Electric Reliability Council of Texas, Inc. (ERCOT)
Contract Administration and Procurement

Request for Proposal
For
Identity & Access Management_10-16_LS

Date of Release: October 10, 2016
1. GENERAL INFORMATION

1.1 RFP Objective
The objective of this RFP is to identify and contract with a qualified vendor to provide a single, integrated software solution for Identity & Access Management as well as Identity Governance.

The scope of the system includes the following major functions:

- General Identity & Access Management
- Connectivity to ERP
- Workflow for Onboarding, Job Transfers, and Terminations of Employees, Contractors, and Interns
- Centralized Repository for all account lifecycle management
- Account management for provisioning access to applications, servers, network devices, and databases
- Directory services
- User Self Service Capabilities
- Single Repository for all roles and entitlements
- Role Analytics and Management
- Integration with on-premise applications as well as SaaS applications
- Risk Modeling for accounts provisioned access to sensitive information, applications, and assets
- Policy management for Segregation of Duties, Password Policies, etc.
- Authentication and Authorization
- Certifications for accounts, roles, and entitlements
- Audit and Compliance
- Reporting
- Privilege Account Management and Integration
- Identity Relationships
Section 1 – General Information

ERCOT seeks a solution that will provide:

• Integration with our WorkDay for onboarding, job transfers, and exiting of employees, contractors, and interns
• Controlling access to network and instantaneously update accounts in a complex enterprise environment including employees, contractors, temporary staff, leave of absence, and returning employees
• Provisioning of access with enterprise birthrights and department-birthrights based on attributes associated with identity in the WorkDay system
• Centralized management for all identity and access to assets regardless of platform
• Centralized auditing and reporting
• Management of credentials, authentication, authorization, and privileges for ERCOT employees, contractors, temporary workers, and Market Participants
• Protecting and monitoring user access, and Segregation of Duties
• Certifications and attestations for user access, roles, and entitlements
• Compliance with NERC-CIP Requirements
• Implement automated, repeatable processes, workflows, analytics, and self-service
• Export and import of data for analysis and integration with other applications
• Business-friendly user interface for both network connected and mobile access for workflows
• Integration with on-premise and off-premise applications
• Integration and governance for privileged or elevated access accounts
• Integration with multiple user stores while asset migration is performed
• Minimum customization of IAM for enterprise implementation
• Reliable and responsive support from Vendor and Vendor Partner performing the implementation of the solution
Due to the complexity, ERCOT will consider the following variations, which may be submitted as separate proposal scenarios. These possible solutions should be denoted in the “Cost Proposal” sections.

**Scenario 1:**
A single or fully-integrated on-premise appliance-based (physical or virtual) solution that provides all of the functions and features for the desired categories listed above. Implementation and ERCOT staff training costs for this approach should also be included.

**Scenario 2:**
A single or fully-integrated on-premise non-appliance based solution that provides all of the functions and features for the desired categories listed above. Implementation and ERCOT staff training costs for this approach should also be included.

**Scenario 3:**
A single or fully-integrated hybrid (on-premise and cloud) solution that provides all of the functions and features for the desired categories listed above. Implementation and ERCOT staff training costs for this approach should also be included.

**Scenario 4:**
A single or fully-integrated cloud solution that provides all of the functions and features for the desired categories listed above. Implementation and ERCOT staff training costs for this approach should also be included.

### 1.2 ERCOT Background

#### 1.2.1 Overview of Electric Reliability Council of Texas, Inc.

The Electric Reliability Council of Texas (ERCOT) manages the flow of electric power to 24 million Texas customers, representing approximately 90 percent of the state’s electric load. As the Independent System Operator for the region, ERCOT schedules power on an electric grid that connects more than 43,000 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 7 million premises in competitive choice areas. ERCOT is a membership-based 501(c)(4) nonprofit corporation
Section 1 – General Information

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/](http://www.ercot.com/).

1.3 Strategic Elements

1.3.1 Contract Term

ERCOT intends to award a contract resulting from this solicitation for a term 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 a 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 was 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. 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 denoted 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. 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 for 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:

Lisa Sanchez
2705 West Lake Drive
Taylor, Texas 76574
(512) 248-6544
Fax: (512) 248-3118
Lisa.Sanchez@ercot.com

All communications relating to this RFP must be directed to the specified ERCOT contact person. All other communications between a respondent and ERCOT staff concerning this RFP are prohibited. Failure to comply with this section may result in ERCOT’s disqualification of the proposal.
Section 1 – General Information

1.7 Procurement Timeline

<table>
<thead>
<tr>
<th>Procurement Timeline</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>RFP Release Date</td>
<td>Monday, October 10, 2016</td>
</tr>
<tr>
<td>Optional Notice of Intent to Propose Due</td>
<td>Monday, October 17, 2016</td>
</tr>
<tr>
<td>Vendor Questions Due</td>
<td>Thursday, October 20, 2016</td>
</tr>
<tr>
<td>ERCOT Response to Vendor Questions Posted</td>
<td>Thursday, October 27, 2016</td>
</tr>
<tr>
<td>Vendor Proposals Due</td>
<td>Thursday, November 3, 2016</td>
</tr>
<tr>
<td>Vendor Presentations</td>
<td>Week of November 28 and December 5, 2016</td>
</tr>
<tr>
<td>Anticipated Contract Award</td>
<td>February, 2017</td>
</tr>
<tr>
<td>Anticipated Contract Start Date</td>
<td>March, 2017</td>
</tr>
</tbody>
</table>

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 Project Scope Overview

ERCOT requires an Identity & Access Management solution that provides the functions and capabilities detailed in the ERCOT IAM Products Requirements Excel spreadsheet. It is preferred the software is implemented as an on-premise solution utilizing appliances (virtual or physical). Alternate implementations such as hybrid (on-premise & Cloud) and Cloud solutions will be considered. The project effort will include planning, role analytics, LDAP design, data conversion, and integration with selected applications, user training, execution, and continuing support once operational. Implementation will be a multi-phase effort with different corporate functions converting sequentially. The planning effort is targeted to occur in February to June of 2017 with the implementation occurring over the following 6-9 + months beginning in July 2017. The implementation timeline may be adjusted if needed.

2.1.1 Overview of Current Applications

2.1.1.1 Current IDM Services Diagram

<table>
<thead>
<tr>
<th>Authoritative Source</th>
<th>Identity Management</th>
<th>User Provisioning</th>
<th>Authentication</th>
<th>Authorization</th>
<th>Certification &amp; Monitoring</th>
<th>Audit &amp; Reporting</th>
</tr>
</thead>
<tbody>
<tr>
<td>Contract Lifecycle Management</td>
<td>WaveSet</td>
<td>Active Directory</td>
<td>Alliance-Employee Assistance Pgm</td>
<td>SharePoint</td>
<td></td>
<td>Manual Processes</td>
</tr>
<tr>
<td>IDM</td>
<td>JIRA</td>
<td>Remedy</td>
<td>Excel Spreadsheets</td>
<td>CyberArk</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Active Directory</td>
<td>Applications</td>
<td>Databases</td>
<td>Concur</td>
<td>EthicsPoint</td>
<td></td>
<td></td>
</tr>
<tr>
<td>SAP Fieldglass</td>
<td>UCMDB</td>
<td>SAP Fieldglass</td>
<td>CyberArk</td>
<td>Cognos</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
All Compliance Reporting is obtained by extracting data from assets, Remedy, and JIRA.
2.1.1.3 Current MPIM Topology Diagram

2.1.1.4 Current Software

The software currently installed is:

Sun IDM 8.1 (2 Production Systems Implemented)

- One for ERCOT staff, contractors, and temporary staff (referred as IDM)
- One for Market Participants referred to as MPIM

IDM:

- Connector from ERCOT Employee ERP to SUN IDM
- Connector from Contractor ERP to Sun IDM
- Connector from Sun IDM to Active Directory
- ERCOT’s Identity Management system connectors for new hire & terminated employee data is performed via a published SOAP/HTTPS Web Services pulled by ERCOT’s TIBCO Business Works integration service. This data pull will occur on a periodic basis, (currently 4 times daily).

MPIM:

- Connector from Siebel to identify Market Participants
- Verisign Digital Certificates are deployed to Market Participant computers
2.1.1.5 Target State

2.1.2 Key Elements for New Solution

2.1.2.1 Proof of Concept
Once preferred Vendor is selected, ERCOT will define high-level Use Cases that the Vendor must provide a Proof of Concept prior to ERCOT engaging in contract negotiations.

2.1.2.2 Software subscription or purchase
Vendor or vendor partner to provide software & hosting or software and recommendations for hardware and is responsible for the installation.
Section 2 – Scope and Requirements

2.1.2.3 Implementation Plan

2.1.2.3.1 Vendor to provide expertise and key personnel to plan with ERCOT items listed in this section, 2.1.2 Key Elements for New Solution, as well as the rest of the RFP. Deliverables will include jointly developed plans for each.

2.1.2.3.2 Vendor to provide expertise and key personnel to design infrastructure, system requirements, configuration and network design to provide high-availability capabilities. All design and implementation of production environments must support 99.999 availability. The design must include utilizing both ERCOT datacenters.

2.1.2.3.3 Vendor to provide and maintain documentation related to Design, System Requirements, Operational Run Books, Disaster Recovery, Capacity Planning, Monitoring, Customizations, System Integration, and Maintenance and Patching.

2.1.2.3.4 Vendor to provide expertise and assistance testing Disaster Recovery prior to declaring the Production Environment as production ready.

2.1.2.4 Role Analytics

Vendor to provide expertise and key personnel to perform role analysis of current IDM system as well as Active Directory with the intent to reduce the number of roles and entitlements, while at the same time, determine Enterprise and Department birth-right access for account lifecycle management for access.

2.1.2.5 LDAP Design

Vendor or vendor partner to provide expertise and key personnel to perform LDAP Design for the solution

2.1.2.6 Data Conversion

Vendor to provide expertise and key personnel to plan and execute with ERCOT.

2.1.2.7 Integration with Existing Applications

Upon vendor selection, ERCOT will provide detailed requirements for integration with the applications listed below. Vendor to provide the expertise to guide ERCOT in ensuring the product is integrated as outlined and/or the custom work (if any) required to achieve the integration.

A. ERCOT’s ERP System (WorkDay)
B. ERCOT’s Active Directory
C. ERCOT’s currently LDAP enabled applications and assets
D. Service Desk applications (Remedy and JIRA) for providing closed loop account
management for disconnected applications

E. Multiple user repositories, i.e. User stores contained in database.

F. Internally developed applications

G. Vendor provided application
2.1.2.8 Testing
ERCOT will plan and execute testing to ensure the new system meets all NERC-CIP requirements, business requirements, workflows, reporting, audit, monitoring, privilege account management, and system management. Vendor will include test plan, test cases and test scripts for each of the areas identified in 2.1.2.7, Integration with Existing Applications. Vendor or vendor partner will also provide one (1) SME testing resource for test script execution and testing automation.

2.1.2.9 Training
Vendor to provide user training to ERCOT personnel. Training to be computer based for corporate wide functions (ex. Request Workflows, Certifications, Reporting) and held at the ERCOT Taylor facility delivered by vendor or vendor partner staff. The training curriculum will include administration, configuration, troubleshooting and support.

2.1.2.10 Implementation
Vendor to provide expertise and key personnel for installation and provisioning in a development, Functional Testing, Integrated Testing and Production environments. Vendor is responsible for vendor’s solution including troubleshooting, escalation & resolution of issues, and answers to personnel questions.

2.1.2.11 Post-implementation review, adjustment, stabilization
Section 2 – Scope and Requirements

Vendor to provide expertise and key personnel for troubleshooting, escalation & resolution of issues, and answers to user questions during an agreed post-implementation stabilization period.

2.1.2.12 Support

Vendor to provide ongoing support for technical and user issues and questions to meet Service Level Agreement. Please include a copy of your standard operational SLA with your proposal.

2.2 General Requirements

The specific functions and capabilities required are detailed in the ERCOT IAM Requirements Excel spreadsheet. Vendors must complete all tabs of the RFP Requirements questionnaire. See the “Instructions to the Vendor” tab for details.

Estimated number of users, entitlements, roles, applications, etc. for each module is as follows:

<table>
<thead>
<tr>
<th>Capability</th>
<th>Estimated Count</th>
</tr>
</thead>
<tbody>
<tr>
<td>Employee self-service</td>
<td>750 total employees; 200 contractors, 50 temporary</td>
</tr>
<tr>
<td>Market Participants</td>
<td>21,000</td>
</tr>
<tr>
<td>Manager self-service</td>
<td>160</td>
</tr>
<tr>
<td>Compliance &amp; Audit</td>
<td>40</td>
</tr>
<tr>
<td>Current IDM Roles</td>
<td>400</td>
</tr>
<tr>
<td>Current AD Entitlements</td>
<td>5,000</td>
</tr>
<tr>
<td>Current AD Domains</td>
<td>1</td>
</tr>
<tr>
<td>Current User Stores</td>
<td>20</td>
</tr>
<tr>
<td>Application Integrations</td>
<td>100</td>
</tr>
<tr>
<td>Privileged Accounts on NERC Assets</td>
<td>2,000+</td>
</tr>
<tr>
<td>Privileged Accounts on non-NERC Assets</td>
<td>Unknown</td>
</tr>
<tr>
<td>Data Centers</td>
<td>2 – 1 Active / 1 Passive</td>
</tr>
</tbody>
</table>
Section 2 – Scope and Requirements

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

2.2.2. Respondents must include a high level project schedule for completing the key milestones, elements, and requirements described herein.

2.2.3. 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.

2.2.4. Any changes to key personnel associated with the subsequent contract must be submitted in writing and approved in writing by ERCOT prior to the change being made.

2.2.5. 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.

2.2.6. Respondents must describe their test plan or test methodology that authorizes ERCOT to test all system functionality and grant its approval prior to final implementation of the system.

2.2.7. Respondents must describe their implementation methodology and approach.

2.2.8. Respondents whose product would be implemented with a third party implementation partner should include the partner in the proposal and provide specifics regarding services provided by the third party, costs, and any additional contract stipulations.

2.2.9. Respondents must include any relevant license agreements with their proposal response.

2.2.10. Respondents presenting a SaaS solution must identify and include their SLAs.

2.2.11. Respondents presenting a SaaS solution must identify the types of audits performed on their system and the frequency (i.e. NERC-CIP, SSAE16, etc.). ERCOT may request evidence of audits as necessary to evaluate proposals.

2.2.12. Respondents must provide summary documentation of its secure product development life cycle, including the standards, practices, training programs, and development environment used to create or modify deliverables defined herein.
Section 2 – Scope and 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 email 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 emailed 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).

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. If this size restriction cannot be met, multiple emails 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:

1. Part 1 – Business Proposal; and

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 - Completed ERCOT IAM Products Requirements Excel spreadsheet;
Section 3 – General Instructions

- Section 6 – Assumptions;
- Section 7 – Appendices;
- Section 8 – 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:

1. 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.
2. Disclosure of all affiliations with, or ownership relationships with, any ERCOT Market Participant or its affiliates.
3. 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.
4. A list of key personnel previously employed by ERCOT in accordance with the requirements of Section 1.5.2.
5. A complete list of all exceptions, reservations, and limitations to the terms and conditions of the RFP.
7. Additionally, if the nature of this RFP solicitation involves an Information Technology purchase, please review and acknowledge the “Cyber Security Requirements” document, also located here: http://www.ercot.com/about/procurement/index.html

8. Please also address the following Records and Information Management (RIM) RFP Questions:

1. 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 are required as this does not pose any RIM Program concerns.
Section 3 – General Instructions

2 Does your solution utilize 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)).

3 Can your product meet ERCOT’s RIM program requirements 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.

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 ongoing 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 and the name of the 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 email, if available. If the work was performed as a subcontractor, the respondent must describe the scope of subcontracting activities.

**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 – Completed ERCOT IAM Products Requirements Excel spreadsheet**
Specific functions and capabilities required are detailed in the questions listed in the ERCOT “IAM Product Requirements” Excel spreadsheet. Vendors must complete all tabs of the RFP Requirements questionnaire. See the “Instructions to the Vendor” tab for details.

**Section 6 – Assumptions**
State any business, economic, legal, or practical assumptions that underlie the respondent’s Business Proposal.

**Section 7 – Appendices**
Include any appendices to the respondent’s Business Proposal.

**Section 8 – Vendor Information and Other Required Forms**
Respondents must complete the following required forms:
1. Nondisclosure Statement
2. Vendor information form

3. 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 along with the proposal.

4. If the anticipated contract value with ERCOT is equal to or >$250,000.00, the respondent must include the two (2) most recent two (2) years audited financial statements (include unaudited statements if supplier is unaudited). Publicly-held companies must include or provide a link to the most recent Forms 10-K and 10-Q filings.

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 Summary Sheet provided in the last tab of the ERCOT “IAM Products Requirements” Excel spreadsheet. Additional detailed cost information may be provided, but a summary of costs must be included in the spreadsheet. Cost not included in respondents pricing proposal to ERCOT are the sole responsibility of the respondent.

Respondents may propose optional cost proposals if such proposals are more cost effective (i.e. Time and Materials cost structure, etc.) for ERCOT.

3.10 Multiple Responses

A respondent may submit more than one proposal, including a joint proposal with one or more respondents.

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, 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.