/2015</td>
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<tr>
<td>Notice of Intent to Propose Due</td>
<td>3/27/2015</td>
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<tr>
<td>Vendor Questions Due</td>
<td>4/3/2015</td>
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<tr>
<td>Response to Vendor Questions Posted</td>
<td>4/10/2015</td>
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<tr>
<td>Vendor Proposals Due</td>
<td>4/17/2015</td>
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<tr>
<td>ERCOT To Announce POC Selection</td>
<td>5/8/2015</td>
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<tr>
<td>Vendor Proof of Concepts Complete</td>
<td>6/19/2015</td>
</tr>
<tr>
<td>Anticipated Contract Award</td>
<td>7/17/2015</td>
</tr>
</tbody>
</table>
Section 1 – General Information

1.8 Communications Regarding This Procurement
ERCOT reserves the right to amend this RFP at any time prior to the proposal submission deadline. Any changes, amendments, or clarifications will be made in the form of responses to vendor questions, amendments, or addendum issued by ERCOT and sent to the point of contact listed on the notice of intent to propose. Vendors not submitting the Notice of Intent to Propose will not receive changes, amendments or answers to questions regarding this Request For Proposal.

1.9 RFP Cancellation/Non-Award
ERCOT reserves the right to cancel this RFP, or to make no award of a contract pursuant to this RFP.

1.10 Right to Reject Proposals
ERCOT may, in its discretion, reject any and all proposals, submitted in response to this RFP.

1.11 No Reimbursement for Costs of Proposals
ERCOT will not reimburse any respondent for costs of developing a proposal in response to this RFP.
2 SCOPE AND REQUIREMENTS

2.1 Current Baseline Environment and Standards
ERCOT maintains two Citrix environments. The legacy environment utilizes Citrix 4.5 Presentations servers, which reside on physical blades running Windows Server 2003. The other environment utilizes Citrix 6.5 XenApp servers, which reside on VMware virtual machines running Windows Server 2008. Both environments are front-ended with Citrix NetScaler devices. ERCOT does not currently maintain a VDI environment.

2.2 Project Scope Overview
ERCOT intends to complete this initiative in three waves over the next two years:

Wave One:
- Deploy a new hardware platform sufficient to accommodate the requirements of this RFP. The platform will be disparately distributed between two production datacenters and one development/test datacenter.
- Migrate ~300 Business, Operations, and Infrastructure users to a Citrix XenDesktop VDI solution
- Decommission ~60 Citrix 4.5 Presentation servers, running Windows 2003, and migrate their functionality to a new system

Wave Two:
- Decommission ~250 Citrix 6.5 XenApp servers, running Windows 2008R2, and migrate their functionality to a new system
- Expand systems procured during Wave One to accommodate these capacity requirements

Wave Three:
- Migrate the remainder of the user population to Citrix XenDesktop VDI. This will include ~800 users
- Expand systems procured during Wave One to accommodate these capacity requirements

Through this RFP, ERCOT expects to select a solution that can provide a stable and highly-available storage, network, and compute infrastructure, with hardware and software elements that will remain relevant for the next five to seven years. The chosen solution must provide the ability to scale to
accommodate the total capacity requirement of the existing Citrix 4.5 and 6.5 environments, along with the new XenDesktop environment.

ERCOT will focus on vendors that best meet the defined technical requirements and professional service capabilities. ERCOT’s primary areas of interest include:

- Assistance in identifying capacity requirements for each of the three waves mentioned above. Each wave will procure the hardware necessary to accommodate that specific wave’s requirement.
- x86 server architectures - converged, reference, or hyperconverged, with an emphasis on hyperconverged
- Hypervisor agnostic solution capable of supporting both XenServer and VMware ESXi
- Ability to leverage a GPU for graphics acceleration. Example – NVIDIA GRID K1 & K2 cards, enabling multiple Virtual Machines to have simultaneous, direct access to a single physical GPU, using the same graphics drivers that are deployed on non-virtualized Operating Systems.
- x86 server hardware / platform deployment options and scalability (blade chassis, rack mountable, and standalone servers)
- Server management tools (server or image provisioning, performance management, configuration management, patch management, capacity planning, data extract / reporting, and orchestration)
- Infrastructure virtualization
- Hardware and software maintenance costs and support options

Professional Services for architectural design and capacity planning. ERCOT will require the assistance of a Professional Services team to help with defining actual capacity requirements prior to the platform purchase. ERCOT believes the current environment is overbuilt and underutilized. The desire is to purchase capacity that is more in line with actual requirements.

2.2.1 Architecture

The platform must be a Citrix Ready or Citrix Certified XenApp/XenDesktop solution that the respondent can prove has worked in other environments of similar or larger size. ERCOT requires a proven solution with a successful track record for streaming application and VDI deployment. The RFP response must include at least two reference accounts where similar proposals were implemented.

While this particular implementation is focused on Citrix remote access, the platform should be capable of supporting other applications and business requirements. The chosen platform must be capable of supporting both the XenServer and VMware ESX hypervisor. For this implementation, ERCOT will likely
leverage the XenServer hypervisor; however, VMware ESX may be required for other solutions that are not related to Citrix, at a later date. ERCOT understands that both hypervisors cannot run concurrently on a system; we simply require that the hardware support these two hypervisor technologies.

The solution will preferably be hyperconverged, converged, or reference architecture, with an emphasis on hyperconverged. Hyperconverged is appealing due to perceived VDI performance, the lack of SAN components, ease of management, and ability to scale. All components, to include Citrix XenApp, Citrix XenDesktop, the hypervisor, storage, storage network, IP network, and compute must be certified to interoperate together. This will ensure guaranteed compatibility between vendors for hardware configurations and software/firmware updates. All software, hardware, and firmware updates must be vetted by the infrastructure vendors, certified to interoperate with all other components of the system, and released to ERCOT in one certified package, with specific instructions on how to perform the upgrade. The solutions provider must also have the capability to perform system upgrades, should ERCOT require that service.

ERCOT maintains three disparate datacenters; two for Production, and one for Development and Testing. The proposed solution must include a system at each datacenter that can operate autonomously of the other systems. The Development and Test system(s) would be used for application, code, patching, firmware, and change testing. The Production systems operate in an active/passive configuration. In the event of an active system failure, the passive system must be capable of accepting the full system load after an application failover has occurred. Because of this, both Production systems must be configured identically from every perspective.

2.2.2 High Availability

Because of the importance of the ERCOT’s business, the proposed system must be highly resilient and fault tolerant. There must be no single points of failure, with redundancy at every level, to include storage, compute, and network. The chosen solution will consist of an “A” side and a “B” side at each datacenter location for high availability. In the event of an “A” side failure, the “B” side must have the ability to seamlessly resume operations.

The system must be architected to mitigate most hardware failures. No single event, whether hardware or software related, will have the capability of bringing the entire system down. Redundancy, stability, and high-availability are the paramount considerations for this solution. It cannot be stressed enough...
that the proposed solution must be resilient enough to host the applications that support ERCOT’s business.

Below is a conceptual example of a highly-available infrastructure that could potentially meet ERCOT requirements. If the proposed solution is hyperconverged, the understanding is that storage will reside within the compute node:

The solution must also address technical/performance challenges and concerns that apply to VDI deployments, such as boot storms, data deduplication, scaling without performance impact (e.g. adding VDIs does not impact performance of existing VDIs), IO contention, service disruptions, data protection, disaster recovery, etc.

### 2.2.3 Virtualization

To comply with ERCOT’s availability requirement, the system must support live migrations, which allows the movement of an entire running virtual machine from one physical server to another, without downtime. The virtual machine must retain its network identity and connections, ensuring a seamless migration process. The migration will transfer the virtual machine’s active memory and precise execution state over a high-speed network, allowing the virtual machine to switch from running on the source host to the destination host. The entire process must take less than two seconds over a high-speed network.

### 2.2.4 Scalability

Scalable capacity is a mandatory requirement of this initiative. The system must be capable of incrementally scaling with minimal, if any, disruption to service.

### 2.2.5 Monitoring
The solution must have robust monitoring capabilities to provide a global view of the health of the system in its entirety. The solution must also be capable of providing monitoring capabilities at the host and guest level, along with hardware-level statistics. The monitoring solution will provide ERCOT with canned and custom dashboards that provide statistics such as CPU/Memory/Storage/Network health.

If any components of the infrastructure fails or is operating in a degraded state, an alert must be generated and disseminated in some form via email, pager, or cell phone, and a dashboard must reflect the impaired state. Administrators will be able to “drill down” from the virtual server, through all dependencies, to identify the faulty or impaired infrastructure component to facilitate quick remediation.

2.2.6 Interoperability
ERCOT utilizes Cisco datacenter networking components for all IP traffic; therefore, the proposed solution must be interoperable with Cisco equipment.

2.2.7 Management and Automation
The proposed solution must incorporate advanced management capabilities that provides ERCOT systems administrators the ability to quickly and confidently make configuration changes to any component of the system through a centralized management interface. Administrators must be able to deploy and manage physical and virtual systems and update software and firmware for all components through this interface. Additionally, the solution must be capable of integrating with 3rd party automation tools, such as Puppet and Microsoft Systems Center Orchestrator.

The ability to customize reports to gather performance/capacity statistics, configuration data, and inventory information is important to ERCOT – the proposed solution must be able to support and demonstrate this requirement. The preferred solution will provide ERCOT the ability to perform queries from external Business Intelligence tools for custom reporting.

2.2.8 Storage Requirements
The storage solution shall provide continuous access at the local site in the event of a storage component failure through redundancy, mirroring, clustering, or other high availability techniques. The storage solution must demonstrate consistent low latency performance. The solution should include any Storage Area Network (SAN) infrastructure required.
Section 2 – Scope and Requirements

2.3 General Capacity Requirements

As discussed in Section 2.2, ERCOT will execute the migration in three waves. Capacity to support each wave will be procured prior to that wave’s execution. Each wave’s high-level capacity requirements are enumerated below. The expectation is that the proposed solution will be capable of scaling to accommodate each wave’s capacity requirement without significant investment, system re-architecture, or system overhaul.

- **Wave One** - ERCOT will migrate about 300 users to the proposed solution, with each user configured with (2) virtual cores, 4GB RAM, and 32GB storage. As part of this wave, ERCOT will also migrate ~60 Citrix 4.5 Presentation servers to the proposed solution. Each Presentation server is configured with (4) cores, 4GB RAM, and 100GB storage. The ~60 servers are split between two datacenters. The proposed solution must be capable of providing similar capacity, following an even split between datacenters (e.g. 30 in the Taylor Datacenter and 30 in the Bastrop Datacenter), keeping in mind the high availability requirements outlined in Section 2.2.

  Wave One will also include a separate Dev/Test system. This system must be configured identically from a hardware/software perspective, minus the high availability requirements specified in Section 2.2. The capacity requirements for the Dev/Test system must be reasonable enough to accommodate (15) XenApp Servers and (10) XenDesktop servers. This system will be used to test new applications, firmware/software upgrades, and major configuration changes.

- **Wave Two** – ERCOT will migrate ~200 Citrix 6.5 XenApp servers to the proposed solution. Each XenApp server is configured with (4) cores, 4GB RAM, and 100GB storage. The ~200 servers are split between two datacenters. The proposed solution must be capable of providing similar capacity, following an even split between datacenters (e.g. 100 in the Taylor Datacenter and 100 in the Bastrop Datacenter), keeping in mind the high availability requirements outlined in Section 2.2.

- **Wave Three** – ERCOT will migrate the remaining 800 users to VDI on the proposed solution, with each user configured with (2) virtual cores, 4GB RAM, and 32GB storage

2.3.1 Additional Guidance

- Reference the diagram in section 2.2 under the High Availability section. No single event shall render any system unavailable. The solution must be architected to withstand a server, chassis, power, network, storage failure, etc…

- Use the capacity requirements above as a general guideline when pricing the solution. This will provide ERCOT with an estimation of what a one-for-one system replacement will cost. Prior to
Section 2 – Scope and Requirements

contract execution, ERCOT will work with the chosen solutions provider to adequately scale the solution based on actual user and capacity requirements.

- The proposal must include a cost-per-wave estimation. Keep in mind, ERCOT will initially only procure the capacity required to fulfill the requirements of Wave One.

2.3.2 In their responses to this RFP, respondents must describe in detail the methodology and approach to meeting the requirements of this RFP

2.3.3 The proposal must include a cost-per-wave estimation. Keep in mind, ERCOT will initially only procure the capacity required to fulfill the requirements of Wave One.

2.3.4 Respondents must provide a cost breakdown for each component within the proposal

2.3.5 The proposal must include a line item for professional services required to architect, install, configure, and prepare the system for VDI and Presentation Server migrations

2.3.6 Respondents must include a Gantt chart or Project schedule for completing each set of deliverables, key milestones, or scope requirement described herein.

2.3.7 The awarded supplier must provide a Project Manager or lead who has decision-making authority and will assume responsibility for coordination, control, and performance of this effort.

2.3.8 Any changes to key personnel associated with the subsequent contract must be submitted in writing and approved in writing by ERCOT.

2.3.9 The awarded supplier must provide an organizational chart and list of the supplier’s corporate chain-of-command, as well as any established procedures for contacting individuals within that chain-of-command.

2.4 Deliverables

2.4.1 The deliverables associated to this RFP must meet the requirements set forth in sections 1 and 2, which includes the hardware and software requirements (delivered in Waves 1, 2, & 3) and needs, in addition to the following:

2.4.2 Onsite training for 10 ERCOT resources. This includes training for SAN, Compute, and Network infrastructure administration, in addition to tools and resources required to manage and monitor the entire solution.

2.4.3 Requirements for Support and Service Warranty:

- Provide detailed information regarding support and warranty services (i.e. Gold, Silver, Bronze)
2.5 Proof of Concept

At completion of the RFP evaluation, a subset of vendors will be chosen to provide POC (Proof of Concept) hardware/software to ERCOT. The POC will provide vendors with an opportunity to demonstrate how their solution meets the proposal requirements. ERCOT anticipates the duration of the POC to last about four weeks. To expedite the configuration of the POC hardware/software, ERCOT requests an onsite engineer for one week. The proposed agenda will be provided to the selected vendors prior to the POC engagement. Travel and expenses for ERCOT personnel will be ERCOT's responsibility. The agenda is subject to change at the discretion of ERCOT.
Section 3 – General Requirements

3 GENERAL INSTRUCTIONS AND RESPONSE REQUIREMENTS

3.1 Notice of Intent to Propose
A prospective vendor may submit a Notice of Intent to Propose to the ERCOT Point of Contact identified in Section 1.6 no later than 5:00PM Central Time on the date listed in the Section 1.7 Procurement Timeline. The Notice of Intent should consist of an email stating that the prospective vendor intends to submit a proposal for this procurement. Only vendors who submit a Notice of Intent to Propose will receive the answers to questions from all vendors, and/or any clarifications, amendments, and addenda to the Request For Proposal. Vendors who provide a Notice of Intent are not obligated to submit proposals after submitting the NOI, but must submit a response to be considered for an award.

3.2 Vendor Questions and Comments
All questions and comments regarding this RFP must be submitted electronically to the e-mail address contained in Section 1.6 (ERCOT Point of Contact). All questions must reference the appropriate RFP page and section number. In order to receive a response, vendor questions and comments must be received no later than the deadline set forth in Section 1.7 (Procurement Timeline). Inquiries received after the due date may be reviewed by ERCOT but will not receive a response. Answers to vendor questions will be e-mailed to the point of contact listed on the Notice of Intent to Propose. A respondent must inquire in writing as to any ambiguity, conflict, discrepancy, exclusionary specification, omission or other error in this RFP prior to submitting a proposal. If a respondent fails to notify ERCOT of any error, ambiguity, conflict, discrepancy, exclusionary specification or omission, the respondent shall submit a proposal at its own risk and, if awarded the contract, shall have waived any claim that the RFP and Master Agreement were ambiguous and shall not contest ERCOT’s interpretation. If no error or ambiguity is reported by the deadline for submitting written questions, the respondent shall not be entitled to additional compensation, relief or time by reason of the error or its later correction.

ERCOT reserves the right to amend answers prior to the proposal submission deadline.

3.3 Modification or Withdrawal of Proposal
Proposals may be withdrawn from consideration at any time prior to the award of contract. A written request for withdrawal must be made to the ERCOT Point of Contact (Section 1.6).
Section 3 – General Requirements

A respondent has the right to amend its proposal at any time and to any degree by written amendment delivered to the ERCOT Point of Contact prior to the proposal submission deadline. ERCOT reserves the right to request an amendment to any part of the proposal during negotiations.

3.4 News Releases

A respondent may not issue press releases or provide any information for public consumption regarding its participation in this procurement without specific, prior written approval of ERCOT.

3.5 Incomplete Proposals

ERCOT may reject without further consideration any proposal that is not completely responsive to this RFP.

3.6 ERCOT Use of Vendor Ideas

- ERCOT reserves the right to use any and all ideas presented in any proposal that are not the respondent’s proprietary information and so designated in the proposal. The respondent’s proprietary materials do not include information that is already published or available to the public, or subsequently becomes available;
- is received from a third party who, to ERCOT’s knowledge, is not in breach of any obligation of confidentiality; or
- is independently developed by personnel or agents of ERCOT without reliance on the respondent’s proprietary materials;

3.7 Additional Information

By submitting a proposal, the respondent grants ERCOT the right to obtain information from any lawful source regarding: (i) the past business history, practices, conduct and ability of a respondent to supply goods, services and deliverables; and (ii) the past business history, practices, conduct and ability of the respondent’s directors, officers and employees. ERCOT may take such information into consideration in evaluating proposals.

3.8 Instructions for Submitting Proposals

3.8.1 Submission

Submit all copies of the proposal to the ERCOT Point of Contact no later than 2:00 p.m. Central Time on the submission deadline (See Section 1.6 & 1.7). The proposal must be signed by an authorized representative of the respondent and submitted electronically via email—the file must not exceed 20MB.
Section 3 – General Requirements

If this size restriction cannot be met, multiple e-mails may be sent, but respondent must indicate how many emails ERCOT should anticipate (i.e. email 1 of 3). ERCOT reserves the right to disqualify late proposals.

3.8.2 Additional Requirements

All proposals must be:

- Clearly legible;
- Sequentially page-numbered;
- Organized in the sequence outlined in Section 3.9 and 3.9.1;
- Limited to 50 pages (excluding ERCOT required forms);
- Responsive to the requirements of this RFP;
- Proposals should include the respondent's name at the top of each page, and should not include unrequested materials or pamphlets.

3.9 Format and Content

The proposal must consist of two separate parts and must be sent in two separate attachments:

- Part 1 – Business Proposal; and
- Part 2 – Cost Proposal.

3.9.1 Part 1 -- Business Proposal

The Business Proposal must include:

- Section 1 – Transmittal Letter;
- Section 2 – Executive Summary;
- Section 3 – Corporate Background and Experience;
- Section 4 – Methodology and Services Approach;
- Section 5 – Assumptions;
- Section 6 – Appendices;
- Section 7 – Vendor Information and Other Required Forms.

Section 1 – Transmittal Letter

Respondents must include a transmittal letter printed on official company letterhead. The letter must be signed by an individual authorized to legally bind the respondent.

The transmittal letter must include:
Section 3 – General Requirements

- Disclosure of all pending, resolved, or completed litigation, mediation, arbitration, or other alternate dispute resolution procedures involving the respondent (including subcontractors,) and its client(s) within the past 24 months.
- Disclosure of all affiliations with or ownership relationships with any ERCOT Market Participant or its affiliates.
- A description of any personal or business interest that may present an actual, potential or apparent conflict of interest with the performance of the contract and an explanation of how the respondent can assure ERCOT that these relationships will not create an actual conflict of interest.
- A list of key personnel previously employed by ERCOT in accordance with the requirements of Section 1.5.2.
- A complete list of all exceptions, reservations and limitations to the terms and conditions of the RFP and the Master Agreement.

The following Records and Information Management (RIM) RFP questions must be answered:

- Does the solution include an application that will generate electronic information to be saved or stored within such application, whether hosted off-site or within ERCOT’s current IT infrastructure?
  - If YES, Proceed to question 2
  - If NO, No further questions required as this does not pose any RIM Program concerns
- Does your solution utilize and proprietary electronic document formats?
  - If YES, Provide additional detail for RIM evaluation (what format(s) and access requirements)
  - If NO, Provide additional detail for RIM evaluation (what format(s))
- Can your product meet ERCOT’s RIM program requirements\(^1\) for Records and information generated or stored by the system including destruction at the end of their lifecycle?
  - If YES, Provide additional detail for RIM evaluation
  - If NO, Initiate additional discussion

\(^1\) RIM program requirements include purging Records and non-record information based on current business requirements and the retention requirements found in ERCOT’s Records Retention Schedule.

Section 2 -- Executive Summary
In this section, the respondent should condense and highlight the content of the Business Proposal to provide ERCOT with a broad understanding of the respondent’s approach to meeting ERCOT’s objectives for this procurement.

**Section 3 – Corporate Background and Experience**

**Respondent Background and Experience**

This section details the respondent’s corporate background and experience. If the respondent proposes to use subcontractor(s), it must describe any existing on going relationships with such subcontractor(s), including project descriptions. The section should include the following information:

- Respondent’s full organization, company or corporate name;
- Headquarter address;
- Type of ownership (e.g. partnership, corporation);
- If respondent is a subsidiary or affiliate, the name of parent organization;
- State where the respondent is incorporated or otherwise organized to do business;
- Federal taxpayer identification;
- Name and title of person who will sign the contract; and
- Name and title of person responsible for responding to questions regarding the proposal, with telephone number, facsimile number and email address.

Describe the respondent’s corporate background as it relates to projects similar in scope and complexity to the project described in this RFP.

If the proposal includes the use of subcontractors, include a similar description of the subcontractor’s corporate background.

Include at least three (3) references for projects performed within the last five (5) years that demonstrate the respondent’s ability to perform the required RFP services. Include contract dates and contact parties, with address, telephone number and e-mail, if available. If the work was performed as a subcontractor, the respondent must describe the scope of subcontracting activities.
Section 3 – General Requirements

**Key Personnel**
Identify and describe the respondent's proposed labor skill set and provide resumes of all proposed key personnel (as defined by the respondent). Resumes must demonstrate experience germane to the position proposed. Resumes must list any relevant professional designations for key personnel identified by Respondent. Resumes should include work on projects cited under the respondent’s corporate experience, and the specific functions performed on such projects.

**Section 4 – Methodology and Services Approach**
Describe the respondent's methodology for providing the deliverables identified in Section 2. Include a proposed project schedule, illustrating start and finish dates of the terminal and summary elements identified in Section 2 or proposed by the vendor.

**Section 5 -- Assumptions**
State any business, economic, legal, or practical assumptions that underlie the respondent’s Business Proposal.

**Section 6 -- Appendices**
Include any appendices to the respondent’s Business Proposal.

**Section 7 – Vendor Information and Other Required Forms**
Respondents must complete the following required forms:
- Nondisclosure Statement (Attachment B)
- Vendor information form (Attachment C)
- Except for current ERCOT suppliers who have an active Master Agreement with ERCOT or who have completed the Vendor Information Form (VIF) within the last six months, all Respondents must provide a completed Supplier Vendor Information Form, attached hereto as Attachment C along with the proposal.
- If the anticipated contract value with ERCOT is equal to or >$250,000.00, the respondent must include the most recent two (2) years audited financial statements (include unaudited statements if supplier is unaudited). Publically held companies must include or provide a link to the most recent Forms 10-K and 10-Q filings.
Section 3 – General Requirements

3.9.2 Part 2 – Cost Proposal

The Cost Proposal must be based on the Scope of Work described in Section 2. This section should include any business, economic, legal or practical assumptions that underlie the Cost Proposal.

Respondents may separately identify cost-saving and cost-avoidance methods and measures and the effect of such methods and measures on the Cost Proposal and Scope of Work.

Respondents must utilize the Cost Proposal table format listed below for submitting your Cost Proposal. However, respondents may propose optional cost proposals if such proposals are more cost effective (IE. Time and Materials cost structure, etc.) for ERCOT.

<table>
<thead>
<tr>
<th>Project Deliverables and Costs</th>
<th>Estimated Number of Hrs to Complete</th>
<th>Total Cost</th>
</tr>
</thead>
<tbody>
<tr>
<td>Deliverable 1 – Hardware and software cost breakdown.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Wave 1</td>
<td>XX</td>
<td>$0.00</td>
</tr>
<tr>
<td>Wave 2</td>
<td>XX</td>
<td>$0.00</td>
</tr>
<tr>
<td>Wave 3</td>
<td>XX</td>
<td>$0.00</td>
</tr>
<tr>
<td>Deliverable 2 – Onsite training for 10 ERCOT employees</td>
<td>XX</td>
<td>$0.00</td>
</tr>
<tr>
<td>Deliverable 3 – Support and Service</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Warranty as required in 2.4.3 (Please provide details of the cost model)</td>
<td>XX</td>
<td>$0.00</td>
</tr>
</tbody>
</table>

| TOTAL FIXED COST: | | $0.00 |

3.10 Multiple Responses

A respondent may submit more than one proposal, including a joint proposal with one or more respondents.
Section 3 – General Requirements

3.11 Joint Proposals

Two or more companies may join together and submit a joint proposal in response to this RFP. A joint proposal must completely define the responsibilities each company proposes to undertake. Also, the joint proposal must designate a primary respondent who will be responsible for the delivery of all goods, services and requirements as specified in the RFP, and a single authorized official from the primary respondent to serve as the sole point of contact between ERCOT and the joint proposers. Any contract resulting from a joint proposal must be signed by an authorized agent or officer of each company. Each company included in the submission of a joint proposal will be jointly and severally liable during the term of the contract.
4 Evaluation

4.1 Evaluation of Proposals
ERCOT will select the successful vendor through an internal evaluation process. ERCOT will consider capabilities or advantages that are clearly described in the proposal, which may be confirmed by oral presentations, site visits or demonstrations if required, and verified by information from reference sources contacted by ERCOT. ERCOT reserves the right to contact individuals, entities, or organizations that have had dealings with the respondent or staff proposed for this effort, whether or not identified in the proposal.

4.2 Evaluation Criteria
The primary criteria for evaluating the proposals as they relate to this RFP are as follows:
1. The vendor’s ability to meet the requirements set forth in Section 2.
2. The vendor’s fees or cost structure.

4.3 Oral Presentations and Site Visits
ERCOT may, at its sole discretion, request oral presentations, site visits, and/or demonstrations from one or more respondents. ERCOT will notify selected respondents of the time and location for these activities, and may supply agendas or topics for discussion. ERCOT reserves the right to ask additional questions during oral presentations, site visits, and/or demonstrations to clarify the scope and content of the written proposal, oral presentation, site visit, or demonstration.

4.4 Discussions with Respondents
ERCOT may, but is not required to, conduct discussions and negotiations with all, some, or none of the respondents for the purpose of obtaining the best value for ERCOT.
5 Attachments

5.1 Attachment A - ERCOT Standard Agreement

ERCOT Master Agreement

Professional Service Agreement

5.2 Attachment B – Non-Disclosure Agreement

Non-disclosure Agreement

5.3 Attachment C - Vendor Information Form and W-9 Form

New Vendor Information and W-9 form

Vendor Information Form 05 14 12.doc