



**Request for Proposal for
EnterpriseE3 Office365Plus Mobility and Security
Implementation and Migration Services**

Date of Release: November 27, 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 Microsoft certified FastTrack partner to provide formulation and implementation of the Microsoft Enterprise Cloud with Office365 with Mobility and other technologies provided to a G3/E3 Tenant. Please note that we use G3 and E3 interchangeably throughout the RFP, but ERCOT is licensed for the Government Suite.

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 through December 31, 2020, 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 | November 27, 2018 |
| Optional Notice of Intent to Propose Due | November 30, 2018 |
| Vendor Questions Due | December 4, 2018 |
| Response to Vendor Questions Sent | December 10, 2018 |
| Vendor Proposals Due | December 21, 2018 |
| Vendor Presentations (if needed) | Week of January 21, 2019 |
| Anticipated Contract Award | February 2019 |
| Anticipated Contract Start Date | April 1, 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 seeking a Systems Integrator and Fast-Track Partner to lead the formulation and implementation of the Microsoft Cloud Office365 with Mobility and other technologies provided to a G3/E3 Tenant. To ensure the success of the implementation, the program will include the initial activities focused on Preparation, Planning and Readiness, and then will finalize the program with a successful transition to ERCOT—with staff being self-sufficient as end-users and to managed support for on-going operations.

2.1.1. Comprehensive Pre-Project Preparation & Planning

- Awarded supplier shall do Introduction & Management Orientation to the Fast-Track Program
- Awarded supplier shall confirm E3 Subscription Readiness & Administration Requirements
- Awarded supplier shall review Current Environments, and formulate high-level architectures
- Awarded supplier shall communicate the published requirements for all E3 Technologies In-Scope
- Awarded supplier will provide an Office 365 organizational team profile.
- Awarded supplier shall setup Primary Teams for Project and Program Management, Architecture Design and Planning, Communications Office, Change Management, Training, Security, Compliance, Fiscal and Resource Administration and Control.
- Awarded supplier shall determine Readiness, and assist to correct deficiencies where identified
- Awarded supplier shall set up Pilot and Test Labs for more accurate confirmation of assumptions
- Awarded supplier shall provide detailed project and resource planning to accomplish the scope
- Awarded supplier shall organize and host the Program Kick-Off Event at ERCOT headquarters in Taylor, TX.

2.1.2. Design & Configure all Foundation Architecture

- Awarded supplier shall Determine, Design and Provision Optimal Network Connectivity Arrangements
- Awarded supplier shall Determine, Design & Provision Optimal Active-Directory Structures, Accounts & Synchronizations
- Awarded supplier shall Determine, Design & Provision Optimal End-User and Cloud Security
- Awarded supplier shall Determine, Design & Provision Optimal Disaster Recovery Arrangements
- Awarded supplier shall Determine, Design & Provision any E3 Cloud Architectures as required
- Awarded supplier shall Determine, Design & guide the provisioning of Voice/PBX capabilities

- Awarded supplier shall Determine, Design & Provision all Security Functions to support the Enterprise365 platforms, especially but not limited to Advanced Threat Protection.
- Awarded supplier shall pilot InTune MDM and determine requirements and viability for implementation
- Awarded supplier shall Design, Provision InTune for Mobility Management
- Awarded supplier shall Configure and Enable all Administration & Distribution Functions Needed for next program phase (design, configure, and migrate)
- Awarded supplier shall Test and Resolve all Foundation Systems and move into a production mode of operating
- Awarded supplier shall engage a track (sub-program) of Training and Assimilation to ensure ERCOT staff is capable to support the ongoing management, administration and operations of the foundational infrastructure.

2.1.3. Design, Configure and Migrate all Major Platforms (Workloads)

- Awarded supplier shall Complete all Requirements, Planning, Preparations, Designs and Administrative Support (including provisioning and deployment technologies), to optimally:
 - Design, Configure & Provision the Office365plus suite of application technologies, including:
 - Migrate forward all relevant data, technologies, settings, and configurations to the new platforms
 - Develop and Implement end-user support via ITIL best-practices
 - Ensure all platforms and systems are centrally monitored and managed with a Systems Operations Management platform
 - Deploy to all desktops and end-users, develop and provide a comprehensive training program across the enterprise
 - Engage a track (sub-program) of Training and Assimilation to ensure staff is capable to support the ongoing management, administration and operations of the foundational infrastructure.
 - Design, Configure & Provision the Exchange365 platform and suite of application technologies, including:
 - Design, Configure and Provision integration and interoperability with all other E3 technologies that partner collaboration functions with the Exchange365Platform (i.e. Outlook and Skype for Business/Teams)
 - Migrate all existing Exchange Data, Sites and User Functions to the Microsoft Cloud hosted Exchange365 platform.

- Configure policies and repositories that comply with the requirements of the Information Governance program, Records Retention Schedule, and Information Lifecycle Management.
 - Develop and Implement end-user support via ITIL best-practices
 - Ensure all platforms and systems are centrally monitored and managed with a Systems Operations Management platform
 - Deploy to all desktops and end-users, develop and provide a comprehensive training program across the enterprise
 - Engage a track (sub-program) of Training and Assimilation to ensure staff is capable to support the ongoing management, administration and operations of the foundational infrastructure.
- Design, Configure & Provision the SharePoint365 platform and suite of application technologies, including:
 - Design, Configure and Provision integration and interoperability with all other G3 technologies that partner collaboration functions with the SharePoint365Platform (i.e. Outlook and Skype for Business/Teams)
 - Produce a framework to evaluate and review existing SharePoint Data Sites and User Functions to determine migration actions to the Microsoft Cloud hosted SharePoint365 platform.
 - Develop and configure policies that conform to the requirements of the Information Governance program, Records Retention Schedule, and Information Lifecycle Management.
 - Develop and Implement end-user support via ITIL best-practices
 - Ensure all platforms and systems are centrally monitored and managed with a Systems Operations Management platform
 - Deploy to all desktops and end-users, develop and provide a comprehensive training program across the enterprise
 - Engage a track (sub-program) of Training and Assimilation to ensure staff is capable to support the ongoing management, administration and operations of the foundational infrastructure.
 - Design, Configure & Provision the Collaboration partner platforms and cloud-hosted suites of application technologies, including:
 - Design, Configure and Deploy SKYPE for Business
 - Optionally: Integrate SKYPE with the VOIP/PBX MS-Voice (based on readiness)

- Design, Configure and Deploy TEAMS
- Design, Configure and Deploy GROUPS
- Design, Configure and Deploy STAFFHUB
- Migrate Data if and where needed (based on retention, security and Information Governance policy)

2.1.4. Design, Configure and Migrate SCENERIOS (see: Fast-Track End-Stage)

- Finalize all design, security, compliance and special need scenarios ;
 - Lead a comprehensive categorization & classification of all migrating data
 - Perform Migration of highly-secure and sensitive data
 - Design, Configure & Deploy On-Premise Cache Storage to provide optimal use and cost-management of cloud storage needs (i.e. StorSimple)
 - Develop Check-Points and Policy driven Use-Case for sensitive data ILM (information lifecycle management)
 - Finalized Requirements, Designs and Implement TEAMS and other application environments that have been planned to the end stage of the migration phase.

2.1.5. COMPLETE ALL Training of the Enterprise Workforce, Systems Managers and Administrators and transition to a Work-Force that is self-sufficient, and/or provide staff augmentation where needed until such a state of self-sufficiency to manage is achieved.

- Awarded supplier shall create a comprehensive Training Plan designed for the Fast-Track Migration Program, and tailored to the staff makeup and needs of ERCOT. Plan shall identify with the organization's training needs across all technologies, to ensure effective and on-going use and adoption of the technologies, desktop applications, and major platforms.
- Awarded supplier shall recommend and implement all training applications, tools and materials.
- Awarded supplier shall provide a fully-ready to use LMS Learning Management System, configured with content, processes to provide training for the EnterpriseE3 and Office365plus applications and supporting technologies.
- Awarded supplier shall provide the staff-augmentation to ensure trainers are providing adequate coordination and execution of the training plan, and are achieving an effective learning experience for the entire staff compliment of ERCOT, including its 3 primary locations (See Appendix A: Taylor TX, Austin, TX, Bastrop TX).
- Awarded supplier shall provide materials that will engage the learning experience in the enterprise, especially for all classifications, categories or end-user types (i.e. System Administrators, Systems Implementers, Power-Users (Current Proficient Users), Intermediate End-Users, Beginner or Introductory for End-Users).

- Materials will be robust in media type (printed, rich-media with voice, video, online, self-paced, class-based, etc.), and will also be closely aligned and referenced in LMS (Learning Management System). Respondents shall describe materials in the RFP response.
- Due to a lack of internal staff dedicated to the training function, the respondent shall provide all materials, expertise, staff-augmentation (supply the trainers), organizers and training planners and communications resources (people and material).
- Respondent may subcontract the training function to another company that specializes in this area, however, respondent shall adequately describe their relationship, profiling the partner or sub-contracted organization, its relationship (ownership, management or staff shared involvement, etc.) to the respondents company, and should demonstrate this arrangement provides superior material, approach, and expertise with a track record of historical successes, demonstrable specifically for E3 Office365Plus implementation and migration projects. It is the awarded supplier's responsibility to ensure Subcontractor complies with all contract documents and applicable employment laws. ERCOT's consent to awarded supplier's engagement of a Subcontractor in no way relieves awarded supplier of any obligation under this Agreement

Project Scope: To configure, implement and migrate existing platforms to the Office365 cloud-hosted platforms by Microsoft. This will make usable all technical components of Appendix A according to the Subscription of ERCOT as a Tenant subscribed to the E3 subscription. The major technology platform that will be implemented and made operational are as follows:

2.1.6. Platforms Components in Scope:

- Office 365 Pro Plus (Desktop and Online End-User Applications)
- Exchange Online
- SharePoint Online with Groups
- OneDrive for Business
- Microsoft Teams
- Skype for Business Online
- InTune MDM
- Unified Communications
- Advanced Threat Protection to level of E3 feature list

Profile of End-User Applications O365Plus: Outlook, OneNote, Skype, Word, Excel, Access, PowerPoint, OneDrive, Planner, Publisher, Sway, Staff-Hub Visio (selective availability), Power-Bi / Power-Tools (selective availability), Account Management AD & End-Point Security.

Optionally: Electing for upgrades to 2 E5 components: Advanced eDiscovery and Advanced Data Governance is still being explored and should be incorporated as optional items to be included in the response.

2.1.7. The Context of the Scope:

Awarded supplier shall Initiate, Assess, Remediate, Enable and Transition to all platforms and technologies in scope (all technologies offered in the G3 subscriptions), in a fully operational mode, concluding in self-sufficiency to support on-going operations.

The context of the scope is: These items identified and scoped, as part of the implementation and migration program, are for the respondent to view as performing a consolidated role of systems integrator and Fast-Track Partner.

- As a systems integration partner you will provide the staff to lead, direct, and perform in a hands-on capacity to achieve the program, its sub-parts (tracks/program/projects/streams), to provide staff augmentation to successfully perform the requirements gathering, planning, configuration, implementation and migration tasks and to assume a supporting role in administration, management, maintenance and on-going operations until such a time that self-sufficiency in these areas are enabled with ERCOT staff.
- To also perform as the fast-track partner providing expert levels of leadership, subject matter expertise, direction, leadership and liaison to Microsoft, especially according to the prescribed roles and activities of the Fast-Track Partner as described by Microsoft.

2.2. General Requirements

The respondent will satisfy the following General Requirements:

- Certified Fast-Track Partner with evidence of current endorsement
- A Corporate Resume, evidencing experience, expertise and operational viability
- Success experience with at least 3 prior Enterprise O365 Migrations of similar profile & scale
- Profiles of Personnel assigned to the program, demonstrating experience and qualifications
- Evidence of Financial Means and Solvency
- Submit the O365 Implementation-Migration Services Checklist excel document with RFP response

2.2.1. Engagement & Program Specific Requirements

- A comprehensive explanation of the Fast-Track Methodology in accordance to an estimated recommendation of the type of Fast-Track Program suitable for this engagement, considerate of scope and ERCOT's subscription enrollments.
- All team members and organizational arrangements and resourcing, including identification of sub-contracted persons and resources will be kept current in communication and agreement with ERCOT.

- The migration partner will maintain a cost-control management and administration function that provides adequate foreknowledge of the use and application of all resources and their associated costs, so that an effective approval and governance process will be maintained throughout and contract costs will not be exceeded.
- The migration partner will provide an inventory, explanation and justification of all tools that will be used to achieve this migration program, and where ERCOT is expected to afford any tools or technologies, these will be identified and assistance in the acquisition and provisioning of these tools will be provided by the migration partner.

2.3. Qualifications

- The migration partner candidate shall be a Microsoft Certified Gold Partner in the Fast-Track Program most suitable to achieve the successful implementation and migration to all technologies assumed in the Microsoft365 cloud subscriptions (i.e. Enterprise365, E3 Azure, G3 Azure)
- The migration partner candidate will demonstrate a proven success in this type of implementation and migration program, and will make available 3 references that will provide testimony of their experience as arranged by the migration partner candidate. Contact information such as e-mail address and/or phone number must be provided.
- The migration partner candidate will provide evidence of financial viability to the appointed client organization (i.e. Finance, Office of the CFO).
- The migration partner candidate will provide a sufficiently comprehensive profile of the organizations and teams that will be part of this engagement.
- The migration partner candidate will provide all estimates and high-level plans that support the estimates (time, operational and material resources) as part of the RFP response.

2.4. Deliverables

2.4.1. All Foundational Architectures & Technologies Successfully Implemented.

- All networking and communications (achieving optimal capacity levels of bandwidth, load-balance and demand, latency, geo-locating datacenters), directory and account setup, security, provisioning capabilities, administrating capabilities, redundancy, servers (cloud virtual, on premise physical and virtual), appliances (cloud virtual, on premise physical and virtual), storage (cloud virtual, on premise physical and virtual), all platform and technologies identified as in need of instantiation as recommended by the Fast-Track Program recommended to ERCOT.

2.4.2. All Major Platforms (Workloads) Configured, Provisioned, Implemented & Deployed

- A fully operational, all features enabled configuration, provisioning, implementation and deployment of all major platforms in scope, especially enabling and making operational all

technologies available in the tenant subscriptions enrolled in by ERCOT. At the onset these are identified as:

- Office 365 Pro Plus (Desktop and Online End-User Applications)
- Exchange Online
- SharePoint Online with Groups
- OneDrive for Business
- Microsoft Teams
- Skype for Business Online
- InTune MDM
- Unified Communications
- Advanced Threat Protection to level of E3 feature list

Profile of End-User Applications O365Plus: Outlook, OneNote, Skype, Word, Excel, Access, PowerPoint, OneDrive, Planner, Publisher, Sway, Staff-Hub, Visio (selective availability), Power-Bi / Power-Tools (selective availability), Account Management AD & End-Point Security.

Optionally: Electing for upgrades to 2 E5 components: Advanced eDiscovery and Advanced Data Governance is still being explored and should be incorporated as optional items to be included in the response.

2.4.3. Special Scenarios formulated during the course of this migration program.

- Infrastructure, applications, integration, data and security considerations that are identified by the migration program partner and ERCOT will be initially identified and identified over the course of this program. These “special needs or special consideration” implementation or data migration components will be queued for the final stage of the implementation and migration program. They are identified as scenarios.
- The special need/consideration scenarios will be identified and specific and particular organization and team arrangements will be created as “task force teams”, that will make particular and specialized requirements, design and configuration specifications, as well, will provision, implement, deploy and migrate the technologies and data to achieve the constraints and particulars of the special consideration scenario.
- The Special Scenario Implementation and Migration phase will achieve the most effective, optimal and obligatory conditions, especially but not limited to the NERC compliance requirements of ERCOT.

2.4.4. Successful Transitioning of all implemented technologies and platforms to ERCOT to Manage, Administrate and Operate in a sustaining mode of day-to-day operations.

- Awarded supplier shall deliver a comprehensive training program into the enterprise organization of ERCOT, providing the resources in staff and material, supported by a leading LMS system, across all organizational and end-user types in the company.

- Awarded supplier shall deliver a Training Plan that is tailored to the ERCOT enterprise organization, a plan that is organized into tracks, swim-lanes or segments of training, depending on the structure of the Fast-Track Implementation & Migration Program. This Training Plan will be formulated using the organizational chart or structure of ERCOT.
- Awarded supplier shall deliver training to the IT technology personnel providing assistance or taking technical roles, ensuring the competency of the individual is adequate to ensure competent performance of tasks during the implementation, migration, and sustainment stages of the engagement.
- Awarded supplier shall conduct the scheduling, coordination, space-arrangements and ensure the LMS (Learning Management System) and all materials are ready and efficiently distributed/made available.
- Awarded supplier shall provide Hard-Copy Materials supporting the various training focus areas; especially ensuring quality (description, illustration, and written-copy) materials are made available to the leading technical personnel that will assist in the implementation and migration, and will then be identified as key personnel for the on-going sustainment of the new platform environment – post a successful fast-track program.
- Awarded supplier shall deliver a rich-media training experience via that LMS (learning management systems) platform(s), ensuring the content is current to the most recent versions of technologies as inventoried in the EnterpriseE3 / Office365Plus + Mobility + Security subscriptions.
- Awarded supplier shall deliver an effective curriculum that includes advanced administration and technology management, especially to effectively and efficiently administrate all technical resources using the Systems Administration dashboards and interfaces as made available by the systems management environment and the Microsoft Online Administration application(s).
- Awarded supplier shall deliver an effective curriculum to demonstrate how to efficiently control the provisioning and use of virtual assets and especially identify, track and control costs by way of the administration functionality offered with the subscriptions systems administration functions.
- Awarded supplier shall deliver material that is adjusted or calibrated towards the focus areas of the role or function that will engage in the new technologies, for example;
 - Fundamentals for Beginner End-Users
 - Intermediate Training for Experienced End-Users
 - Advanced Training of Features & Functions for Advanced Experienced End-Users
 - Training for Technical and Sys Admins to Configure, Implement and Support
 - Training for Technical and Sys Admins to Trouble-Shoot & Assist in Support
 - Training for Key Personnel Identified as On-Going “Train-the-Trainer” activities

- Awarded supplier shall formulate, design, and plan a “Training Communications” function, staffing and providing communications on the Training Program into the Enterprise to manage expectations and training planning. This shall be synchronized or collaborative with the overall Program Communications Office mentioned in this RFP proposal.

2.5. Engagement Milestones

The major milestones are identified in the Fast-Track Program, and in high-level general terms they are as follows:

- Introduce, Setup and Plan the Engagement
- Research and analyze to close all readiness GAPS
- Engage a Multi-Track Program to:
 - Setup all enabling technologies and systems environments to achieve all Foundation Architectures that will enable the access, use, deployment and management needs of the program.
 - Ensure the essential E3 account, communications, applications and data security features are enabled, functional and in effective operations.
- Deploy the Common O365 Applications operating on designed and defined, secure locked-down desktop configurations.
- Deploy all Workloads to Implement and Migrate to the Major Service Platforms
 - Office 365 Pro Plus (Desktop and Online End-User Applications)
 - Exchange Online
 - SharePoint Online with Groups
 - OneDrive for Business
 - Microsoft Teams
 - Skype for Business Online
 - InTune MDM
 - Unified Communications
 - Advanced Threat Protection to level of E3 feature list
 - Optionally: Advanced eDiscovery and Advanced Data Governance
- Finalize the design, specifications and use-cases of all special needs scenarios and complete the migration, securing of, and integrity of all data, workflows and configurations serving the special needs of the enterprise.
- Conclude all Training Tracks that have been underway and are serving the final assimilation and transfer of skill for optimal use, administration and management of the newly provisioned and operational environment.

2.6. Expectation of Service Levels and Quality Engagement

2.6.1. Conflict and Problem Solving and Resolution

Two (2) Simple Work-Flows will be created and used to ensure that a.) Critical decision making occurs with planned and organized steps to ensure the appropriate involvement and approval participants are made part of the decision making process, and; b.) In events of conflicts that will impact resources (human and financial), then a planned and organized procedure of identifying, communicating, deliberating and electing actions or arrangements for resolution is performed effectively and efficiently.

2.6.2. Financial / Cost Management and Reporting

Pre-Engagement: A small organization will be formed in partnership with the CFO / Financial Management Organization of ERCOT that will ensure that all financial and costs management practices are conforming to the prescribed protocols, workflow and reporting of all matters financial and material. A short and jointly developed policy statement with any key critical workflows or procedures will be created and used as the standard guiding document for all financial and cost management transactions arising from the activities, capital and operational, supporting the engagement.

2.6.3. Quality and Defect Management

A current list, jointly developed, of quality insufficiencies, defects and unresolved issues will be maintained as part of the project and program management, and

- will be reported on to ensure active measures are engaged to achieve resolution
- will be satisfactorily improved
- will be used as an inventory for consideration, and
- will influence the sign-off process and sign-off outcomes.

2.6.4. Project Management & Time to Delivery

A Program and Project Management arrangement will be defined organizationally, procedurally and in role, that is satisfactory and deemed optimally effective for both organizations.

2.6.5. Work On-Site

While it is understood the management of resources will be with the most responsible party for the activities at play throughout the engagement, it is generally expected that the contracted party will work and have on-site presence, throughout the engagement, except where formally written and mutually consented arrangements are made because they are optimal to achieving the outcomes of the program. Where any remote (out of area, city, or state) activities or resources are engaged by the contracted party, then these resources will be identified pre-engagement. Off-shore resources are not part of this engagement.

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 (including the O365 Implementation-Migration Services Checklist excel document)*
-

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.
- O365 Implementation-Migration Services Checklist excel document

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 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.

| Cost Proposal | | |
|--|---|---------------|
| 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 – All Foundational Architectures & Technologies Successfully implemented as required in 2.4.1 | XX | \$0.00 |
| Deliverable 2 – All Major Platforms (Workloads) Configured, Provisioned, Implemented & Deployed as required in 2.4.2 | XX | \$0.00 |
| Deliverable 3 – Special Scenarios formulated during the course of this migration program as required in 2.4.3 | XX | \$0.00 |
| Deliverable 4 – Successful Transitioning of all implemented technologies and platforms to ERCOT to Manage, Administrate and Operate in a sustaining mode of day-to-day operations.as required in 2.4.4 | 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 responsiveness to ERCOT's RFP
2. the vendor's experience and qualifications
3. the vendor's ability to meet the scope and requirements set forth in Section 2
4. 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.

- **APPENDIX A – Reference Material**

- **ERCOT Current-State Microsoft Landscapes**

| Component | Current Version | Count | Total Storage |
|-------------------------|--|---|---------------------------|
| Exchange | Exchange 2010 SP 3 Outlook 2013 Client | 1322 Mailboxes | 4000GB |
| Skype | Lync Server 2013 Skype 2015 Single Forest | ~750 Users | |
| Office | 2013 | | |
| SharePoint | SharePoint 2013 Site Redundancy 2012 Servers, backwards compatibility mode | 4,234 User Profiles 3,023,443 Documents | 2.428 TB / 2428.196 GB |
| ADFS | 2016 | | |
| Active Directory | Domain 2012 R12 Forrest – Windows 2008 R2 | | |

Exchange Mailboxes

Total Number of Unique Users – 885

2 Resources supporting Exchange

| | Mailboxes | Size GB | DB Copies | DB Total Size GB | DB Log Size GB |
|---------------|-----------|---------|-----------|------------------|----------------|
| | 8 | 27.76 | 2 | 55.52 | 18.69 |
| | 0 | 225.8 | 1 | 225.8 | 1.24 |
| | 185 | 279.5 | 4 | 1118 | 24.17 |
| | 182 | 314.8 | 4 | 1259.2 | 27.5 |
| | 189 | 230.7 | 4 | 922.8 | 36.87 |
| | 188 | 287.5 | 4 | 1150 | 24.3 |
| | 137 | 237.5 | 4 | 950 | 1030.9 |
| | 147 | 206.3 | 4 | 825.2 | 910.58 |
| | 137 | 203.2 | 4 | 812.8 | 888.75 |
| | 149 | 236.4 | 4 | 945.6 | 1033.65 |
| Totals | 1322 | | | 8264.92 | 3996.65 |

Additional technologies being used at ERCOT:

| Capability | Current Solution | Current Version | Average # of Users | Total Storage |
|-----------------------------|--|-----------------|--------------------|---------------|
| Mobile | Blackberry | | | |
| Identity Management | Current deploying OIM with a project end date of April 2019 | | | |
| Data Loss Prevention | Active project scheduled for FY2019 to implement DLP however, leveraging Microsoft DLP could be in scope of this program | | | |

| | | | | |
|--|---|---|-----------------|-----|
| Privileged Access Management (PAM) | Currently deploying Cyberark – Windows, Linux & AIX | | | |
| Business Intelligence | Tableau | | | |
| Workstations | Dell | N/A | 1,269 | |
| Mobile Devices | iPhone, Android, Windows | Various – Majority are personal devices | 500 – 750 Users | N/A |
| Windows | Currently migrating to Windows 10 | | 1,269 Users | |
| Bandwidth / Network | Single Pop at each of our 3 sites | | | |
| VOIP messaging integration, voicemail transcripts in Exchange | Cisco Unity | | | |
| Long term archival for Exchange mailboxes | Enterprise Vault | | | |
| eDiscovery tool | Clearwell | | | |
| | | | | |
| | | | | |
| Taylor | Main HO Site (80%) Staff | | | |
| Austin | Executive, small compliment | | | |
| Bastrop | 2 nd Operating Site | | | |
| | TOTAL STAFF 850 +/- 10 | | | |
| | | | | |
| | | | | |