



Request for Proposal for eSourcing Solution_9-19_JT

Date of Release: September 6, 2019

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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 respondent to provide an eSourcing solution to meet ERCOT's growing demand for automation and visibility throughout the RFX process.

The scope of this RFP includes the following areas:

- Request for Proposal (RFP) solicitation automation
- Request for Quote (RFQ) solicitation automation
- Request for Information (RFI) solicitation automation
- Project intake (OPTIONAL)
- Cost savings calculation and tracking (OPTIONAL)
- Integration with existing Contract Lifecycle Management (CLM) tool (OPTIONAL)
- Integration with existing Enterprise Resource Planning (ERP) tool (OPTIONAL)

Through their RFP responses, qualified respondents shall indicate their methodology for providing the desired visibility and automation to meet the needs of 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 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 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 Professional Services 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 Professional Services 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 Professional Services 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 Respondent. 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:

Jason Terrell
2705 West Lake Drive
Taylor, Texas 76574

(512) 248-6331
Jason.Terrell@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	September 6, 2019
Optional Notice of Intent to Propose Due	September 13, 2019
Respondent Questions Due	September 17, 2019
ERCOT response to Questions Sent	September 23, 2019
Respondent Proposals Due	October 07, 2019
Respondent Presentations (if needed)	TBD
Anticipated Contract Award	TBD
Anticipated Contract Start Date	January 01, 2020

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. Respondents 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 seeks a solution to automate the existing RFX process for the purchase of goods and services to be consumed by the various business units within ERCOT. In order to be considered for this award, respondent solutions must meet the following scope requirements

2.1.1. Request for Proposal (RFP) solicitation automation

Sourcing event where factors other than cost are used to determine the awarded respondent.

2.1.2. Request for Quote (RFQ) solicitation automation

Sourcing event where cost is the main deciding factor for award

2.1.3. Request for Information (RFI) solicitation automation

Sourcing event where no award is expected. RFIs are typically used by ERCOT to solicit information from the supplier community in order to draft a future RFP or RFQ.

2.1.4. Additional optional features:

- Project intake
- Cost savings calculation and tracking
- Integration with existing Contract Lifecycle Management (CLM) tool
- Integration with existing Enterprise Resource Planning (ERP) tool

2.2. Overview of Current Process

This section is a summary of ERCOT's current as-is process.

2.2.1. Need Identification / Project Intake

ERCOT seeks a more automated process for project intake and need identification. The current process involves a business user describing the need to purchase a product or service to the procurement department via email. If Procurement determines that the request warrants an RFX, a link to an InfoPath form housed on an internal SharePoint site is sent to the requester. This InfoPath form contains free text fields for the user to provide information regarding their desired purchase to the Procurement team. This form includes the following fields.

- RFP Title
- Recommended Procurement Schedule
- Project Overview
- Scope Requirements
- General Requirements
- Qualifications
- Deliverables

At this point, the requester can also identify members of the evaluation team and potential respondents to the RFX.

Once the form is submitted, the Procurement Manager evaluates the submission and assigns a member of the Procurement team to draft the RFP and manage the process.

2.2.2. RFX Drafting

After being assigned an RFX, the appropriate Procurement team member (Buyer) begins drafting the document for review and approval by the requester and the evaluation team.

Using the submitted InfoPath form, the Buyer populates one of several RFX templates. The appropriate template is selected based upon the goods or services being procured, the estimated dollar value of the transaction and the timeline for the process. An initial draft is sent via email to the business user or evaluation team for review. Edits are tracked via redline in Microsoft Word and sent back to the Buyer for review and incorporation. If additional edits are required, the Buyer routes another draft for approval via email. This process may take several days or weeks to complete.

2.2.3. RFP Solicitation

Once the final draft is approved by the associated business user or evaluation team, the RFX is publicly posted to the ERCOT website – www.ercot.com/about/procurement - for consumption by any interested parties. ERCOT is required by internal policies to make RFX documentation publicly available for transactions over certain dollar thresholds. RFX documents are also sent to a targeted list of potential respondents as identified by the business user, evaluation team and/or the Buyer.

2.2.4. Notice of Intent

After the RFX is posted, interested parties are encouraged to provide their optional Notice of Intent to Propose via email to the ERCOT Buyer. While not a requirement, only respondents providing this information will continue to receive RFX information from the Buyer.

2.2.5. Q&A Process

The RFX Question and Answer process is intended to allow respondents the opportunity to seek additional clarifying information regarding the RFX. Questions are submitted by respondents to the ERCOT Buyer via email and consolidated into a Microsoft Word document for review and reply by the evaluation team. This document is shared internally via email and finalized to PDF before being distributed to all respondents providing Notice of Intent to Propose.

2.2.6. RFX Submission by Respondents

Respondents are instructed to provide their submissions to the ERCOT Buyer via email. Documents are expected to be submitted in the format specified in the RFX and may be disqualified if material items are missing or submitted in the wrong format.

2.2.7. RFX Review and Evaluation

Prior to RFP review and evaluation, ERCOT finalizes a scorecard for use during the evaluation process. Once the RFP submission deadline has passed, the ERCOT Buyer populates the scorecard with Procurement-specific information such as compliance with process, submittal format discrepancies and cost. The scorecard and all respondent

submittals are made available to the evaluation team through restricted access to a SharePoint Library maintained by the Buyer. An Evaluation kick-off meeting is conducted and a deadline for evaluation submittal is identified. After each evaluation team member has submitted their scorecard, a follow-up meeting is scheduled where the team will determine a shortlist and any additional questions for the respondents. If necessary, supplier presentations are scheduled and further evaluated.

2.2.8. Negotiation and Award

After any required supplier presentations, one or many respondents are selected for further shortlisting and negotiation. The Buyer conducts this process via email or telephone discussion. Finalized proposals are resubmitted by remaining respondents and reviewed by the evaluation team. Ultimately a decision is made and suppliers are notified of the decision via email.

2.3. Future State

ERCOT's objective in this RFP is to select a tool that allows us to streamline the entire RFX process through a single supplier portal in order to increase visibility and decrease cycle time. The process identified above is very manual due to the many disjointed systems used to complete each step in the process. The future state for the RFX process shall include the following improvements.

2.3.1. Need Identification / Project Intake (OPTIONAL)

Regardless of project type, ERCOT desires a single intake location for need identification. This location should be presented to the requester as a customizable form with the ability to capture all of the required information for the Procurement Manager or Supervisor to determine the appropriate solicitation type. Once determined:

- The Manager or Supervisor should have the ability to assign the project to a Buyer for completion
- The selected Buyer should have the ability to correspond with the requester and evaluation team
- Requirements should be approved within the tool

2.3.2. RFX Drafting

The Buyer should have the ability to draft the entire RFX within the awarded supplier's delivered solution. ERCOT should have the ability to upload templates to the system and to apply any requirements from the intake form; if applicable. In addition:

- The evaluation team should have access to the RFX versions for review and revision
- The awarded solution should track changes and revisions
- The final RFX should be approved prior to posting
- The tool should allow for uploaded templates for quick RFX drafting

2.3.3. RFX Solicitation

Once a final RFX draft has been approved by the evaluation team, the Buyer must have the ability to identify targeted respondents to the RFP and to solicit their participation through the awarded tool. In addition, the tool's portal should be available from an outside link posted to ERCOT's publicly facing website. Upon supplier review of the RFP, the tool must have the ability to:

- Identify suppliers by the type of goods or services they are authorized to sell so the Buyer can target an entire population of suppliers that might be interested in participating.
- Capture supplier agreement to ERCOT standard terms
- Immediately provide a location for suppliers to ask anonymous questions of the ERCOT Buyer
- Make all applicable RFX documents and required forms available to all potential respondents.

2.3.4. Notice of Intent Process

Within the tool, all suppliers shall have the ability to provide their optional Notice of Intent to Propose to the RFX. The ERCOT Buyer must have the ability to determine which suppliers have provided their NOI and to restrict access to the Q&A and other steps in the RFP process accordingly.

2.3.5. Q&A Process

Respondents shall have the ability to participate in the Q&A process directly through the awarded respondent's solution. The ERCOT Buyer shall have the ability to anonymize the questions and corresponding responses before making the responses available to a single respondent, some respondents or all respondents.

2.3.6. RFX Submission by Respondents

Respondents shall have the ability to submit their RFX responses directly into the awarded respondent's tool. These responses should all be timestamped at the time of submission and submitted in a consistent format as identified by the ERCOT Buyer during RFX drafting and solicitation. The system should also provide acknowledgement that the response was received. The ERCOT Buyer should have the ability to disqualify incomplete or late responses at their own discretion. Once all responses are deemed acceptable, they should be made available to the evaluation team.

2.3.7. RFP Review and Evaluation

The RFX evaluation process should be contained entirely within the awarded respondent's solution. Prior to RFP submission, the ERCOT evaluation team must have the ability to create an evaluation scorecard with varying weights for each criteria for the RFX event. Evaluation criteria must be mapped back to RFP requirements in order to ensure a fair evaluation. The tool should have the ability to conduct a qualitative and a quantitative evaluation of each supplier response based on the cost of the proposed solution and each respondent's responses to various questions. In addition, each evaluation team member must have the ability to evaluate any free text responses for completeness. Finally, the Buyer or evaluation team should have the ability to identify specific criteria or sections of the scorecard that are relevant to each scorer. Only relevant criteria should be scored by the team and calculated into a final score by the tool. If necessary, the tool should support multiple rounds of evaluation in order to capture evaluation team feedback at various stages of the process (i.e. initial submission, Respondent presentation, etc.)

2.3.8. Negotiation and Award

Based on the evaluation scorecard and cost of each proposed solution, the Buyer must have the ability to conduct negotiations with one or many respondents; within the tool. The tool should also allow multiple rounds of negotiation prior to award. Upon final determination of

the selected respondent, the awarded respondent should be notified within the tool and all non-awarded respondents should be notified that they were not selected.

2.3.9. Reporting and Visibility

Throughout the process, the evaluation team should have access to reports or dashboards showing the current status (Drafting, Negotiation, etc.) of all of their in-flight RFXs. In addition, various individuals identified by ERCOT shall have access to view all open projects for status updates. These reports should be made available in a dashboard view with easy-to-read progress indicators and the ability to drill into specific details for a given project.

2.4. Additional Desired Functionality

2.4.1. Records Retention

Due to records retention requirements, ERCOT requires the ability to purge data from the tool after the retention period for that data has passed. If the tool allows for systematic purging based on date, ERCOT requires the ability to identify the retention schedule for a particular portion of the RFP response. Retention schedules may vary between documents. For example, the winning proposal may need to be kept as long as an active contract remains effective, but a losing response may be purged earlier.

If systematic purging is not a standard feature, the finalized RFX packages should be easily exportable from the awarded solution to a secondary location where systematic records retention can be applied.

2.4.2. Audit Functionality

The awarded solution must have the ability to show a complete audit trail for each event in the solution. Respondents are encouraged to provide information regarding all available audit functionality. Visibility must include:

- System Access Logs
- Initial RFX Creation
 - Creator
 - Creation timestamps
- RFX Revision History
 - Revision Creator
 - Revision Timestamps
- All Respondent actions (system access, submittal, etc.)
- All Evaluation Team actions (evaluation submission, revisions, etc.)

2.4.3. Analytics

ERCOT desires the ability to review and evaluate various data elements maintained by the system. Of particular interest are:

- Response analytics (i.e. how likely a supplier is to respond to an RFX based on previous opportunities?)
- Previous awards (i.e. ability to review past awards to aggregate spend over a period of time)
- Process cycle time (i.e. amount of time spent at each step in the RFX process)

2.4.4. Access Provisioning

ERCOT requires the ability to grant access to a subset of individuals based on their role in the organization or their participation in a particular RFX process. This level of access may be determined at a very granular level (i.e. Executive Management requiring access and visibility to projects pertaining to their organization) or a broader level of access for Procurement Management that requires access to all active projects. Specific access types may include:

- Buyer – Responsible for administering the process for a particular RFX
- Evaluator – Responsible for participation in drafting and evaluating an RFX
- Executive – View only access for projects within their organization
- Super User – Ability to view and modify anything within the system

2.4.5. Business Process Design

ERCOT requires the ability to create customizable business processes for various review and approval steps throughout the RFX process. These review steps should be configured to match ERCOT's Delegation of Authority based on Cost Center and dollar value of the transaction.

2.4.6. Integrations

In order to maximize the value generated from the awarded tool, ERCOT may determine that integrations between the awarded tool and other systems are desired. The following potential integrations should be discussed:

2.4.6.1. Integration with ERP system for requisition creation

In order to minimize duplicate data entry and potential errors, ERCOT is interested in understanding each respondent's ability to integrate the data elements from an awarded solution to a purchase requisition ERCOT's ERP system.

2.4.6.2. Integration with CLM system for contract drafting

In order to minimize duplicate data entry and potential errors, ERCOT is interested in understanding each respondent's ability to integrate the data elements from an awarded solution to a contract draft in ERCOT's Contract Lifecycle Management system.

2.5. General Requirements

- In their responses to this RFP, Respondents must describe in detail the methodology and approach to meeting the requirements of this RFP.
- Respondent to provide and describe previous experiences in delivering a similar solution.
- Respondents must include a project schedule for completing each set of deliverables, key milestones, or scope requirements described herein.
- The awarded supplier must provide a project manager or lead who has decision-making authority and who will assume responsibility for coordination, control, and performance of this effort.
- Any changes to key personnel associated with the subsequent contract must be submitted in writing and approved in writing by ERCOT.
- 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.

2.6. Qualifications

The awarded respondent must show evidence of successful completion of similar projects.

2.7. Deliverables

2.7.1. Software Licenses – Power Users (10)

Power User Licenses should allow the Procurement department to administer events within the tool.

2.7.2. Software Licenses – Evaluator Licenses (700)

Evaluator licenses should allow users to participate in the drafting and evaluation of RFX events within the system.

2.7.3. Standard Implementation Services

Respondent must identify all required services required to configure the initially deployed solution. At a minimum, the services shall include:

- Approval workflow for various events (drafting, award, etc.)
- Initial user setup
- Functional acceptance testing
- User training

2.7.4. Optional CLM and/or ERP Integration Professional Services

If ERCOT decides to integrate the awarded solution to any existing solutions, respondent must identify the level of effort required and any associated costs.

2.8. Service Level Agreements (SLAs)

Respondents are encouraged to identify any Standard SLAs to be considered by ERCOT. In addition, each respondent must describe how each SLA is calculated.

Examples of SLAs include:

- Response Time (amount of time to respond to an issue)
- Resolution Time (amount of time to resolve and close out an issue)
- Uptime (Uptime is a measure of the time a machine, typically a computer, has been working and available.)
- Availability Rate (Availability rate is the percentage of time that a service is up, i.e., cloud-based software services to offer 99.99% availability.)
- Defects Rate (how often the service fails to meet a quality test)
- Delivery Time (the average or total time to physically deliver something)

3. General Instructions and Requirements

3.1. Notice of Intent to Propose

A prospective Respondent 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 respondent intends to submit a proposal for this procurement. **Only respondents who submit a Notice of Intent to Propose will receive the answers to questions from all respondents, and/or any clarifications, amendments, and addenda to the RFP.** Respondents 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. Respondent 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, 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 respondent 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 Professional Services 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 Respondent 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. A list of Market Participants can be found here: <http://www.ercot.com/mktparticipants/>
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 a brief description of work performed, 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.

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 – Respondent Information and Other Required Forms

- Except for current ERCOT suppliers who have an active Professional Services Agreement with ERCOT, all Respondents must complete the following documents located at www.ercot.com/about/procurement
 - Nondisclosure Statement
 - IRS W9
 - Vendor Information Form
- 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 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 License Count or Number of Hours to Complete	Total Cost
Project Deliverables and Costs		
Deliverable 1 – Power User Licenses – responsible for administering events within the tool	10	\$0.00
Deliverable 2 – Evaluator Licenses – responsible for reviewing and evaluating events within the tool	700	\$0.00
Deliverable 3 – Professional Services – Initial configuration of the system for use by the ERCOT Procurement Team.	XX	\$0.00
Deliverable 4 – Optional Integration Professional Services	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 respondent 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.