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

Request for Proposal
For
Enterprise Content Management (ECM) System
Proof of Concept
Title: ECMS POC 4-16 JKR

Date of Release: April 4, 2016
1. GENERAL INFORMATION

1.1 RFP Objective
1.2 ERCOT Background
1.3 Strategic Elements
1.4 Basic Philosophy: Contracting for Results
1.5 Legal and Regulatory Constraints
1.6 ERCOT Point of Contact
1.7 Procurement Timeline
1.8 Communications Regarding This Procurement
1.9 RFP Cancellation/Non-Award
1.10 Right to Reject Proposals

2. SCOPE AND REQUIREMENTS

2.1 Project Scope Overview
2.2 General Requirements
2.3 ECM Functional Requirements
2.4 ERCOT ECM Proof of Concept Requirements
2.5 POC Project Schedule
2.5.1 Planning
2.5.2 Infrastructure Preparation
2.5.3 Scenario Execution
2.5.4 Retrospective
2.6 Execution Scenarios
2.6.1 ERCOT.com – Revision Requests
2.6.2 Secure Portal – Reports and Extracts
2.6.3 ERCOT Kiosks
2.6.4 Grid Communications
2.6.5 User Interface Framework
2.6.6 Taxonomy Integration
2.6.7 Records Management
2.7 Vendor Questions and Required Feedback
2.7.1 Qualifications, Corporate Background, and Experience
2.7.2 Total Cost of Ownership
2.8 Deliverables

3. GENERAL INSTRUCTIONS AND RESPONSE REQUIREMENTS

3.1 Notice of Intent to Propose
1. GENERAL INFORMATION

1.1 RFP Objective

As a core component of a cross-departmental effort focused on creating consistency across internal, public and secure channels through the development of consistent user experiences, information governance policies and enabling technologies, ERCOT is seeking to evaluate and select an Enterprise Content Management Solution (ECM) that will be used to consistently manage ERCOT Public, Secure and Internal channels. The objective in this RFP is to select a potential ECM solution and execute a Proof of Concept (POC). If the POC meets ERCOT’s requirements, another RFP will be issued for the solution software and services. ERCOT will evaluate vendor product and service offerings in support of the software licensing and professional services requirements set forth in this RFP.

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 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 through approximately the next six months thereafter or 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
Section 1 – General Information

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:

Jana Richardson
Vendor Manager/Procurement
2705 West Lake Drive
Taylor, Texas 76574
Fax: (512) 248-3118
JRichardson@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. 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>4/4/16</td>
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<tr>
<td>Optional Notice of Intent to Propose Due</td>
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<td>Vendor Questions Due</td>
<td>4/18/16</td>
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<td>Response to Vendor Questions Posted</td>
<td>4/25/16</td>
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<td>Vendor Proposals Due</td>
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<td>Week of 5/23/16</td>
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<td>Vendor Tool Discovery</td>
<td>Week of 6/6/16</td>
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<td>6/20/16</td>
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Section 1 – General Information

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<tr>
<td>Anticipated Contract Start Date</td>
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</tr>
<tr>
<td>Anticipated Proof of Concept</td>
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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 is seeking to evaluate and select an Enterprise Content Management Solution that will be used to consistently manage ERCOT Public, Secure and Internal channels. At a minimum, a functionally comprehensive ECM solution will provide the following functionality:

- Leverage existing authentication and authorization mechanisms including ERCOT Active Directory credential login and user certificates.
- Manage and support publishing the same content to multiple channels (web, mobile, social) and security classifications (internal, public and secure).
- Maintain a relationship between the original content (Record or Non-Record) and the copies published across channels.
- Support advanced search configurations using metadata based upon relevant content attributes.
- Create and manage multiple sites and distribution channels.
- Track channel metrics for research and audit purposes.
- Provide standard Check In, Out, Approval and publishing workflows.
- Provide a mechanism for customizing and creating simple-to-complex workflows.
- Provide history of all content changes and versions including but not limited to Created On, Modified On, Created By, Publish Date, Modified By.
- Ability to control content and layouts as configuration or data changes, not as code changes.

As part of the ECM solution selection process, ERCOT will evaluate the following frameworks to ensure compliance with ERCOT policies, infrastructure and resources and gain an understanding of where existing processes may need adaptation.

- Development, customization and integration
- Workflows and publishing
- Multi-channel support
- Records Information Management
- Personalization
- Taxonomy integration and metadata management
- Testing, configuration management and code releases
- Content migration
- Security, authentication and authorization
2.2 General Requirements

The objectives of the Enterprise Content Management Proof of Concept RFP are to 1) select a potential Enterprise Content Management solution and 2) select a vendor partner to participate in the execution of a Proof of Concept (POC) project with the potential tool.

2.3 ECM Functional Requirements

Respondents must complete in its entirety as accurately as possible and submit with their proposal the ERCOT ECM Requirements spreadsheet, included in the solicitation package. The first worksheet in the attachment includes “instructions for completion of the questionnaire” applicable to each tab. Respondents will then be asked to do vendor presentations where they will demo their solution, provide technical specifications and technical architecture for Proof of Concept, and clarify any questions that ERCOT might have regarding the RFP proposals. After evaluating the proposals and presentations, respondents will then participate in a vendor tool discovery, which will be a collaborative session where we will build cross-departmental buy-in and move towards self-sufficiency in the development, support and maintenance of the ECM solution. Respondents may be narrowed down at any point during this process. It is ERCOT’s intent to only do a POC with one respondent. This does not guarantee that ERCOT will purchase the tool from this respondent. If the POC meets ERCOT’s requirements another RFP will be issued for the solution software and services.

2.4 ERCOT ECM Proof of Concept Requirements

Prior to the selection of an ECM solution, ERCOT seeks a qualified respondent to collaborate with ERCOT on the execution of a Proof of Concept project that will meet the following ERCOT objectives.

- Build on ERCOT’s understanding of ECM solution capabilities, methodologies and best practices.
- Validate key functionality works as expected and meets business requirements.
- Validate that the ECM solution will integrate with existing ERCOT infrastructure and key technologies.

2.5 POC Project Schedule

2.5.1 Planning

(A) Projected duration = 30 days
(B) ERCOT to provide the following:
   1.1.1.B.1 Provide Proof of Concept Scenario requirements.
   1.1.1.B.2 Provide Proof of Concept Scenario Test Plan.
(C) Vendor and ERCOT staff may collaborate on defining scenario requirements, timeline, key milestones and success criteria.

(D) Vendor shall provide the following:
   1.1.1.D.1 Provide a resource that will act as Development Lead alongside ERCOT resources.
   1.1.1.D.2 Provide a resource that will provide technical support during Proof of Concept.

2.5.2 Infrastructure Preparation

(E) Projected duration = 45 days
(F) Prepare necessary hardware, software and integrations as defined during Planning.

2.5.3 Scenario Execution

(G) Projected duration = 60 days
(H) Phase will not begin until the POC environment meets completion criteria defined in Planning.
(I) Awarded RFP respondent will work with ERCOT staff to execute the scenarios identified in Section 2.6 to evaluate key ECM functionality.

2.5.4 Retrospective

(J) Projected duration = 30 days
(K) ERCOT staff will develop an ECM Solution recommendation based on the results of scenario execution.
(L) ERCOT staff and vendor may collaborate on lessons learned.

2.6 Execution Scenarios

During the Execution phase ERCOT and Vendor staff will execute the following scenarios. The scenarios will not be developed to 'production ready' completion but will be tested and measured against success criteria in order to verify key functionality. Scenarios requirements may be adjusted pending Planning Phase outcomes.

2.6.1 ERCOT.com – Revision Requests

Revision Request content is managed by the ERCOT Market Rules team to communicate with stakeholders about potential changes to the ERCOT Protocols. Revision Requests progress through a number of statuses over the span of up to several years and each change in status requires an update
that ties to an existing Calendar Event published to the ERCOT Meeting Calendar. Documents can be attached to the Revision Request at any time.

Key Functionality
- Form creation
- Content creation, edit and deletion
- Check In/Out and Approvals
- Workflow creation
- Versioning
- Multiple views of published content
- Document management
- Relationships between content types

Inputs
- ECM web input forms

Outputs
- NPRRs: http://www.ercot.com/mktrules/issues/nprr
- Revision Request: http://www.ercot.com/mktrules/issues/NPRR562
- NPRR Reports: http://www.ercot.com/mktrules/issues/reports/nprr/Pending
- ERCOT Meeting Calendar: http://www.ercot.com/calendar

2.6.2 Secure Portal – Reports and Extracts
Market Participants access the Secure Portal to download market data. All Secure Portal users authenticate via digital certificate and the Secure Portal display content based on role. Reports and data extracts are either available to all Market Participants or restricted by entity. Reports and extracts are currently, and will continue to be stored in an Oracle data repository.

Key Functionality
- Certificate Authentication
- Role based access to content
- Personalization
- API Integration

Inputs
- Report ID
Section 2 – Scope and Requirements

- User ID
- User Role

Output
- Result Listing
- Report metadata
- Report link
- Report or extract payload

Integration
- Report and extract data repository
- SiteMinder

2.6.3 ERCOT Kiosks

The Today in ERCOT (TiE) Displays are available in multiple locations across ERCOT facilities and used to communicate with employees and visitors. Content includes a primary image carousel, news items, calendar and grid related graphs and data values.

Key Functionality
- Manage image carousel
- Expire content
- Integration framework

Input
- Carousel controller
- Dashboard data via JSON
- Read only query of public calendar events

Output
- TiE Display User Interface

Integration
- SharePoint
- ERCOT.com
- Mobile API (JSON)
- ERCOT developed Web Content Management System (Ruby)
2.6.4 Grid Communications

ERCOT is responsible for the near ‘real time’ communication of grid conditions to all stakeholders. Alerts are manually triggered in the ERCOT Control Room using a Notification Application and distributed to email, mobile and social media targets. Alerts also trigger content changes on the ERCOT Public website and Mobile Application. In certain conditions, alerts may be initiated by non-Control Room staff using the ECM Solution. ECM Solution generated alerts mimic the behavior of Control Room initiated alerts via integration with the Notification Application. The ECM Solution must also maintain awareness of current state set by the Notification Application in order to conditionally prevent manual and automated workflows depending on conditions.

Key Functionality
- Integration framework
- Alert delivery to multiple targets
- Conditional workflows

Inputs
- ERCOT developed notification system
- Conservation/EEA Boilerplate forms

Outputs
- ERCOT.com
- Mobile application
- Push alerts to ERCOT mobile application
- Tweets on ERCOT Twitter account
- Email to Emergency Notification distribution list

Integrations
- Twitter
- Urban Airship
- Email

2.6.5 User Interface Framework

ERCOT builds complex web applications for the Market that receive data via web services and require interactive forms and workflows in order to allow users to interact with complex, critical information used
Section 2 – Scope and Requirements

The User Interface Framework Scenario will explore the implementation of common, complex UI tasks found in ERCOT applications.

- Present a user with a minimum information set and adapts as the user enters information.
- Interactively responds to user choices by showing/hiding elements based on user input.
- Provide ability to copy in a previous populated form and allow user to see original data.
- Perform form validation and provide inline feedback.
- Persist state across user activities and screens.
- Offer user ‘undo’ and ‘reset’ functionality.

Key Functionality

- Interactive form ability to manipulate the DOM in complex scenarios
- Refresh partial parts of a page without disrupting user task flow
- Java script manipulation of a form
- Complex client side validation
- Complex server side validation
- Apply Business logic

Inputs

- Consume Web Service API in xml
- User input
- Servlet calls to TIBCO

Outputs

- Display data retrieved from web services and servlet calls
- Return data to Web Service in appropriate xml format

Integrations

- ERCOT TIBCO web services
- Java servlets

2.6.6 Taxonomy Integration

ERCOT is currently engaged in a parallel effort to consolidate Information Governance policies and define an enterprise taxonomy that will be applied to content in ECM and other content repositories. The consolidated information governance policies and procedures will clearly communicate employee responsibilities, align audit processes in order to provide consistent and accurate information across channels and align with Records Information Policies.
The taxonomy will establish the standardization for searchable metadata which will allow for the application of a standard metadata framework that will be applied across content stores, enabling improved information architecture, user experience and improve the ability to find content across the Enterprise.

Because of overlap and need for coordination between efforts, the Taxonomy Integration scenario will be used to explore and better understand the commonalities between ECM, Information Governance and Taxonomy.

Key Functionality
- Navigation
- Metadata management
- Reporting to support content audits

Output
- Search functionality

Integrations
- Published web channels
- Google Search Appliance or future search technologies
- Future Taxonomy Management solution

2.6.7 Records Management
Optional evaluation of Records Management functionality dependent on ECM solution’s Records Information Management feature set.

Key Functionality
- Manage the Record life cycle
- Manage Records in place
- Assign retention policy
- Execute disposition
- Provide reporting

Integrations
- SharePoint
Section 2 – Scope and Requirements

2.7 Vendor Questions and Required Feedback

ERCOT seeks vendor responses to the following questions and solicits general feedback regarding ideal methodologies and approaches to successful implementation of ECM solutions. Responses to the questions below must be submitted with the proposal.

2.7.1 Qualifications, Corporate Background, and Experience

(A) Product supplier must have been in business for a minimum of five years.
(B) System must be proven to work by providing URL information for at least 50 companies/organizations that use the tool.
(C) Staff assigned to the project must possess minimum of two (2) years of experience deploying the proposed solution.
(D) Respondent shall demonstrate experience with installation, customization and configuration of the application
(E) How many years has your company been providing ECMS implementation solutions?
(F) Is ECMS implementation your core competency?
(G) How many successful enterprise-wide, multi-channel (i.e. Intranet, websites, microsites, kiosks, department drives, etc.) implementations has your company completed in the last five (5) years?

2.7.2 Total Cost of Ownership

(A) What are the initial (one-time) license costs for this type of service?
(B) What are the annual maintenance and support fees?
(C) Are there additional modules that you would recommend adding to the basic ECM implementation?
(D) Describe the costs related to supporting the solution (if ERCOT owned) or renewal fees (if supplier hosted)
(E) What are the hourly rates for each level of your company’s implementation team?
(F) What are the different support levels available to ERCOT and what does each level of support include?
(G) What is your company’s approach to training ERCOT employees to correctly utilize the ECM product?
Section 2 – Scope and Requirements

2.8 Deliverables

2.8.1 Provide temporary licensing and costs for an ECM solution suitable for the Proof of Concept to be in-line with proposed Project plan.

2.8.2 Implement Proof of Concept infrastructure along with ERCOT production support, including:
   (A) installing the application on the server,
   (B) necessary integrations,
   (C) and training the operations staff on system operations.
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 Number of Copies

Submit one (1) electronic copy (soft copy) of the proposal via email.

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 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).

3.8.3 Additional Requirements

All proposals must be:

- Clearly legible;
- Sequentially page-numbered;
- Organized in the sequence outlined in Section 3.9 and 3.9.1;
- Part 1 and Part 2 must be submitted separately (see Section 3.9);
- 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
(2) 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 – General Instructions

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:

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

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.
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\(^1\) 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.

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.

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\(^1\) 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.
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 – 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:

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). Publically-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 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 – Provide temporary licensing for the Proof of Concept as required in 2.8.1</td>
<td>XX</td>
<td>$0.00</td>
</tr>
<tr>
<td>Deliverable 2 – Installation as required in 2.8.2 – A.</td>
<td>XX</td>
<td>$0.00</td>
</tr>
<tr>
<td>Deliverable 3 – Integrations as required in 2.8.2 – B.</td>
<td>XX</td>
<td>$0.00</td>
</tr>
<tr>
<td>Deliverable 4 – Training as required in 2.8.2 – C.</td>
<td>XX</td>
<td>$0.00</td>
</tr>
<tr>
<td>Deliverable 5 – Any other planning/implementation costs not</td>
<td>XX</td>
<td>$0.00</td>
</tr>
</tbody>
</table>
In addition to the costs (if any) for the Proof of Concept requested in this RFP, ERCOT would like to have a better understanding of the Total Cost of Ownership, if the tool is eventually selected. Respondents must also include the Cost Proposal below for the Total Cost of Ownership. If there are any additional modules that are recommended, please add them to the cost proposal below. If there are different levels of support, please indicate what they are and how much each respective level is. You must also provide hourly rates for each level of your company’s implementation team.

<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>Initial (one-time) Licensing Costs</td>
<td>XX</td>
<td>$0.00</td>
</tr>
<tr>
<td>Annual maintenance and support fees (please indicate whether the costs are related to supporting the solution if ERCOT owned or renewal fees if supplier hosted)</td>
<td>XX</td>
<td>$0.00</td>
</tr>
<tr>
<td>Installation</td>
<td>XX</td>
<td>$0.00</td>
</tr>
<tr>
<td>Integrations</td>
<td>XX</td>
<td>$0.00</td>
</tr>
<tr>
<td>Training</td>
<td>XX</td>
<td>$0.00</td>
</tr>
<tr>
<td>Hourly rates</td>
<td>XX</td>
<td>$0.00</td>
</tr>
</tbody>
</table>

**TOTAL FIXED COST:** $0.00

Cost not included in respondents pricing proposal to ERCOT are the sole responsibility of the respondent.
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.