



Request for Proposal for IAM Managed Service Provider_10-18_JKR

Date of Release: October 4, 2018

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1. General Information

1.1. Request for Proposal (RFP) Objective

The objective of ERCOT in this procurement is to identify and contract with a qualified Managed Service Provider (MSP) to operate and maintain the systems delivered by the Identity and Access Management (IAM) Project as further identified in Section 2.1.

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 about 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 46,500 miles of transmission lines and 570+ 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 and annually thereafter, or as necessary to fulfill the goals of this Request for Proposal (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. The 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:

Jana Richardson
2705 West Lake Drive
Taylor, Texas 76574
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. Failure to comply with this section may result in ERCOT's disqualification of the proposal.

1.7. Procurement Timeline

Procurement Timeline	
RFP Release Date	10-4-18
Optional Notice of Intent to Propose Due	10-11-18
Vendor Questions Due	10-17-18
Response to Vendor Questions Sent	10-25-18
Vendor Proposals Due	11-6-18 at 2 p.m.
Vendor Presentations (if needed)	12-4,5, & 6-18
Anticipated Contract Award	January 2019
Anticipated Contract Start Date	March 2019

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 RFP.

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 scheduled to implement the new Identity Access Management (IAM) project in January / February of 2019. The new system consists of Oracle Identity Governance 11G PS3; Oracle Identity Manager, Oracle Access Manager (OAM), Oracle Unified Directory (OUD), Oracle HTTPS Server, Oracle Enterprise Manager, Oracle Identity Analysis, Active Directory Connector, and custom JAVA Connector.

The new IAM implementation will require technical and development skillsets that the current team does not have. The awarded supplier will provide the patching, configuration maintenance, customizations, and other work as identified by ERCOT.

The services that ERCOT will provide will focus only on business facing daily operations. ERCOT will maintain staff to support the daily operations related to Stakeholder Support which includes but is not limited to:

- User management in general
- Account lifecycle management
- Ensuring process is followed to maintain regulatory compliance
- Maintaining and modifying process documents that support regulatory compliance
- IAM role analysis and maintenance
- Supporting the business and regulatory requirements for tasks that must be completed within 24 hours
- Application monitoring to the extent that only the IAM applications are up and running. In the case of application issues, a user interface is provided to restart the applications
- Communicating with stakeholders for role and entitlement creations and/or modifications

ERCOT is seeking a Managed Service Provider (MSP) to operate and maintain the systems delivered by the Identity and Access Management Project listed above.

IAM Vendor Application Support consists of maintenance, patching, upgrades, deployments, run books, and operating procedures for Oracle products as well as maintenance and development of reports, customizations, and deployments. Any new enhancements would be provided via a separate statement of work with defined requirements and costs.

Awarded supplier's IAM Operations Support consists of supporting the applications and infrastructure when issues arise. This includes outage remediation, root cause analysis, production issues, problem solving, and generated alert notifications response on a 24x7x365 schedule.

The IAM applications are deployed in 4 environments; DEV, iTest, PRD Datacenter 1, and PRD Datacenter 2. OAM and OUD run active-active across datacenters. The other applications run active in one datacenter for 2 months and then failover to the other datacenter for 2 months and becomes the active site.

2.2. Key Scope Requirements

- 2.2.1. MSP shall allocate resources who have a minimum of five years experience in Oracle Identity and Access Management products, Active Directory user and group management, and JIRA
- 2.2.2. MSP resources must be employees of the awarded supplier.
- 2.2.3. MSP must provide at least 1 staff for IAM Applications Support on-site for first 30 days during deployment and can be off-site remainder of contract.
- 2.2.4. MSP must provide at least 1 staff for IAM Operations Support on-site for first 30 days during deployment and can be off-site remainder of contract.
- 2.2.5. MSP shall work according to a Service Level Agreement
- 2.2.6. MSP will provide IAM Operations Support 24x7x365 availability
- 2.2.7. MSP Operations Support required to be in United States
- 2.2.8. MSP IAM Operations support personnel must be named users and must pass a background check and drug screen. Remote access requirements (on US ground only) would need to be

further discussed with the awarded MSP. Access to ERCOT systems and tools is controlled by named user, with controlled access to leverage ERCOT's tools and processes.

- 2.2.9. MSP IAM Operations Support will provide L2 (as required) and L3 operational support 24x7x365.
- 2.2.10. MSP IAM Operations Support will provide additional staff during business continuity and disaster recovery events as required.
- 2.2.11. MSP IAM Applications Support shall be available during normal business hours with off-hours support for deployments
- 2.2.12. Segregation of Duties between MSP IAM Applications Support and MSP IAM Operations Support must be maintained and will be enforced. MSP IAM Applications Support will not have production access.
- 2.2.13. MSP must assist with all ERCOT Compliance related processes (security, compliance, procedures, reporting)
- 2.2.14. MSP must provide supervision / oversight in coordination with IAM Operations and Development teams of staff assigned to ERCOT
- 2.2.15. MSP must provide staffing plan for staff assigned to ERCOT
- 2.2.16. MSP must develop, maintain, and provide training for new IAM enhancements.
- 2.2.17. MSP must develop, maintain, and provide design docs and operations run books
- 2.2.18. All MSP staff must complete ERCOT mandatory training in support of its regulatory compliance requirements.
- 2.2.19. The awarded supplier must use ERCOT's IT Service Management (ITSM) tools and applications (i.e. Remedy, Jira, Confluence, etc.)
- 2.2.20. The MSP Account manager has decision-making authority and will assume responsibility for coordination, control, and performance of this effort. Account manager should be on-site at ERCOT during the 90-day transition period for minimum 2 days per week
- 2.2.21. MSP will create dashboards, metrics, and reports based on SLA performance to enable operational enhancements
- 2.2.22. Awarded supplier shall maintain and modify operational procedures
- 2.2.23. Awarded supplier shall maintain and modify processes and documentation to support regulatory compliance of managed services transition
- 2.2.24. Respondents shall provide deployment and integration strategy for both operations and applications support
- 2.2.25. Respondents must provide work breakdown structure for deployment, integration, and training of managed services staff
- 2.2.26. Respondents must provide description of MSP's recruiting/hiring process for evaluating staff who will transition to MSP
- 2.2.27. Respondent must provide Statement of Work draft, to include proposed Service Level Agreement with expected requirements and metrics (see section 2.7 below)
- 2.2.28. Awarded supplier shall provide ERCOT IAM Manager as point of contact for applications support

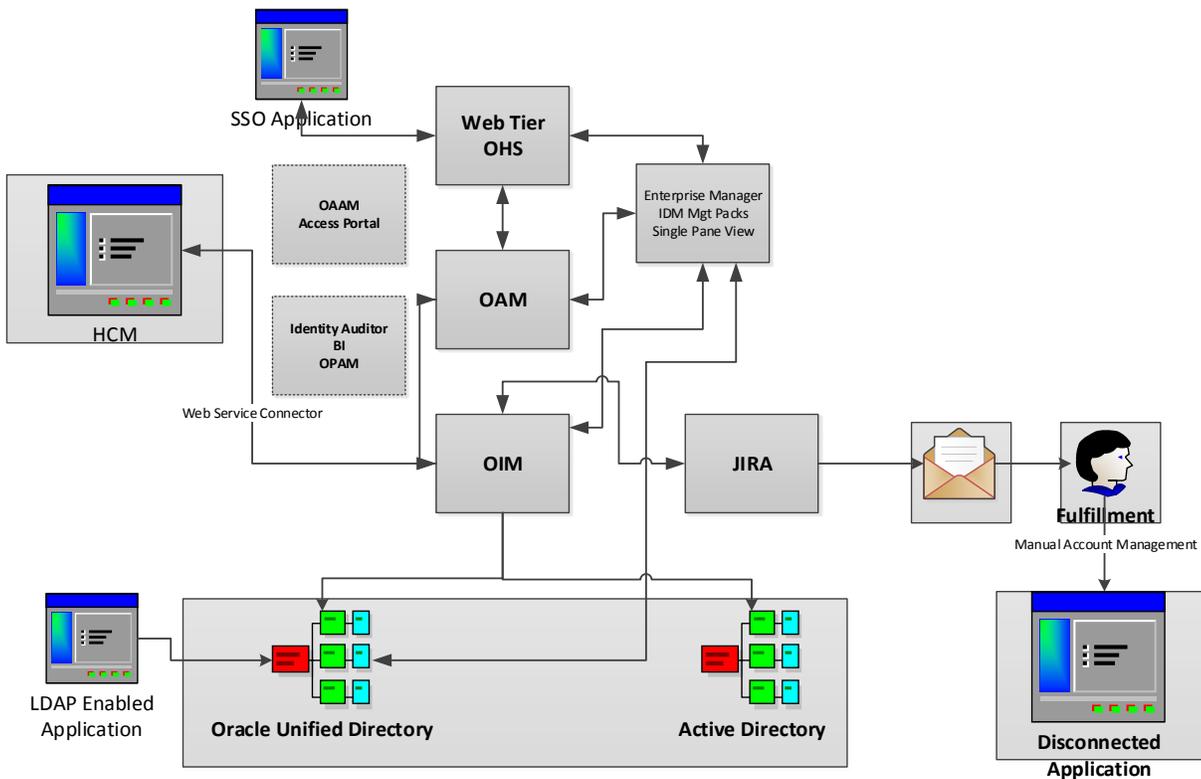
- 2.2.29. Awarded supplier shall provide ERCOT Operations Manager as point of contact for IAM Operations
- 2.2.30. Awarded supplier shall provide ERCOT Development Manager as point of contact for IAM development enhancements
- 2.2.31. Awarded supplier must comply with all ERCOT processes (security, compliance, procedures, reporting)
- 2.2.32. Awarded supplier shall retain Supervision / oversight of staff assigned to ERCOT

2.3. General Requirements

- 2.3.1. In their responses to this RFP, Respondents must describe in detail the methodology and approach to meeting the requirements of this RFP.
- 2.3.2. Any changes to key personnel associated with the subsequent contract must be submitted in writing and approved in writing by ERCOT.
- 2.3.3. 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
- 2.3.4. MSP must provide standard remote access protocol for secure environments.
- 2.3.5. All employees of the supplier that require access to ERCOT systems must complete the ERCOT Personnel Risk Assessment and Compliance regulatory related training before being granted access.
- 2.3.6. The awarded supplier must provide a SOC 2 Type 2 upon award and annually thereafter (coinciding with the audit date)
- 2.3.7. ERCOT retains authority and responsibility for decisions made regarding operational enhancements or changes in process or procedure
- 2.3.8. Respondent must provide MSP's accepted Quality Standards and service level agreement (SLA) information to demonstrate such metrics as time-to-answer, resolution time, etc.
- 2.3.9. MSP must provide an account manager who has decision-making authority and who will assume responsibility for coordination, control, and performance of this effort
- 2.3.10. All protected information must be stored in ERCOT repositories.
- 2.3.11. ERCOT retains 'right to review / approve' resources prior to resource change or onboarding
- 2.3.12. MSP must have defined process to assess security vulnerabilities of the system and its application periodically and provide the security patches to resolve the security risks to meet ERCOT compliance and CIP requirements.
- 2.3.13. MSP must perform software security monitoring and deployment of security patches.
- 2.3.14. MSP must provide Secure Development Practices – documentation of secure product development life cycle and protection of the code

2.4. IAM Integration Architecture

The following is the IAM Integration Architecture.



2.5. Qualifications

- 2.5.1. MSP must be able to demonstrate a focus on security, privacy, and data protection with the ability to abide by all ERCOT security and compliance standards and be measured for compliance on a regular basis.
- 2.5.2. MSP must have 5 years' experience providing managed support services.
- 2.5.3. Respondent must provide at least three (3) reference customers, preferable of similar size and/or industry as ERCOT. When providing references please include: company name and contact information (e-mail address, phone number), brief description of work done, and contract dates.
- 2.5.4. MSP resources must have a minimum of 3 years' experience in Oracle Identity Governance 11G PS3, Active Directory, and a total of 5 years in Oracle Identity Governance.

2.6. Service Level Agreements (SLAs)

Respondent to provide proposal for **Service-Level Agreement (SLA)** to become the official commitment between service provider and ERCOT. Particular aspects of the service—quality, availability, responsibilities—to be identified and documented as part of the Scope of Work and contracting process. In addition to identifying SLAs in the contract, respondent must propose remedies for missed SLAs.

The following is provided as examples for minimum data in the proposed SLA; please include additional metrics as appropriate

Phone Call ASA	Average Speed to Answer an inbound phone call
Non-Demand ASR	Average Speed to Respond to A Non-Demand Interaction (email, voicemail, portal)
Phone Call Abandonment Rate	Percentage of phone calls abandon by caller after the ASA target has been exceeded
Resolution Time	Amount of time to resolve and close out an issue
Customer Satisfaction	Rating of customer satisfaction on a scale of 1 to 5 with 5 being the best score
First-Tier Resolution Rate	Percentage of issues resolved by First-Tier support;
Second-Level Resolution Rate	Percentage of issues resolved by Second Level support;

2.6.1. Vendor Support Availability

2.6.1.1. Support must be available during ERCOT’s local business hours (8:00am-5:00pm, Central Time) Mon-Fri (excluding holidays)

2.6.1.2. Support for critical issues (Severity 1) must be available 24x7x365

2.6.1.3. Critical service requests may be submitted via telephone or email

2.6.1.4. US Toll free customer support number (1-800-XXX-XXXX) must be provided

2.6.1.5. MSP Helpdesk must provide immediate response for critical issues reported by ERCOT with acknowledgement of the issue and involving the Technical SMEs to resolve the issue.

2.6.1.6. MSP response time for critical issues must be less than one hour (from the time ERCOT reported the issue to Vendor helpdesk) with resolution or at least work around to resolve the critical issue.

2.6.1.7. Severity level will be assigned to each defect (by ERCOT) and may be modified after initial assignment if, for example, a workaround is found and implemented. Defect Resolution Timing - Vendor shall comply with following defect resolution times based on the defect severity levels.

Description	Acknowledge Notice	Resolution
Software is inoperative or unusable. Critical or material impact on normal business operations.	Immediate	< 1 hour or continuous effort until resolution. Resolution may include but is not limited to, a workaround patch.
Software is partially inoperative, and there are no work-arounds available. Less critical but severely restrictive impact on normal business operations.	2 hours	1 business day.
Software is usable with limited functions. Work-around exists to prevent impact on business operations.	1 business day	7 business days
Software is usable, but problem has been identified and correction is required.	7 business days	14 business days
Software is usable and is functioning properly. A change or enhancement has been identified, and is requested.	10 business days	Time lines will be developed based on discussions with Vendor and ERCOT

2.7 Deliverables

- 2.7.1. Respondents must provide per Agent pricing structure (per year) with options for scaling for standard business operations
- 2.7.2. Respondents must provide per Agent pricing structure (per year) with options for scaling to support business continuity and disaster recovery operations
- 2.7.3. Respondents must provide cost of a transition period (not to exceed two (2) months) vs. operational period (not to exceed five (5) years)
- 2.7.4. Respondent must provide proposal for Service-Level Agreement (SLA) as described in Section 2.6
- 2.7.5. Awarded supplier shall provide monthly reports to ERCOT to discuss metrics, operational status, open issues, SLA's, any non-compliance discoveries, etc. (content and format to be mutually agreed to by both parties).
- 2.7.6. Awarded supplier must attend quarterly face-to-face meetings at ERCOT's Taylor location, and may be asked to attend additional onsite meetings if needed.
- 2.7.7. MSP must support quarterly meetings with ERCOT to discuss technical system and application, interface and configuration issues, prioritize the work and plan for the software releases.
- 2.7.8. Awarded supplier shall provide operational procedures documentation
- 2.7.9. Awarded supplier shall provide communication, transition, and training plan
- 2.7.10. Awarded supplier shall provide a staffing plan
- 2.7.11. Awarded supplier shall provide incident management tools
- 2.7.12. Awarded supplier shall provide procedure for changes in process, or additions in service catalogue
- 2.7.13. Awarded supplier shall attend quarterly Performance Reviews for adherence to SLA

3. General Instructions and 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 RFP.** Vendors who provide a Notice of Intent are not obligated to submit proposals after submitting the Notice of Intent, 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**. 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**. 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 **Sections 1.6 and 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 the 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 **Sections 3.9 and 3.9.1**;
- limited to 50 pages (excluding ERCOT required forms);
- responsive to the requirements of this RFP; and
- 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

Part 2 – Cost Proposal

3.9.1. Part 1 – Business Proposal

The Business Proposal must include the following sections:

- *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:

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.
6. Signed copies of the Professional Services Agreement, NDA, IRS W-9, and Vendor Information Form, located here: <http://www.ercot.com/about/procurement/index.html>.
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. If proposing a SaaS solution, the Respondent must include a copy of a SOC 2 (type 2) audit report, or equivalent (ISO 27001 certification proof).
9. 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 the solution utilize proprietary electronic document formats?
 - If YES, provide additional detail for RIM evaluation (format(s) and access requirements).
 - If NO, provide additional detail for RIM evaluation (format(s)).

3. Can the product meet ERCOT's RIM program requirements¹ 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's 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
- headquarters address
- type of ownership (e.g., partnership, corporation)
- if the 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
- 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.

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 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
- All Respondents must provide a completed Vendor Information Form along with the proposal, except for current ERCOT suppliers who have an active Master Agreement with ERCOT or who have completed the VIF within the last six (6) months.
- 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 or converted to an Excel spreadsheet for submitting a Cost Proposal.

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

<h2>Cost Proposal</h2>		
Cost not included in Respondent's pricing proposal to ERCOT are the sole responsibility of the Respondent.	Estimated Number of Hours to Complete	Total Cost
Project Deliverables and Costs		
Deliverable 1 – Per agent per year pricing structure for standard business operations for MSP IAM Operations Support as required in 2.7.1	XX	\$0.00
Deliverable 2 – Per agent per year pricing structure for standard business operations for MSP IAM Applications Support as required in 2.7.1	XX	\$0.00
Deliverable 3 – Per agent per year pricing structure for business continuity and disaster recovery operations for MSP IAM Operations Support as required in 2.7.2	XX	\$0.00
Deliverable 4 – Per agent per year pricing structure for business continuity and disaster recovery operations for MSP IAM Applications Support as required in 2.7.2	XX	\$0.00
Deliverable 5 – Transition period as required in 2.7.3	XX	\$0.00
Deliverable 6 – Operational period as required in 2.7.3	XX	\$0.00

Deliverable 7 and beyond – Any other costs associated with supporting Section 2 (list each as separate line item)	XX	\$0.00
TOTAL FIXED COST:		\$0.00

3.9.3. Multiple Responses

A Respondent may submit more than one proposal, including a joint proposal with one or more Respondents.

3.10. 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, and 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:

1. the vendor's experience and qualifications
2. the vendor's ability to meet the scope and requirements set forth in Section 2
3. the vendor's fees, cost structure, and best value to ERCOT

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.